

PRINCIPLE 1 – Focusing on the purpose of the Authority and on outcomes for the community and creating and implementing a vision for the local area

APPENDIX 1

Supporting Principles	Lancashire Fire & Rescue Authority Commits itself to	How the Authority will do this
<p>Exercising strategic leadership by developing and clearly communicating the Authority's purpose and vision and its intended outcomes for citizens and service users</p>	<p>Develop and promote the Authority's purpose and vision</p>	<p>Publication of a Risk Management Plan Consultation and Communication Strategy Through partnerships</p>
	<p>Review on a regular basis the Authority's vision for the local area and its impact on the Authority's governance arrangements</p>	<p>Regular Review of Vision, included in Risk Management Plan Regular Review of Code of Corporate Governance Annual Governance statement</p>
	<p>Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties</p>	<p>Partnership Strategy, Protocols and standard agreements provide the framework for all partnerships</p>
	<p>Publish an annual report on a timely basis to communicate the Authority's activities and achievements, its financial position and performance</p>	<p>The following publications do this</p> <ul style="list-style-type: none"> • Annual report • Statement of Accounts • Risk Management Plan
<p>Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning</p>	<p>Decide how the quality of service for users is to be measured, make sure that the information needed to review service quality effectively and regularly is available and implement any appropriate changes taking account of those reviews.</p>	<p>Consultation Strategy After the Fire Questionnaires Surveys Meetings Consultation events</p>
	<p>Put in place effective arrangements to identify and deal with failure in service delivery</p>	<p>Complaints procedure Incident debriefs Operational Assurance processes and Audits Individual performance and appraisal and discipline policies Provision of appropriate training for staff</p>
<p>Ensuring that the Authority makes best use of resources and that tax payers and service users receive excellent value for money.</p>	<p>Decide how value for money is to be measured and make sure that the Authority or partnership has the information needed to review value for money and performance effectively. Measure the environmental impact of policies, plans and decisions.</p>	<p>Risk Management and Service Planning process VFM Policy Performance Mgt system Authority reporting process Project Management process</p>

PRINCIPLE 2 – Members and officers working together to achieve a common purpose with clearly defined functions and roles

Supporting Principles	Lancashire Fire & Rescue Authority Commits itself to	How the Authority will do this
Ensuring effective leadership throughout the Authority and being clear about executive and non executive functions and of the roles and responsibilities of the scrutiny function	Set out a clear statement of the respective roles and responsibilities of the executive and of the executive's members individually and the Authority's approach towards putting this into practice	The Authority does not have an Executive structure but roles and responsibilities are set out in: <ul style="list-style-type: none"> • Constitution • Committee Terms of Reference • Procedural Standing Orders • Scheme of Delegation
	Set out a clear statement of the respective roles and responsibilities of other Authority Members, Members generally and senior officers	As above
Ensuring that a constructive working relationship exists between Authority Members and officers and that the responsibilities of Authority Members and officers are carried out to a high standard	Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required	As above
	Make a chief executive or equivalent responsible and accountable to the Authority for all aspects of operational management	In the case of the Fire and Rescue Authority this refers to the Chief Fire Officer. This takes place through: <ul style="list-style-type: none"> • Procedural Standing Orders • Scheme of Delegation • Job Description • Conditions of Employment
	Develop protocols to ensure that the leader and chief executive (or equivalent) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained	Communication takes place regularly between the CFO, Chair and other Group Leaders on the Authority. This includes regular Briefings. The Authority has also approved a protocol for staff and Member relations which sets out the respective roles and the way in which they interact
	Make a senior officer (usually the S151 Officer) responsible to the Authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control	The Director of Finance is appointed as the officer having responsibility for the Authority's financial affairs under s.73 of the Local Government Act 1985. Responsibility is recorded via: <ul style="list-style-type: none"> • Procedural Standing Orders • Financial Regulations • Job Description • Scheme of Delegation

	Make a senior officer (usually the monitoring officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with	The Clerk is appointed as the Monitoring Officer and is responsible to the Authority for ensuring that all applicable law is complied with. Responsibility is recorded via: <ul style="list-style-type: none"> • Procedural Standing Orders • Job Description • Scheme of Delegation • The role of the Monitoring Officer as approved by the Authority
Ensuring relationships between the Authority and the public are clear so that each knows what to expect of the other.	Develop protocols to ensure effective communication between members and officers in their respective roles.	Protocol for member/officer relations Regular Briefings Strategy Group Member Champions Seminars and training events.
	Set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process, including an effective remuneration panel (if applicable)	Members Allowances are set out in the Members Allowances scheme which is approved by the Authority Officers' remuneration is determined by the Authority, where appropriate Remuneration is set out in employees' contracts and subject to national pay agreements/job evaluation.
	Ensure that effective mechanisms exist to monitor service delivery	Service Delivery is monitored through a performance management framework, including reporting to Performance Committee
	Ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated	The Risk management Plan is developed through an integrated process and approved by the Authority following consultation: Communication, consultation and dissemination are through a variety of means including the website, printed documents and consultative forums.
	When working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority	There are approved strategies and protocols for partnership working
	When working in partnership <ul style="list-style-type: none"> • ensure that there is clarity about the legal status of the partnership • ensure that representatives or organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions. 	Legal, risk management, financial and procurement advice and guidance are available to all officers establishing a partnership.

PRINCIPLE 3 – Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Supporting Principles	Lancashire Fire & Rescue Authority Commits itself to	How the Authority will do this
<p>Ensuring Authority Members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance</p>	<p>Ensure that the Authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect</p>	<p>Officers and Members communicate effectively and openly and work together towards the achievement of the Authority's Vision.</p> <p>Committee agendas and reports are sent to relevant Members and Representative Bodies and all are able to attend.</p> <p>The Chief Fire Officer carried out Leaders' briefing sessions.</p> <p>Extensive information is published on the Authority's Internet and Intranet sites and on Public Folders in the Authority's management information system.</p> <p>The Authority has in place consultation and negotiation procedures and local Joint Secretaries arrangements.</p>
	<p>Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols</p>	<p>A Code of Conduct for Members is approved by the Authority and a Standards Committee is in place to deal with complaints made to the Authority.</p> <p>A Code of Conduct for staff is also in place together with relevant policies.</p> <p>Performance Appraisal and discipline procedures are also in place for officers.</p> <p>Complaints, Anti Fraud and Corruption, Whistle Blowing policies and a Member/Officers Relations protocol are in place.</p>
	<p>Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice</p>	<p>Codes of Conduct, Procedural, Contract and Financial Standing Orders set out the requirements.</p> <p>At the commencement of Authority/Committee meetings Members are asked whether they have any interests to declare.</p> <p>Registers of gifts, hospitality and Members' and Officers' interests are maintained and reviewed.</p> <p>Guidance on Member's interests is issued to Members</p>

Ensuring that organisational values are put into practice and are effective	Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners	Codes of Conduct and associated policies cover Members and Officers. Organisational values are included in the Risk Management Plan
	Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards and monitor their continuing effectiveness in practice	The Authority's code of corporate governance is subject to regular review and seeks to comply with CIPFA/Solace frameworks. Procedural, Financial and Contract Standing Orders address the way in which the Authority's business is conducted.
	Develop and maintain an effective Standards Committee	A Standards Committee including Independent Members (one of which is the Chair of the Committee) has been established, with appropriate terms of reference. It has procedures in place for dealing with allegations against Members.
	Use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority	Shared values identified in the Risk Management Plan. Equality policies and strategies are approved and the delivery of objectives is actively monitored and managed by the Authority.
	In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively.	Partnership Protocol in place to address this

PRINCIPLE 4 - Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

Supporting Principles	Lancashire Fire & Rescue Authority Commits itself to	How the Authority will do this
<p>Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny</p>	<p>Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the Authority's performance overall and that of any organisation for which it is responsible</p>	<p>The Fire and Rescue Authority is not required to have a Scrutiny Committee as it does not operate with an Executive.</p> <p>Scrutiny is provided during all decision making processes; for example, all draft committee reports are examined by Treasurer and Clerk before submission to Committee. Agendas and reports are sent to Members and Representative Bodies, who are all able to attend every</p> <p>Audit Committee and Standards Committee established to review relevant areas</p>
	<p>Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based</p>	<p>Minutes record the decisions taken.</p> <p>Reports contain all the supporting evidence and unless exempt are available via the website.</p>
	<p>Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice</p>	<p>The Members' and Staff Codes of Conduct address these issues.</p> <p>The Monitoring Officer and Standards Committee monitor these in practice.</p> <p>Declarations of Members' interests are a standard item at the commencement of committee meetings.</p>
	<p>Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee</p>	<p>Audit Committee established with appropriate terms of reference.</p>
	<p>Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints</p>	<p>The Complaints Procedure and Whistle Blowing policy are agreed, available via the website and publicised to staff, Members and contractors.</p>

Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs	Ensure that those making decisions, whether for the Authority or the partnership, are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications	<p>Induction and further training and development such as Members Bulletins and Strategy Days ensure Members have up to date information.</p> <p>Committee and Authority reports contain full details and supporting papers on which decisions can be based. Leaders' and Chairs' briefings support this</p> <p>All Members have unrestricted access to officers to obtain any additional information that they require.</p> <p>Partnership strategies and protocols encompass issues relating to partnerships.</p>
	Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately	<p>All Committee and Authority reports contain section on financial implications. Legal implications are contained within the body of every report as appropriate.</p> <p>The Treasurer and Monitoring Officer examine all reports to the Authority and its committees to enable legal and financial implications to be considered and provision included where appropriate</p> <p>The Monitoring Officer and Treasurer attend Authority/Committee to provide advice as required</p>
Ensuring that an effective risk management system is in place	Ensure that risk management is embedded into the culture of the Authority, with members and managers at all levels recognising that risk management is part of their jobs	<p>Risk management is a standing item on Service Management Team agendas.</p> <p>A risk management group is led by CFO, and includes the Chair of the Audit Committee.</p> <p>The Corporate Risk Register is updated whenever a change or new risk is identified.</p> <p>Risk management is an integral part of departmental planning and the project management process.</p> <p>Risk management is reported to the Audit Committee.</p> <p>Operational risk management is a fundamental aspect of the business of the Authority.</p>

	Ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the Authority have access	A Whistle Blowing Policy sets out how to make a “whistle-blowing” complaint. This has been publicised to staff and through the procurement process
Using their legal powers to the full benefit of the citizens and communities in their area	Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities	Procedural Standing Orders and the advice and guidance of the Monitoring Officer are available to the Authority at all times.
	Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law	Committee and Authority reports clearly set out the legal limitations and opportunities presented by specific legislation and general responsibilities
	Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice – into their procedures and decision-making processes	Processes and policies are in place to enable the Authority to meet legal requirements. They include: <ul style="list-style-type: none"> • Procedures for the conduct of meetings, • Consultation and consideration of representations prior to reaching relevant decisions, • Provision of legal advice at all appropriate stages to enable relevant matters to be taken into account and irrelevant matters to be excluded • Provision of written reasons for decisions in appropriate cases and

PRINCIPLE 5 – Developing the capacity and capability of members and officers to be effective

Supporting Principles	Lancashire Fire & Rescue Authority Commits itself to	How the Authority will do this
<p>Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles</p>	<p>Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis</p>	<p>Training and Development Strategies exist for Members and Officers: These include</p> <ul style="list-style-type: none"> • Induction programmes • Formal training • Informal training • The Champion Process • Member Training & Development Group
	<p>Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the Authority</p>	<p>The Treasurer is a full member of the Executive Board</p> <p>The Clerk sits on the Authority/Committees</p> <p>Job descriptions specify skills, experience, knowledge and qualifications</p>
<p>Developing the capability of people with governance responsibilities and evaluating their performance as individuals and as a group</p>	<p>Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively</p>	<p>Members and officers have training and development strategies. Appraisal process in place to assess individual training and development needs.</p>
	<p>Develop skills on a continuing basis to improve performance, including the ability to scrutinize and challenge and to recognise when outside expert advice is needed</p>	<p>The Members' Training and Development Strategy reflects generic issues regarding their role as a member but as much of this development is provided by their "home" authority the intention is not to duplicate and the major part of the development provided by this Authority relates directly to Fire and Rescue Authority business</p>
	<p>Ensure that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs</p>	<p>The Executive is not applicable in this case. Individual Members attend a one-to-one interview to consider training and development requirements and arrangements put in place to give effect to any needs identified.</p>

Encouraging new talent for membership of the authority so that best use can be made of individual's skills and resources in balancing continuity and renewal	Ensure that effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority	<p>The Authority's Consultation and Communications Strategies include specific reference to Community Organisations</p> <p>Other partnership arrangements facilitate a wide variety of external organisations working with the Fire and Rescue Service.</p> <p>Advocates are employed to engage with hard to reach sections of the community.</p>
	Ensure that career structures are in place for members and officers to encourage participation and development	An integrated development system and assessment and development centres are in place to enable staff to fully develop their careers.

PRINCIPLE 6 - Engaging with local people and other stakeholders to ensure robust public accountability

Supporting Principles	Lancashire Fire & Rescue Authority Commits itself to	How the Authority will do this
Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships	Make clear to themselves, all staff and the community to whom they are accountable and for what.	The Risk Management Plan, Community Safety Plans, Crime and Disorder Partnerships and Local Area Agreement arrangements with district councils all set out accountability and effectiveness of relationships.
	Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required	As above
	Produce an annual report on the activity of the scrutiny function	This is not applicable to the Authority as it does not operate executive arrangements with a scrutiny function.
Taking an active and planned approach to dialogue with accountability to the public to ensure effective and appropriate service delivery whether directly by the Authority, in partnership or by commissioning	Ensure that clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements to ensure that they operate effectively	The Communications and Consultation Strategies include reference to all stakeholders including all sections of the community, this includes focus groups for BME and hard to reach groups Community Safety Advocates engage with hard to reach and at risk communities. Communication with staff on employee relations matters takes place through Representative bodies
	Ensure that arrangements are in place to enable the Authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands	See above
	Hold meetings in public unless there are good reasons for confidentiality	All Authority meetings are public meetings. Occasionally, specific items will be exempt and require the exclusion of press and public. These are kept to a minimum.

	<p>Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has changed as a result</p>	<p>The Consultation and Communications Strategies detail the variety of ways in which the Authority communicates and engages with the community and stakeholders.</p> <p>Comments regarding proposals and issues are fed back through public meetings. Changes made to proposals as a result are made through the Authority/ Committee reporting process</p>
	<p>On an annual basis, publish a performance plan giving information on the Authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period</p>	<p>Annual report published, including summary financial information</p> <p>Risk Management Plan</p> <p>Documents published via the website and in hard copy</p>
	<p>Ensure that the Authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so</p>	<p>All Authority reports and minutes are published on the website prior to meetings and are circulated widely to partners and stakeholders</p>
<p>Making best use of human resources by taking an active and planned approach to meet responsibility to staff</p>	<p>Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making</p>	<p>Staff consultation is well established through the representative bodies, with additional communication and consultation taking place through the Consultation and Communications Strategies</p>