

Appendix A – 2nd Quarter Performance Report

Finance, Governance & Audit Committee

Dorset & Wiltshire Fire and Rescue Service

Finance, Governance & Audit Committee

01/07/2017 - 30/09/2017



DORSET & WILTSHIRE
FIRE AND RESCUE


Finance, Governance & Audit Committee

Priority 4: Making every penny count

KLOE 13: Are effective governance and decision making arrangements in place?

Actions

Action Code	Action Name
1.4.1.68	Are effective governance and decision making arrangements in place?
<p>Progress comment: Governance framework:</p> <p>Sound governance arrangements are in place with no significant strategic issues or areas of concern. The Authority is due to receive the draft Statement of Assurance required under the National Framework 2012 following its scrutiny and recommendation at September's meeting of this Committee. The process by which these statements are developed received a substantial level assurance from internal auditors last year. There are robust internal control systems in place with positive relationships between internal and external auditors in place. These arrangements received substantial assurance when subject to an internal audit, with some minor recommendation forming part of department plans for 2017/18. Moving forward, the Authority has now agreed to reduce its membership from 30 to 18. Officers are currently liaising with civil servants to pursue an amended Combination Order. Proposed future governance arrangements and the progress of the new Combination Order are to be discussed at the meeting on the 15 December.</p> <p>Information and Communications:</p> <p>The Authority is fulfilling its legal responsibilities under the Data Protection Act and Freedom of Information Act. In the second quarter of 2017/18, we received 30 requests for information under the Freedom of Information Act and all were responded within the 20 working day deadline. We received 3 subject access requests under the Data Protection Act in the same quarter and all were responded to within the 40-calendar day timeframe.</p> <p>The action plan for compliance against the new General Data Protection Regulations is progressing well and monitored monthly to ensure the Authority will meet its legal responsibilities when the new regulations take effect in May 2018. Members will receive an awareness training session on this prior to their meeting on the 15 December. We are working nationally to ensure our approach is aligned to other Fire and Rescue Services. Workshops for key staff with responsibility for processing personal data have already taken place and general data protection training for all staff is being updated to reflect the new changes. The Information Governance Group continues to manage information risk on a Service wide basis, reviewing risks to information assets and ensuring the Service has the right controls in place to manage these, including monthly monitoring of the cyber security risk. Regular monitoring of the IT health check mitigation plan provides assurance that our technical arrangements in place are adequate to protect our information assets. The newly formed Smarter Working Technical Coordinating Group will support cross department coordination of user, technical and communications requirements across the Service.</p> <p>The policy framework established for April 2016 is now embedded across policy teams and provides staff with a single location for accessing policies, procedures and guidance. The review, consultation and publication of documents is centrally managed to ensure a consistent and robust process which ensures our policies and procedures meet our legal requirements. The alignment of our procedures following combination, continues to be actively monitored and there is good progress</p>	



against this. Complaints continue to be well managed and Members receive assurance on a regular basis in relation to the number of the complaints resolved within 14 working days and those which were upheld. In the last quarter, 13 complaints were received and all were resolved within 14 working days. 3 of these were all related to the same press related incident. All Officers who may investigate a complaint have now completed training on the amended database and received a refresher on the corporate process.

Strategic Planning:

Work continues on further strengthening the overall strategic approach and more closely aligning our work to the outcomes of our partners. Work is underway on a strategic assessment for 2018/19 and a mapping exercise has been undertaken to link actions we are undertaking with the outcomes being worked on by our partners. We are currently refreshing the Service Delivery Plan including refining the Key Lines of Enquiry and the baseline assessment evidence. We are seeking to ensure that this supports and appropriately references the developing approach underpinning the fire inspectorate methodology.

Progress against Equalities Framework:

Work is ongoing to benchmark our practices against the FRS Equalities Framework. The framework has been revised over the past year and currently remains in draft format pending publication of FRS Inspection requirements from HMICFRS. It is anticipated that these will broadly align to the FRS draft framework so we are seeking to be "inspection ready" through internal review of proposed content as far as it is known.

A further revised draft of the Fire and Rescue Service (FRS) Equalities Framework has recently been published. We are currently undertaking a gap analysis in order to align the requirements of the Equality Framework to our Service Delivery Plan.

KLOE 14: How are we providing effective health and safety support to our staff?

Actions

Action Code	Action Name
1.4.2.2	How are we providing effective health and safety support to our staff?
<p>Progress comment: Overall, there are no real causes for concern or strategic issues to raise with Members. The Service has good overall levels of compliance in relation to Health and Safety with a comprehensive overview by the Health, Safety and Welfare Committee in early November.</p> <p>Some areas to note are:</p> <ul style="list-style-type: none">• There has been an increase in the total number of working days lost to work related injury or ill health; rising from 357 in quarter one to 520 in quarter 2. This is made up by only twenty people and of these members of staff, a half are on long term sick.• Across the Service, there has been a small decrease in the number of injury/harm incidents down from 31 in the first quarter to 22. Of these, two over seven-day injury's and one major injury were required to be reported under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR). There are no specific concerns following an investigation of these incidents.• The number of near misses also increased to 20, which shows that the staff are aware of the importance to report these.• A recent request by members of the Finance, Governance and Audit Committee was to introduce "Injury Incidence rates" for the Service to show direction of travel. The incidence rate for the Service is calculated by taking the total number of reported injuries divided by the number of staff and then multiplied by 100. The final figure equates to the number of injuries reported per 100 members of staff. The higher the number is the worse the performance. This figure is not related to injury severity. 1.6 is the Accident Incident Rate - 2nd Quarter performance for 2017/18 (whole service)• For trending it will be against the same quarter last year to allow for any seasonal variations. <p>The Service now uses a single Accident/adverse Occurrence Reporting system and the convergence of remaining systems and procedures remains on track. Members champions for health and safety continue to be informally appraised of progress. We remain on track to meet the corporate target of achieving BSI 18001 across the Service by the end of 2018.</p>	

KLOE 15: Do we have robust financial management and procurement plans in place to ensure long term viability and value for money?


Actions

Action Code	Action Name
1.4.3.17	Do we have robust financial management and procurement plans in place to ensure long term viability and value for money?
<p>Progress comment:</p> <p>The Authority has a Medium Term Financial Plan in place, developed with Members, covering the financial years to 2020/21. The Plan demonstrates how the Authority is able to balance its revenue budget over this time period, using reserves and balances as necessary. An updated Plan has been developed by officers and approved by the Policy & Resources Committee on 19 October 2017.</p> <p>Financial performance is monitored by Members on a quarterly basis. The 1st Quarter performance for 2017-18 was reported to the Finance, Governance and Audit Committee in September 2017. The 2nd Quarter performance will be reported in December.</p> <p>KPMG have completed their audit of our statutory accounts for 2016-17, the first financial year of the new Authority. The accounts were approved by Members in September and published on our website. We received an unqualified audit opinion. Planning for the production of the 2017-18 statutory accounts has started, with an initial planning meeting with KPMG taking place in November. Dates have been agreed with KPMG for the Interim and Final audit fieldwork, and a Committee date agreed.</p> <p>The Key Financial Controls internal audit for 2016-17 concluded that adequate controls were in place, with a small number of minor improvement actions to be progressed, and these are now largely completed.</p> <p>Progress continues to bring together all of the contracts of the two former authorities. New contracts have recently been awarded in respect of payroll services, firefighters pensions administration and occupational health provision. These contracts were procured in collaboration with regional FRS partners.</p>	

KLOE 16 : Are we making the most effective use of our assets to deliver our priorities?

Actions

Action Code	Action Name
1.4.4.35	Are we making the most effective use of our assets to deliver our priorities?
<p>Progress comment:</p> <p>Assets:</p> <p>There has been progress with the development of the PAS 55 systems approach to asset management with the asset management strategy approximately 50% complete.</p> <p>All procedures from the former services have either been consolidated or new ones written.</p> <p>There has been significant progress with the identification of software systems within the department with procurement underway for the replacement of the two existing equipment management databases with one modern system that will allow the Service to manage its equipment assets effectively and efficiently.</p> <p>The fleet systems are being merged into one system with the target date of the end of march 2018 for full functionality.</p> <p>The stores system is being consolidated into the Agresso finance system to be more efficient and joint working with finance.</p> <p>The estates system is already service wide ensuring a common approach to management.</p> <p>Staffing: The department has a new head of assets and that person started at the end of July. All major managerial roles now have substantive managers except for Equipment which fell vacant at the end of July and a replacement is being recruited, in the meantime an experienced uniformed officer is maintaining the systems and ensuring that the equipment is tested in accordance with our maintenance schedule.</p> <p>ICT:</p> <p>The ICT Roadmap provides a 5-year plan of the direction for all aspects of ICT. This roadmap is linked to Service delivery plan and feeds the capital programme. It is continuously reviewed by the ICT management team and then discussed and approved by the Senior Leadership team on an annual basis to ensure alignment with budgets. All ICT work is managed through a centralised management system which tracks projects, jobs and incidents, allowing the extraction of reports on fault call times, job deliveries, service requests etc. An ICT business relationship manager is in place to ensure that the ICT Service Desk is performance managed and to act as a point of contact and information between the Service and the ICT department. A customer engagement strategy has been developed and a delivery plan is in place. All ICT functions and processes are delivered to comply with ITIL (Standards Technology Infrastructure Library) which is a set of detailed practices for IT service management that focuses on aligning IT services with business needs.</p> <p>ICT Instructors are in place to ensure that we get the most usage and value from the systems that we install. They are managed by the BRM to ensure that any training issues raised by the business can be dealt with quickly. All ICT Assets, both hardware and software are fully managed from the cradle to the grave, within an ICT Inventory system that also provides information on replacement costs and dates to ensure that we can better predict the future costs of the ICT hardware replacement</p>	

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program.

The projects and activities within ICT roadmap are broadly on track, although there has been some slippage with the station replacement programme due to the need to secure additional project support. This programme of work has now commenced.

Information Systems:

Good progress is being made within the Systems Migration Plan. 11 out of the 24 systems in the plan have now been combined into single databases / systems and are in use throughout the Service. The remaining 13 systems have clearly defined project, stakeholder and communication plans following the principals outlined within the programme. These are currently on track to deliver single databases / systems within the agreed timescales. The governance arrangements include monthly updates to the Strategic Leadership Team.

Priority 5: Supporting and developing our people

KLOE 17 : How are we ensuring our strategic workforce plans support the attraction and recruitment of the right people with the right skills at the right time to deliver current and future Service priorities?

Actions

Action Code	Action Name
1.5.1.21	How are we ensuring that our strategic workforce plans support the attraction and recruitment of the right people with the right skills at the right time to deliver current and future service priorities?

Progress comment:

We are creating stronger links between our workforce transformation plans and our workforce planning and establishment controls to ensure close alignment to our financial forecasts. We continue to improve the integration of our systems so that we can provide workforce data that enables better monitoring, intervention and organisational learning. Further refinements are being made to our HR system to improve management reporting processes which will assist our workforce and financial planning. Mindful of our ageing workforce and our corporate target to increase the diversity of our workforce, we are setting in place workforce and succession plans to ensure we have the right people, with the right skills at the right time. This starts at the point of attraction and we have reviewed our recruitment literature to ensure that applicants are well informed and have a good understanding of the varied career opportunities that we offer. We have carried out an external review of our recruitment processes and have developed an action plan to further streamline and enhance the work that we do in this area. As part of this work we have invested in our E-Recruitment system to improve its functionality and user interface.

Work is being undertaken to develop the organisational requirements for talent management and the associated frameworks, procedures and processes. This work will complement the strategic workforce plan to ensure that we are able to develop and grow talent throughout the Service and to meet the future needs of the organisation. The approach we adopt will also need to be able to deliver outcomes aligned to our values and behaviours framework that will form the foundations of our emerging approach to leadership development. Opportunities to make use of new apprenticeship training and the associated levy funding continue to be explored in the context of wider workforce planning activities. Marketing materials have been produced and are being shared at community events and open days to begin sign-posting potential applicants to future apprenticeship opportunities with the Service. We are part of the Employer Trailblazer group who have developed the new Operational Firefighter apprenticeship. The End Point Assessment for this programme has recently be agreed although we await a decision on the funding band. We are working with public sector partners in both Dorset and Wiltshire to share information and develop efficient procurement arrangements in this respect.

Corporate induction days continue to be successfully delivered and these are, increasingly, supported by e-learning modules and on-boarding materials. Work has commenced to produce a "welcome" video for those joining the Service which will support the further development of self-service induction materials to give new starters and their managers more flexibility about how their induction is delivered. Generic guidance for induction to new roles will need to be developed although there are elements of this already in place for some roles, e.g. new manager boot camps and on-job training for those promoted.

KLOE 18 : How are we making sure that our staff are trained and developed to be able to carry out their role effectively?

Actions

Action Code	Action Name
1.5.2.14	How are we making sure that our staff are trained and developed to carry out their role effectively?
<p>Progress comment:</p> <p>We continue to make good progress with E-learning and we are developing a blended approach to our learning and development activities through the use of e-learning to provide essential knowledge prior to attending workshops or training courses. This allows more time at face to face events to focus on skills and behaviours and, in some cases, means that the length of time spent on training can be reduced.</p> <p>A new e-learning module has been developed to support the role out of Smarter Working along with a half-day training programme for line managers focussing on the skills of managing more dispersed teams. The content of which was reviewed by the Smarter Working group in September and will be rolled out in line with IT developments to support more flexible working. Our outline Learning and Development framework is currently being finalised through a series of meetings with Heads of Department. The content of Development Pathways is included within this framework and we are developing Learning Outcomes and cost estimates for each element of the framework. We are continuing to work with partners (particularly the RNLI and other SW emergency services) on developing/delivering content and to explore the sharing/alignment of strategies and practices between different agencies.</p> <p>A Development Pathways Procedure alongside a new Uniformed Promotions Procedure has been developed through consultation with key stakeholders. Final amendments are being made and the procedures will be published following this.</p> <p>Our leadership strategy has been drafted and leadership initiatives are continuing to be delivered. A review of RESPECT, our Values and Behaviours framework is complete and is now aligned to the National Fire Chiefs Council People Strategy and the Competency & Values Framework for Policing. The Lifesaving Leaders Intervention (developed in partnership with the RNLI) was proto-typed in September with the intention of piloting a full programme early in 2018. In the meantime, a leadership intervention for first line managers has been adapted from work shared by the RNLI and is being used to deliver a modular programme of skills training for members of this group.</p> <p>Our new Personal Review process has been rolled out to all staff groups with positive feedback being received. This process has been developed on our DWdle (Dorset Wiltshire dynamic learning environment) platform which also houses e-learning modules and resources. The use of DWdle for Personal Reviews has also given us the opportunity to market our catalogue of e-learning to all staff groups to encourage people to use the resources there for their own training and development; which they can access at a time and place to suit them.</p> <p>With regard to Member training and development, Members receive induction training in order to provide strategic oversight on the governance aspects of the role which may not have been required by their Council. Members attend seminars on specific areas as a means of providing both development and information to aid decision making. A register of training is kept to record the training and development carried out by the Members Constituent Authority and the Fire Authority. Members can currently opt to have an annual development discussion with the Chair of the Fire Authority, this process is currently being rolled out.</p>	

KLOE 19: How are we ensuring we have the leadership capability to successfully lead and support our staff?

Actions

Action Code	Action Name
1.5.3.14	How are we ensuring that we have the leadership capability to successfully lead and support our staff?
<p>Progress comment:</p> <p>Our Occupational Health provision has successfully moved to our new provider and we are working closely with them to develop new ways of working and using their expertise to support the introduction of a range of proactive health initiatives in accordance with the agreed contractual arrangements. Good progress has been made on fitness assessments and fitness equipment has been delivered and installed in most stations. To support operational staff located in Wiltshire to attain the required level of fitness and to complete a development plan if required, a 12-month amnesty period running from 01 October 2016 to 30 September 2017 was agreed. We have now commenced the second cycle of the yearly fitness testing following the end of the amnesty period. Staff falling below the standards are being supported and managed through the provision of improvement programmes, occupational health, physiotherapy assistance etc., so that they achieve the required fitness standard. Overall, there is a positive picture of staff fitness across the service.</p> <p>A long-term attendance management procedure that includes limited duties options, has been developed and is currently be consulted upon with the representative bodies.</p> <p>Sickness absence is monitored on a regular basis and there are no significant concerns or issues to raise. The absence data across the Service for the last 6 months is as follows:</p> <ul style="list-style-type: none"> • On-call staff – There has been a reduction in the number of days lost in Quarter 2 from Quarter 1 • Whole-time staff - There has been a reduction in the number of days lost in Quarter 2 from Quarter 1. 2.5 shifts were lost per person in Quarter 1 (compared to 2.57 shifts lost per person in quarter 4 of the previous year) and this reduced again to 2.2 shifts lost in Quarter 2. Overall around 2/3rd of staff accounting for the sickness data are on long term absence. • Fire Control – There has been an increase in the number of days lost in Quarter 2 from Quarter 1 In Quarter 1, 4.6 shifts were lost per person (compared to 6.34 shifts lost per person in quarter 4 of the previous year) and there was an increase in Quarter 2 to 5.9 shifts lost per person. Most of these absences are long term and levels of sickness are being closely monitored. • Corporate Staff – There has been a reduction in the number of days lost in Quarter 2 from Quarter 1. 1.7 shifts were lost per person (compared to 2.08 shifts lost per person in quarter 4 of the previous year) and this showed a very slight increase to 1.8 shifts lost in Quarter 2. The majority of those away from the office were short-term absences. 	

KLOE 20: How are we successfully engaging and involving our people to develop a flexible, values-driven culture and demonstrate a one team approach?

Actions

Action Code	Action Name
1.5.4.22	How are we successfully engaging and involving our people to develop a flexible, values driven culture and demonstrate a one team approach?
<p>Progress comment:</p> <p>A comprehensive engagement plan is in place and monitored on a quarterly basis by SLT. Internal auditors have provided a substantial level of assurance over these arrangements. The Our Working Together Forum continues to meet bi-monthly and the group have spent time reviewing the Eyes & Ears staff survey outputs and ensured that the outcomes and resulting actions have been effectively communicated with teams to continue improving employee engagement. In response to the staff survey, a new Service-wide meetings structure is being rolled out to better support cross-departmental planning and delivery of the actions and projects set out in the service delivery plan. As well as being used to communicate key messages to senior managers the Forum is also increasingly involved in developing leadership across the service through defining our approach and building relationships, skills and behaviours to bring this to life.</p> <p>A new staff survey is planned for February to re-engage and to better understand the progress being made and to support the forth-coming inspection process.</p> <p>The leadership profile of the Senior Leadership Team has been determined to forge a more robust team development plan and this will be developed over the next few months to include Heads of Department and other senior officers. This work makes use of a profiling tool that is established within our police partners and at some other fire and rescue services where it has been very effective in developing leaders and helping to transform organisational culture.</p>	