

Appendix A – 2nd Quarters Performance Report

Finance & Audit Committee

Dorset and Wiltshire Fire and Rescue Service

Finance and Audit Committee

01/07/2016 - 30/09/2016



DORSET & WILTSHIRE
FIRE AND RESCUE

Finance and Audit Committee

Priority : Make every penny count

KLOE : Are opportunities for internal control and improvement being adequately identified and managed?

Headline: No significant areas of concern were identified during any of the first or second quarter audits

Actions

Action Code	Action Name
1.4.1.6	Are opportunities for internal control and improvement being adequately identified and managed?
<p>Progress comment:</p> <p>The first quarter's audits on Risk Management, IT Migration, Procurement and HR Workforce Planning took place between May-June 2016, with Internal Audit presenting their audit report to the Finance and Audit Committee on the 6th July 2016. Subsequently the second quarter's audit took place between July-September 2016 covering Fixed Assets and Inventories, Corporate Governance and Complaints, Whistle Blowing, Anti-Fraud, Corruption and Bribery with Internal Audit attending the Finance and Audit meeting on the 21st September 2016 to report their findings. No significant areas of concern were identified during any of the first or second quarter audits.</p> <p>The improvement areas noted within the audits are managed via the internal performance system and the progress against the improvements identified within the first quarter audits were reported to the Finance and Audit Committee on the 21st September, with an updated report, including progression on the second quarter audit improvement areas being presented to the Finance and Audit committee at their meeting on the 17th November 2016.</p> <p>The Audit improvement element of the performance management system will be finalized by the end of November 2016, however, in the interim period a manual review process is being managed by the Head of Democratic Services & Corporate Assurance.</p> <p>The third quarter audits have taken place and Internal Audit will be providing the Finance and Audit committee with their report on their findings on the 17th November 2016, the audit areas for the third quarter were Health & Safety Migration, Absence Management and Information Management System Migration.</p> <p>The remaining audits for 2016/17 are programmed in over the remainder of the financial year and meetings with key officers diarised. Key Officers have been identified to host each specific audit, whereby a scope is agreed between the Officer and Auditor. These Officers will provide support to the auditor and provide relevant information to support the audit.</p> <p>Within the Finance and Audit Committee programme of work for 2016/17 Members will continue to review each quarters audit report, which will be presented by a representative from Internal Audit. A quarterly progress of the improvement activities identified will also continue to be provided at each meeting of the Committee to ensure sound governance and monitoring arrangements.</p> <p>Members of the Finance and Audit Committee have agreed that prior to each committee meeting, a training session will be provided on key aspects of finance and audit management. To date internal and external auditors have provided training on their roles and the relationship to the Committee and Members have also been provide training on understanding financial reports by the Services Director of Finance. A session on treasury management is planned for the 17th November 2016.</p>	

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

Headline: The management of attendance continues to be managed effectively within the two existing procedures and is overseen by HR. Sickness data is currently being validated so that assurance can be provided on the consistency and validity of the data. It is anticipated that this will be completed in readiness for Quarter 3 reporting

Actions

Action Code	Action Name
1.4.2.7	How are we providing effective health and wellbeing support to our staff?
<p>Progress comment:</p> <p>Health & Fitness - The Health & Fitness procedure has been issued in this Quarter which includes a 12 month "amnesty" period to provide former Wiltshire staff with the opportunity to attain the nationally recommended level of fitness. Attainment of fitness is being supported by the Health & Fitness Adviser (H&FA), Health & Fitness Officer (H&FO) and a network of Station based Physical Education Officers. The H&FA and H&FO are also working with Finance and the Procurement Team to finalise fitness equipment purchases for staff to use on Stations.</p> <p>Occupational Health - Updated procedures to support revised OH arrangements will be released in quarter 3. Procedures regarding Stress Management and TRiM (Trauma Risk in Management) will be released in Quarter 3. Bradford on Avon Occupational Health Services, who previously provided the OH service to former Wiltshire FRS, have given early notice to terminate their OH contract arrangements with the Service. This contract formally expires on 29.11.2016 although a "pay as you go" service is available if required. Health Management Limited, the OH provider for former Dorset FRS, have been approached to formally request that they take on the OH service in the Wiltshire area until 31.10.2017, and they have agreed to this.</p> <p>The procurement of a new OH contract will commence in December 2016/January 2017 to commence on 1 November 2017. Procurement will be on a regional basis with Devon & Somerset FRS and Avon FRS. This new contract will ensure consistency of practice and support for staff across the Service. Discussions with regional partners will take place in quarter 3 and a firm, agreed, project plan for procurement of the contract will be provided and placed on Sytle to ensure progress can be tracked.</p> <p>The management of attendance continues to be managed effectively within the two existing procedures and is overseen by HR. Sickness data is currently being validated so that assurance can be provided on the consistency and validity of the data. It is anticipated that this will be completed in readiness for Quarter 3 reporting.</p> <p>In Quarter 3 an Audit is taking place by the external auditors regarding Absence Management.</p>	

KLOE : How are we ensuring compliance with relevant health and safety legislation?

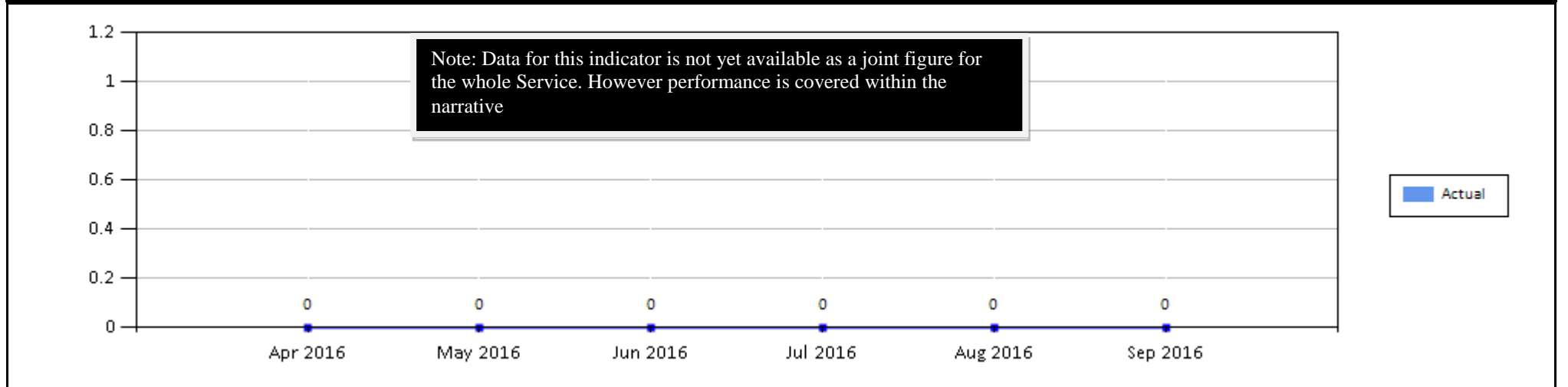
Headline: We are maintaining the existing health and safety approaches within what was previously Dorset and Wiltshire and will be moving towards bringing together processes and reporting systems as part of the systems migration plan. Extracting data for monitoring and performance reporting will be a key requirement within this migration plan. Work is underway on creating a single database and procedure and a joint process is hoped to be running by the end March 2017. As different procedures are in place, the recording of data within the north and the south are different. As a consequence, combined data cannot yet be supplied

Actions

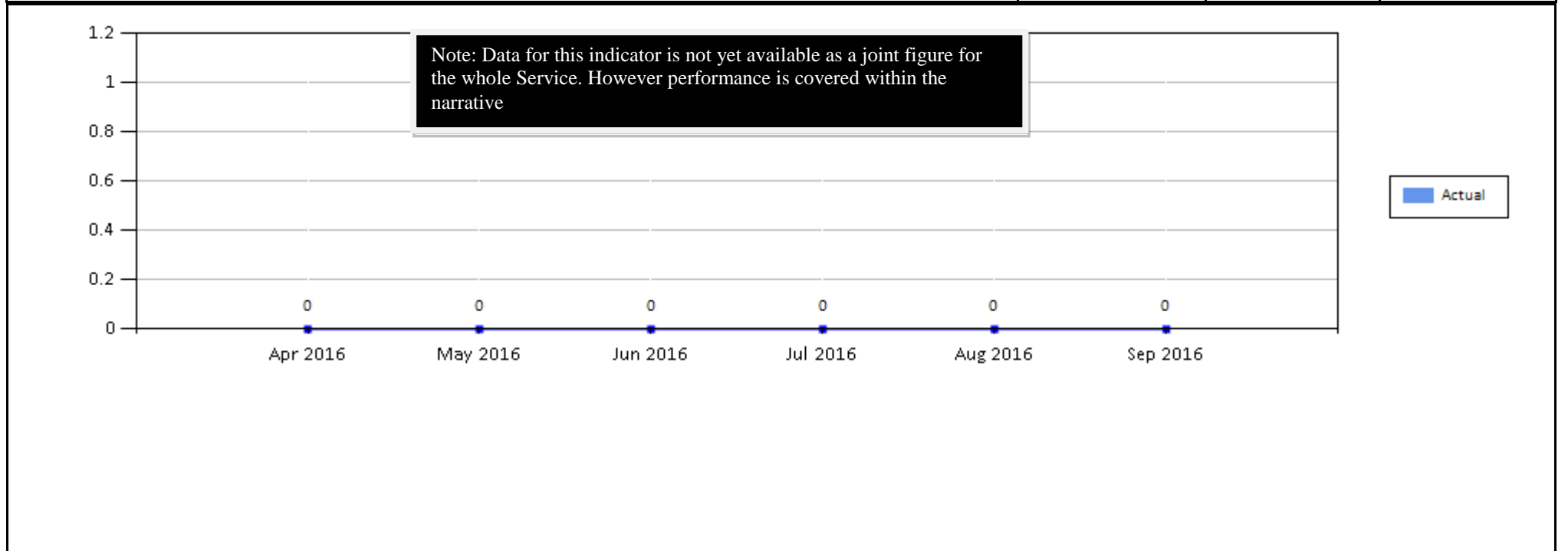
Action Code	Action Name
1.4.3.8	How are we ensuring compliance with relevant health and safety legislation?
<p>Progress comment:</p> <p>We are maintaining the existing health and safety approaches within what was previously Dorset and Wiltshire and will be moving towards bringing together processes and reporting systems as part of the systems migration plan. Extracting data for monitoring and performance reporting will be a key requirement within this migration plan. Work is underway on creating a single database and procedure and a joint process is hoped to be running by the end March 2017. As different procedures are in place, the recording of data within the north and the south are different. As a consequence, combined data cannot yet be supplied.</p> <p>In Dorset, during the second quarter, 82 working days were lost due to work related injury and ill health (but this relates to just 3 people). This is a 40% reduction compared to the same quarter in 2015/16. The predicted performance for the year as a whole is anticipated to be lower than the previous year and reflects the continued hard work in getting staff back to full health after a work related absence. The number of vehicle accidents has increased by 8% (2) compared to the same quarter in 2015/16. Near miss reporting has increased (by one) this quarter and following requests from staff, this is now a positive trend (going up is good). We hope to see an increase in near miss reporting. Reporting potential harm/injury events enable control measures to be put in place before harm or injury occurs. There were 2 reportable RIDDOR incidents*, both over 7 days, one due to a hand injury sustained during an operational call and the second was a trapped nerve during training.</p> <p>In Wiltshire, a total of 26 incidents occurred (of which 8 incidents were injuries) were reported during Q2. This was the same number as Q2 last year. The number of vehicle accidents has decreased by 58%. Near miss reporting has increased, but this reflects the encouragement to report more accurately on near misses. There was 1 reportable RIDDOR incident which was an over 7 day injury (as a result of becoming ill after working on the heath). Full debriefs have taken place to learn lessons from the RIDDOR incidents. Using existing procedures and management information systems within the north and south we will ensure that fundamental management processes associated with health and safety are operating to good standard. We have now established a single Health and Safety legal compliance register across the Service and this has been verified by an internal audit undertaken by Gateway Assure in October 2016. The results of the audit will follow in a formal report.</p> <p>Safe Driving in Inclement and adverse weather conditions has been included in next quarters (October–December 2016) Directed Operational Staff Training (DOST) and the next issue of the Safety News Bulletin will highlight hazards encountered driving in Autumn and Winter months. Occupational health intervention, improvements in the management of medicals and the current review of fitness and wellbeing is a positive move forward and will bring a progressive focus to improve core stability and in turn, reduce the risk of injury to our Operational Staff.</p> <p>* RIDDOR Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995</p>	

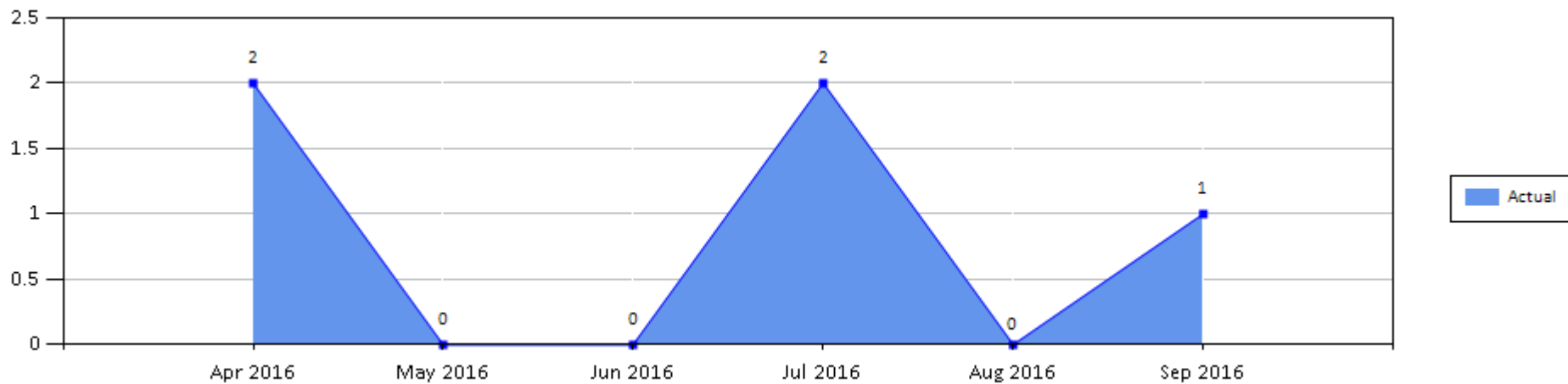
Key Performance Indicators

KPI Title	Period	Time Frame	Period Actual
Number of days lost due to work related injury or ill health-DWFRS	Month	Sep 2016	0



Number of RIDDOR incidents Major injury - DWFRS	Month	Sep 2016	0
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KLOE : How are we ensuring that we are compliant with relevant information management legislation?

Headline: The first Information Governance Group met in October and will continue to do so quarterly. Key Information Asset Owners attend this group with the terms of reference to manage information risk across the Service. This includes a review of security breaches, monitoring statutory compliance and issues, identification of any existing and new risks to our information and monitoring of the IT Health Check mitigation plan

Actions

Action Code	Action Name
1.4.4.10	How are we ensuring that we are compliant with relevant information management legislation?
<p>Progress comment:</p> <p>Legal compliance in the areas of Data Protection and Freedom of Information is monitored monthly. We have seen a slight increase in the number of Subject Access requests received in the last quarter (6 in total) and 100% have been responded to within the statutory timescales of 40 calendar days.</p> <p>We have received 31 FOI requests between July and September and 30 of these were responded to within 20 working days. One response was late by one working day due to annual leave and sickness absence between officers being asked for information.</p> <p>The first Information Governance Group met in October and will continue to do so quarterly. Key Information Asset Owners attend this group with the terms of reference to manage information risk across the Service. This includes a review of security breaches, monitoring statutory compliance and issues, identification of any existing and new risks to our information and monitoring of the IT Health Check mitigation plan. Weekly meetings occur to review the progress of all high and medium risks identified in the IT Health Check - this provides an increased level of managerial assurance.</p> <p>Existing Data Sharing agreements have been updated in line with the new Dorset Information Sharing Charter. We are working closely with this group in Dorset and with the Single View project in Wiltshire. Information Asset Owners recognise their role in ensuring legally compliant data sharing is in place in their areas and this will be audited in the new year.</p> <p>All new projects must undertake a security impact assessment at the planning stage and where the project involves personal data, a privacy impact assessment will be carried out.</p> <p>We have received 15 complaints in the last quarter and regular monitoring of these has ensured resolution of 13 of these within 14 working days. The two complaints which had a delayed response, were related, and the complaint was not upheld.</p>	

Key Performance Indicators

KPI Title	Period	Time Frame	Period Actual						
% of complaints resolved within 14 days (or within the date agreed with the complainant)	Quarter	Jul-Sep 2016	87%						
<table border="1"> <caption>Actual Performance Data for Complaints Resolved</caption> <thead> <tr> <th>Period</th> <th>Actual (%)</th> </tr> </thead> <tbody> <tr> <td>Apr-Jun 2016</td> <td>100</td> </tr> <tr> <td>Jul-Sep 2016</td> <td>87</td> </tr> </tbody> </table>				Period	Actual (%)	Apr-Jun 2016	100	Jul-Sep 2016	87
Period	Actual (%)								
Apr-Jun 2016	100								
Jul-Sep 2016	87								
% of Data Protection requests dealt with within 40 days	Quarter	Jul-Sep 2016	100%						
<table border="1"> <caption>Actual Performance Data for Data Protection Requests</caption> <thead> <tr> <th>Period</th> <th>Actual (%)</th> </tr> </thead> <tbody> <tr> <td>Apr-Jun 2016</td> <td>100</td> </tr> <tr> <td>Jul-Sep 2016</td> <td>100</td> </tr> </tbody> </table>				Period	Actual (%)	Apr-Jun 2016	100	Jul-Sep 2016	100
Period	Actual (%)								
Apr-Jun 2016	100								
Jul-Sep 2016	100								
% of Freedom of Information requests responded to within 20 working days (or within date agreed with requester)	Quarter	Jul-Sep 2016	97%						

