
Appendix A – 3rd Quarter Performance Report Finance, Governance & Audit Committee

Dorset & Wiltshire Fire and Rescue Service

Finance, Governance & Audit Committee

01/10/2017 - 31/12/2017



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:</p> <p>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>Despite resource difficulties within the team in quarter 3 of 2017/18, there has been a minor drop in performance in relation to our response to requests for information under information legislation but this is not significant. 19 requests for information under the Freedom of Information Act were received and all but one was responded to within the 20-working day deadline. 1 subject access request was received under the Data Protection Act in the same quarter which was responded to 2 days after the 40-calendar day timeframe. Members can be assured that the Authority is managing its information compliance requirements and the resource issues have been resolved. During this period, the focus for the team has been to deliver the action plan for compliance against the new General Data Protection Regulations for when this takes effect in May 2018.</p> <p>Members can be assured that work is on schedule to meet our legal responsibilities under the new legislation. This involves aligning our approach to other Fire and Rescue Services., delivering workshops for key staff with responsibility for processing personal data and providing general data protection training for all staff to reflect the changes. An information audit is being carried out, working with information asset owners to ensure all processing of personal data is documented. 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. In quarter 3 we have completed the actions to mitigate our risks identified in the last IT Health Check so that Members can be assured that our technical arrangements in place adequately 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 at combination is 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.</p> <p>In quarter 3, 12 complaints were received and 9 of these were resolved within 14 working days. Delays caused by staff absence, and accessing information from third parties within the timescales.</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.

Strategic Planning:

Work continues further strengthening the overall strategic approach and more closely aligning our work to the outcomes of our partners. Work is nearing completion 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 remains in draft format.

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:</p> <p>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 a decrease in the total number of working days lost to work related injury or ill health; from 404 in quarter two to 382 in quarter three. This is made up by 16 members of staff with 6 of these members of staff on long term sick. There is a further 124 days that have been lost, registered through the reporting system as work-related stress but until these are confirmed by an internal investigation they have not been counted. These extra days lost have not been included in the figures above. • Across the Service, there has been a small increase in the number of injury/harm incidents up from 22 in the second quarter to 28 in the third quarter. Of these, three over seven-day injuries 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. • A recent request by members of the Finance, Governance and Audit Committee was to introduce an injury incidence rate 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 higher the number is the worse the performance. This figure is not related to injury severity. The Combined WDS & on-call Operational Accident Incident Rate for the 3rd Quarter 2017/18 is 0.09. This is a reduction on the figures for the last quarter (Q2 - 0.21) We are now able to record these figures across the whole Service and build on the figures to provide benchmarking data. • As part of our aligning management systems, work has begun on the DWFRS risk assessment database, to review ownership of risk assessments, to allow for the reporting of the status of assessments within the service. This work shall continue into the next quarter. At present, DWFRS has 803 published risk assessments, 20% of which need review. • The Health and Safety department had delivered 22 Accident reporting and investigation courses to whole time operational staff (Fire Fighter/Crew Manager/Watch Manager) across the service. Nine more will be delivered in March at both the Devizes Training & Development Centre and Westmoors Training Centre. <p>We now use a single accident/adverse occurrence reporting system and the convergence of remaining systems and procedures remains on track. Member 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 by 31 March 2019.</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 can balance its revenue budget over this time, using reserves and balances as necessary. An updated Plan was agreed by the Policy & Resources Committee in October 2017.</p> <p>We are in the process of finalising the budget proposals for 2018-19, taking on board the details of the Provisional Local Government Finance Settlement that was published on 19 December 2017. A Members Budget Seminar will be taking place on 22 January 2018 to look at the budget proposals in more detail prior to the Fire Authority meeting on 9 February 2018.</p> <p>Financial performance is monitored by Members on a quarterly basis. The 2nd Quarter performance for 2017-18 was reported to the Finance, Governance and Audit Committee in December 2017. The 3rd Quarter performance will be reported in March 2018.</p> <p>The statutory accounts for 2016-17 received an unqualified opinion from our external auditors and were approved by Members in September. Planning to produce the 2017/18 statutory accounts is progressing well, 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 completed. The 2017-18 audit is scheduled to commence w/b 29 January 2018.</p> <p>There has been significant procurement activity taking place. 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. We have also been taking a leading role in a national procurement project for the provision of mobile data terminals. This project is expected to demonstrate significant savings for the FRSs involved.</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>Overall, there are no real causes for concern or strategic issues to raise with Members. There has been continual progress with the development of the PAS 55 systems approach to asset management and the asset management strategy is now approximately 75% complete and most procedures from the two former services have either been consolidated into one procedure or new ones have been written.</p> <p>There has been significant progress with the migration of software systems within the department. The two existing equipment management databases are being merged into one modern information system, which will allow us to strengthen the effective and efficient management of our equipment assets. The fleet systems are being merged into one combined information system and we are on target to provide full functionality within this new system by 31 March 2018. The stores system is being consolidated into the Agresso finance system, which will result in more efficient processes and strengthen joint working with finance. The estates system is already service wide ensuring a common approach to management of our estate assets.</p> <p>The Equipment Manager role has been advertised and interviews will be held in February 2018. It is anticipated that this role will be filled by the end of March 2018.</p> <p>Project officers have been reviewing processes and procedures within the Equipment team and how they interact with Fleet and Supplies teams. It is intended that this piece of work will identify how efficiencies and cost savings can be achieved in how the Equipment team operate.</p> <p>ICT:</p> <p>The ICT Roadmap provides a five-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 quarterly as part of the scrutiny provided by the Service Support Delivery Team. It is then discussed and approved by the Strategic 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 (Information Technology Infrastructure Library) the international service management standard for IT, 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 Business Relationship Manager 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 program.</p> <p>The projects and activities within ICT roadmap are broadly on track and there are no strategic issues to raise with Members.</p>	

Information Systems:

14 out of the 24 systems in the programme have now been combined into single databases/systems and are in use throughout the Service. The remaining 10 systems have clearly defined project, stakeholder and communication plans following the principals outlined within the programme. SLT continue to monitor the programme monthly. The programme is currently on track to deliver single databases/systems within the agreed timescales.

The ten system migration projects due to be completed in 2018-19:

1. Health and safety (COSHH) - On track (Go-live March 2018)
2. Health and safety (Workplace inspections) – On-track (The database is now live and will be used from 1 April in line with the procedure)
3. GARTAN (Availability)- Slight delay (Go-live March 2018)
4. GARTAN (Pay) - Slight delay (Go-live March 2018)
5. GARTAN (Rostering) - On track (Go-live March 2018)
6. GARTAN (Competence) - On track (Go-live December 2018)
7. Assets (Fleet) - On track (Go-live March 2018)
8. Assets (Supplies) - Slight delay (Go-live July 2018)
9. Assets (Equipment) – On track (Go-Live March 2019)
10. WallChart – Slight delay (Go-live March 2018)

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?
<p>Progress comment:</p> <p>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.</p> <p>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.</p> <p>A key area of focus has been our positive action programme ahead of commencing our whole-time recruitment. Our positive action campaign “#BeOneOfUs” was launched in October 2017. Posters, leaflets and banners have been produced and our website included a link to an inspirational promotional video about a career in the Fire Service and provided a structured 12-week fitness programme for potential applicants to follow. Six “have a go day” were held across the Service area and encouraged those attending to carry out some of the practical elements of the role such as hose running and wearing breathing apparatus. Following this our WDS recruitment campaign commenced in November 2017. The selection process consists of a number of elements with the last stage of presentation and interviews taking place in March/April. We are carrying our equality monitoring at each stage of the process and will use the data gathered to assess what additional interventions can be made in the future in support of our corporate target to increase the diversity of our workforce. A recruit course is scheduled to commence in June with recruits being posted to station in Sept/Oct</p> <p>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.</p> <p>Our new promotion procedure enables accelerated progression of our talented staff. Historically candidates needed to be competent or substantive in the role below the one being advertised. Our procedure provides the opportunity for individuals at two roles below the vacancy to apply if they are able to demonstrate relevant experience of operating at a higher level.</p> <p>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 new standard and associated funding band of which was agreed in December 2017. We are now able to use this to inform our workforce planning discussions.</p>	

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 induction 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: 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>An e-learning module has been developed to support 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 is being 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.</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. We have undertaken a comprehensive evaluation of the PR process in order to make improvements.</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>We have a Memorandum of Understanding (MOU) in place with the RNLI that has enabled us develop and share a common approach to leadership that is rooted in academic research and has leadership interventions with clear learning outcomes and objectives aligned to our values and behaviours. The course materials have been finalised for the supervisory level and two pilots of this programme will be jointly delivered by the RNLI and the service during 2018. Our intention is that this will become our first-level Leadership intervention and a delivery plan is being developed for all levels that will feed into our financial planning cycle to enable a full programme to be delivered during 2019. We are looking at how we set in place effective governance and quality assurance and are actively working to put in place an approach which is also fully aligned to the one used by the RNLI. Our Leadership approach is being designed to reflect the work that is being done through the National Fire Chiefs Council (NFCC) as well as with our local emergency service partners who we engage with through the South West Emergency Services Collaborative Partnership (SWECP). In support of our Leadership approach, our Development Pathways will be refreshed to ensure they are clearly aligned.</p> <p>Coaching and mentoring are recognised as key skills to support development and to enable learning and development within the workplace. However, we know that although we continue to use coaching and mentoring in some parts of the Service this needs more work to provide a coherent and consistent approach that seamlessly links to the roll-out of key initiatives such as the Lifesaving Leaders programme. We are supported by several of our partners including the RNLI and Police who have well-developed networks of coaches and we will be seeking to develop coaching skills more widely in the future through a detailed action plan to enable more cross-sector exchanges of coaching skills and develop opportunities across the partnerships we are involved in.</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.</p> <p>Good progress has been made on fitness assessments and fitness equipment has been delivered and installed in 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 up 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>Whilst sickness absence in Quarter 3 has increased for all staff groups other than fire control, absence management is monitored closely and good controls are in place. Long term sickness absence continues to be higher than short term sickness and all long-term absence cases are managed in accordance with our respective attendance management procedures and occupational health recommendations. All staff members are offered early intervention of physiotherapy, whilst waiting for the NHS provision, to prevent any delay in rehabilitation commencing. The Firefighters charity is also promoted for musculoskeletal injuries. All staff have confidential access direct to the counselling provision with an appointment offered within seven days of triage.</p> <p>In respect of short term attendance management, the trigger process is managed by HR Wellbeing Team and implemented by managers and HR Business Partners. These people also have access to the measures identified above should they wish to utilise them. Quarter 3 fell within the flu season and all staff were offered reimbursement of £10.00 (based on high street costs) towards a flu vaccination. Only 15 people throughout the service have received a flu jab funded by the service. The intention is to carry out a cost benefit analysis to assess whether this intervention reduced sickness absence during the winter period. This will still be undertaken but the limited take up could impact on the validity of the analysis. It is recognised that those with medical conditions and over a certain age would have been offered this free on the NHS and we do not know the number of these people.</p>	

The data across the Service for Quarter 3 is as follows:

- On-call – 3.40 days lost per person (compared to 2.81 days lost per person in quarter 2). Average 71% long term and 29% short term sickness. Eight on-call staff members remain on long term sick from Quarter 2. In addition, a further 12 members of staff went on long term sickness in Quarter 3 (3 x October, 3 x November and 6 x December). Of those people, seven have returned to work. Eight people (not those mentioned above) who were on long term sick in Quarter 2 returned to work in quarter 3.
- Wholetime - 2.76 shifts lost per person (compared to 2.07 shifts lost per person in quarter 2). Average 58% long term absence; 42% short term absence during quarter 3. Four people remain on long term sickness from quarter 2. A total of 9 people recorded in quarter 2 as being on long term sickness returned to work in quarter 3. An additional 12 people went on long term sick during quarter 3 (2 x October, 6 x November and 4 x December), of which three have returned to work.
- Fire Control – 3.58 shifts lost per person (compared to 5.85 shifts lost per person in quarter 2). Average 54% long term absence; 46% short term absence in quarter 3. One person remains on long term sickness from quarter 2. One person recorded in quarter 2 as being on long term sickness returned to work in quarter 3. No members of fire control went on long term sick during quarter 3.
- Corporate Staff – 2.34 shifts lost per person (compared to 1.71 shifts lost per person in quarter 2). Average 51% long term absence; 42% short term absence during quarter 2. One person remains on long term sickness from quarter 2. A total of three people recorded in quarter 2 as being on long term sickness returned to work in quarter 3 and one person left the service. An additional eight people went on long term sick during quarter 3 (2 x October, 5 x November and 1 x December), of which one has left the service and five have returned to work.

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. Our Leadership Forum continues to meet on a 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>The Smarter Working principles have been agreed and the programme of work is now underway across the multi-disciplinary Smarter Working group which includes ICT, Assets, Information Management, HR and People Development. An e-learning module has been developed to promote the principles and new ways of working and further workshops with managers are planned to help embed these ways of working across the Service.</p> <p>All staff now have an Office 365 account which enables staff to maximise the collaborative benefits of cloud based technology, further supporting our commitment to flexible working. This was launched with a new Intranet, CONNECT providing staff with a single web based point to access service wide information, their email, calendar, notice board, systems and targeted communications from any device with an internet connection. Adoption of this technology is key to the Service being able to realise many of the principles of the smarter working programme, and this will be achieved through a support and migration programme for all teams across the Service over the next six to nine months.</p> <p>The leadership profile of the Strategic 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>	