



**DORSET & WILTSHIRE
FIRE AND RESCUE
AUTHORITY**

Item 18/29

MEETING	Dorset & Wiltshire Fire and Rescue Authority
DATE OF MEETING	6 June 2018
SUBJECT OF THE REPORT	Policy Review
STATUS OF REPORT	For open publication
PURPOSE OF REPORT	For decision
EXECUTIVE SUMMARY	<p>There are currently 13 policies which were adopted on the inception of the new Authority in April 2016.</p> <p>With the review of the Community Safety Plan (CSP) and the associated Service Delivery Plan (SDP), there is the potential to rationalise the number of policies by embedding some of the current content within these documents.</p> <p>This will both simplify and better define our performance management arrangements and remove potential duplication within the strategic context sections of each priority and within both the Key Lines of Enquiry (KLOE) descriptors and associated baseline assessments within the SDP.</p> <p>If Members agree to the proposal, the revised policies will also act as a vehicle for nominated directors to provide annual assurance to the Authority via the Finance and Governance Committee (formerly the Finance, Governance & Audit Committee). This assurance will focus on whether the policy position is operating as intended and ensure that any key issues are highlighted and, if necessary, fed into the risk environment.</p>

RISK ASSESSMENT	Reducing the number of Authority policies will enable them to be more focused on outlining the strategic direction that the Authority has agreed to meet its statutory and regulatory responsibilities. It will also enable clearer assurance through our performance management and governance arrangements.
COMMUNITY IMPACT ASSESSMENT	None associated with the content of this paper
BUDGET IMPLICATIONS	None associated with the content of this paper
RECOMMENDATIONS	Members are asked to: 1. Consider and agree the proposal to reduce the number of Authority policies from 13 to eight.
BACKGROUND PAPERS	Dorset & Wiltshire Fire and Rescue Authority Members handbook and Scheme of Delegation Dorset & Wiltshire Fire and Rescue Service 13 policies https://www.dwfire.org.uk/about-us/who-we-are/service-plans-and-policies/
APPENDICES	Appendix A – Proposed Authority Policies
REPORT ORIGINATOR AND CONTACT	Name: Derek James Email: derek.james@dwfire.org.uk Telephone No: 07700 075959

1. Introduction

- 1.1 There are currently 13 Fire and Rescue Authority policies in place which were developed and agreed as part of the build up to combination on 1 April 2016, these are set out below.
- Asset Management
 - Corporate Governance
 - Information Management
 - Performance Risk and Business Continuity Management
 - Health, Safety and Welfare
 - Response
 - Prevention and Community Engagement
 - Protection
 - Employee Development
 - Employee Health and Well-being
 - Employee Performance and Reward
 - Equality, Diversity and Inclusion
 - Financial Management
- 1.2 With the review of the Community Safety Plan (CSP) and the associated Service Delivery Plan (SDP) there is the potential to look at rationalising and simplifying the number of policies by embedding much of the current content within these documents.

2. Current Position

- 2.1 Much of the content within the majority of the existing Authority policies simply state our operating principles and/or our tactical areas of focus. At the inception of the Dorset & Wiltshire Fire and Rescue Authority (the Authority) on 1 April 2016 this was considered to be a necessity in order to be specific about some of the detail that would need to be delivered by Dorset & Wiltshire Fire and Rescue Service (the Service).
- 2.2 More than two years on, it is now considered appropriate for the Authority policies to be more focused on outlining the strategic direction that the Authority has agreed to meet its statutory and regulatory responsibilities.
- 2.3 This approach would also simplify and better define our performance management arrangements, as the revised policies will also act as a vehicle for nominated directors to provide annual assurance to the Authority via the Finance and Governance Committee (formerly the Finance, Governance & Audit Committee).

- 2.4 The assurance would focus on whether the policy position was operating as intended and, if this wasn't the case, what actions were being taken to address the position or what new policy position needed to be considered by the Authority.

3. Proposal

- 3.1 It is proposed that the current 13 Authority policies be reduced to eight. These would be:
- Corporate Governance Policy
 - Health and Safety Policy
 - Equality, Diversity and Inclusion Policy
 - Finance Policy
 - Asset Management Policy
 - People Policy
 - Community Safety (Integrated Risk Management Programme (IRMP)) Policy
 - Safeguarding Policy
- 3.2 The revised policy statements are included in Appendix A to this paper. The table below indicates how the strategic context and regulatory and statutory responsibilities set out within the current policies have been absorbed into the new policies.
- 3.3 The reason that there are 14 policies referenced on the right-hand side of table 1 is that safeguarding is currently embedded within the prevention and community engagement policy. However, within the revised proposal it was thought pertinent for the Authority to have a separate and more complete policy setting out how safeguarding responsibilities will be discharged. This will support the Authority should it be involved in a serious case review.

Proposed Fire Authority Policy	Current Fire Authority Policy
Corporate Governance Policy	Corporate Governance Policy
	Information Management Policy
	Performance Risk and Business Continuity Policy
Health and Safety Policy	Health Safety and Welfare Policy
Equality, Diversity and Inclusion Policy	Equality, Diversity and Inclusion Policy
Asset Management Policy	Asset Management Policy
Financial Management Policy	Financial Management Policy
People Policy	Employee Development Policy
	Employee Health and Well-being Policy
	Employee Performance and Reward Policy
Community Safety (IRMP) Policy	Response Policy
	Prevention and Community Engagement Policy
	Protection Policy
Safeguarding Policy	Prevention and Community Engagement Policy

Table 1 – Proposed Fire Authority Policies

4. Summary and Key Points

- 4.1 It is considered beneficial to take the opportunity offered by the changes to the Authority’s governance arrangements, following the reduction in the number of Members, to have fewer and more focused policies that more accurately set out the strategic direction that the Authority has agreed to take to meet its statutory and regulatory responsibilities.
- 4.2 This approach would also simplify and better define our performance management arrangements, enabling the revised policies to be used as a means for directors to provide annual assurance to the Authority.

If Members agree to the proposed changes to the number and content of the Authorities policies, the changes will be reflected within the Members handbook.

Item 18/29 Appendix A

Proposed Fire and Rescue Authority Policies

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Corporate Governance Policy Statement

(incorporating information governance)

Policy objectives

We will:

1. commit to making sure the business of the Authority and the Service is conducted in accordance with the law and proper standards, and that public money is safeguarded, properly accounted for, and used economically, efficiently and effectively
2. ensure good governance is embedded throughout the organisation and we will aim for continuous improvement in delivering the services we provide
3. adopt the principles of 'Delivering Good Governance in Local Government' Framework 2016 produced by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE)
4. comply with Data Protection legislation, the Freedom of Information Act 2000, the Environmental Information Regulations 2004 and the Regulation of Investigatory Powers Act 2000
5. make sure the public has faith in our information and how we manage it by complying with our legal responsibilities and meeting industry standards; minimising the risk of unauthorised access to our information and embedding good information governance in all that we do
6. ensure we have an established information security management system in place that adequately protects our information and ensures we mitigate any threats and risk exposures, including the threat of cyber security
7. ensure that our communications and engagement is well coordinated and well targeted and complying with our equality, diversity and inclusion policy
8. share information securely with our partners, improving prevention and response activity, and ensure data sharing is managed in accordance with the requirements of Data Protection legislation.

Compliance and assurance

The Authority delegates these policy objectives to the Chief Fire Officer; Clerk & Monitoring Officer and Treasurer who will be collectively responsible for ensuring compliance with this policy through maintaining a constitution comprising of standing orders; financial regulations; contract and procurement standing orders; scheme of delegations to officers; along with a suite of supporting procedures. The Deputy Chief Fire Officer will be responsible for coordinating the annual review of these arrangements to demonstrate compliance with the principles of 'Delivering Good Governance in Local Government' Framework 2016 produced

by CIPFA and SOLACE. This will support the Statement of Assurance required under the National Framework for Fire and Rescue Services and the Annual Governance Statement required under the Accounts and Audit regulations both of which will be approved by the Finance and Governance Committee. We will also assure through reports received and judgements made by external auditors and Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS).

Document Management:

Lead director	Review Date
Derek James	01/06/2018

Health and Safety Policy Statement

Policy objectives

We will:

- provide for the health, safety, and welfare of all staff and volunteers and those who may be affected by what we do
- establish clear direction for the organisation through this policy and the implementation of effective procedures which aim to minimise injuries and ill health (both physical and mental); protect the environment and reduce unnecessary losses and liabilities
- ensure there are arrangements in place for effective policy development, organisation, planning, monitoring, performance management, audit, and review of our health and safety practices to maintain our compliance with relevant Statutes, Regulations, and Codes of Practice.

We are committed to ensuring:

1. the continual improvement of the organisation's occupational health and safety management system and that it is implemented across the whole service
2. the continual prevention of workplace injury and ill health through effective risk management and the implementation of safe systems of work
3. the periodic review of our legal compliance and our occupational health and safety management system to ensure that it remains relevant and appropriate for the services undertakings
4. the allocation of proportionate financial and physical resources to ensure that the occupational health and safety management system is effectively established, maintained and implemented
5. that the place of work is safe and without risks to health (physical and mental) and where, in the case of emergency operations this is not possible, to protect personnel from readily identifiable hazards
6. the necessary information, instructions, training and supervision are provided to ensure staff and volunteers are fully aware of their responsibilities and are accountable when carrying out their duties. This will also allow staff and volunteers to carry out their duties effectively and safely and to ensure the highest levels of competence
7. the monitoring and reviewing of our occupational health, safety and welfare performance and objectives to ensure standards are maintained and progressing to ensure continuous improvement
8. the development and maintenance of a positive health and safety culture, where staff are consulted with regarding health and safety matters as it is recognised that staff can make a vital contribution to health & safety procedure formulation and implementation

9. the investigation of all accidents, incidents and near misses with the objective of establishing root causes and preventing reoccurrence
10. that suitable and sufficient assessments of all significant risks to staff, and those who may be affected by the Service’s activities, are undertaken and recorded. Safe systems of work are provided and maintained to reduce risk to health to the lowest level possible
11. that operational personnel are prepared for the foreseeable hazards associated with emergency incidents through operational training where risk is both assessed and managed. In the operational environment, we will control health and safety risks to our fire fighters by employing the Fire Fighter Safety Maxim and in exceptional circumstances apply the operational discretion in pursuance of saving human life; taking decisive action to prevent an incident escalating and in incidents where taking no action may lead others to put themselves in danger.

Compliance and assurance

The Authority delegates these policy objectives to the Chief Fire Officer. The Deputy Chief Fire Officer will be responsible for ensuring compliance with this policy through maintaining a suite of supporting procedures and by monitoring, auditing, and reviewing our health and safety practices to maintain our compliance with relevant Statutes, Regulations, Codes of Practice and British Standards Institute (BSI) 18001 Occupational Health and Safety Management Certification. They will also undertake an annual assurance of this policy to support the Statement of Assurance required under the National Framework for Fire and Rescue Services which will be approved by the Finance and Governance Committee.

We will also assure through reports received and judgements made by BSI auditors and Her Majesty’s Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS).

Document Management:

Lead director	Review Date
Derek James	01/06/2018

Equality, Diversity and Inclusion Policy Statement

Policy objectives

We will:

1. ensure that we meet our public sector duties to advance equality of opportunity between people who share a protected characteristic and people who do not share it
2. not tolerate discrimination, harassment and victimisation and eliminate unlawful discrimination, harassment and victimisation and any other conduct prohibited by the Equality Act
3. foster good relations between people who share a protected characteristic and people who do not share it
4. undertake impact assessment of all procedures and practices in relation to the effect on people (workforce or service users) to ensure negative impact is mitigated or justified
5. ensure equality and diversity is mainstreamed into all our decision-making processes through our performance management framework, acting where we know groups are under-represented or if they risk being disadvantaged
6. monitor and evaluate the equality data of our workforce and service users to identify any trends of differential treatment based on a person's protected characteristics
7. foster an inclusive culture whereby we encourage our staff, volunteers and service users to be themselves and enable us to collate accurate equality data
8. design our services to take account of the differing needs of all the communities we serve
9. promote flexible working and family-friendly practices to enable us to attract and retain the best people
10. ensure that our staff/volunteers understand their responsibility to treat others with respect
11. ensure that bullying, harassment and unacceptable behaviour are not tolerated and effectively managed
12. ensure that all staff/volunteers are empowered and supported to challenge bullying, harassment and unacceptable behaviour
13. ensure that our managers take responsibility for upholding our values and challenge unacceptable behaviour delivering our policy objectives
14. ensure that those contractors from whom we procure goods and who deliver our services share our equality vision by demonstrating that all practicable steps are taken to allow equal access to the services they deliver and the employment opportunities they offer.

- 15. make sure our work in partnership with other statutory, private and third sector organisations is informed by our equality and diversity values
- 16. support the development of support networks for staff/volunteers
- 17. provide staff/volunteers with up to date information about support networks and the opportunity to take part in their development
- 18. seek external accreditation of our progress by working with - Stonewall, Quiltbag, AFSA (Asian Fire Service Association), Disability Confident and WFS (Women in the Fire Service) to support us in fully embedding equality, diversity and inclusion throughout the whole service
- 19. make a public commitment to meet our general and specific duties as set out in the Equality Act 2010.

Compliance and assurance

The Authority delegates these policy objectives to the Chief Fire Officer who will ensure that adequate procedures are in place and are appropriately resourced. The Deputy Chief Fire Officer will monitor and assure this policy through reviewing performance against a robust performance framework. We will also conduct a review of the effectiveness of this policy as part of our annual Statement of Assurance required under the National Framework for Fire and Rescue Services which will be approved by the Finance and Governance Committee. We will also assure through reports received and judgements made by Her Majesty’s Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS) supported by feedback from external bodies such as Stonewall through its workplace equality index.

Document Management:

Lead director	Review Date
Derek James	01/06/2018

Financial Management Policy Statement

Policy objectives

We will:

1. demonstrate and make sure high standards of financial governance and management are in place throughout the organisation through the application of financial regulations and contract and procurement standing orders
2. comply with all relevant finance legislation
3. manage the Authority's funds in accordance with the approved Treasury Management Strategy, adopting the CIPFA Treasury Management in the Public Services: Code of Practice and the CIPFA Prudential Code for Capital Finance in Local Authorities
4. make sure the public has faith in how we spend and manage our finances including ensuring that the Authority's financial statements (the annual Statement of Accounts), comply with the Account and Audit Regulations and the CIPFA Code of Practice on Local Authority Accounting in the United Kingdom
5. demonstrate value for money by making best use of the resources available to us, delivering economy, efficiency and effectiveness
6. ensure that decision making is supported by reliable financial data and information
7. manage significant financial liabilities and risks by maintaining a risk assessed general reserve of £2.5m
8. ensure that as far as reasonably possible, all of our assets are secure from attack or interference.

Compliance and assurance

The Authority delegates these policy objectives to the Treasurer of the Fire and Rescue Authority, i.e. the person appointed by them with responsibility for the proper administration of the Authority's financial affairs, in accordance with Section 151 of the Local Government Act 1972 and Section 112 of the Local Government Finance Act 1988 and the Chief Fire Officer.

The Director of Finance will be responsible for ensuring compliance with financial policy objectives through maintaining a suite of financial regulations and contract and procurement standing orders. The Director of Finance will also undertake an annual assurance of this policy to support the Statement of Assurance and the Annual Governance Statement which will be approved by the Finance and Governance Committee.

We will also assure through reports received and judgements made by Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS).

Document Management:

Lead director	Review Date
Phil Chow	01/06/2018

Asset Management Policy Statement

Policy objectives

We will:

1. ensure that our assets have the capabilities required to deliver our vision and to meet the requirements set out in our Community Safety Plan and that they are suitable and safe to be used by our diverse workforce
2. comply with all relevant statutory and regulatory requirements and achieve the high standards of health, safety and sustainability
3. maintain a register of our statutory/regulatory duties and record our compliance against each one
4. commit to continual improvement in asset management and performance
5. ensure effective asset management information systems are established, embedded and managed throughout the organisation by following the principles of Primary Authority Scheme (PAS) 55-1:2008 and the Royal Institution of Chartered Surveyors (RICS) guidance on Public Sector Property Asset Management
6. periodically revalue our estate by category, such that 20% of each asset category will be valued each year, over a five-year period as part of our on-going strategic assessment
7. ensure that our procurement activity complies with relevant legislation including EU Regulations, Public Contract Regulations 2015, Modern Slavery Act 2015 and The Public Services (Social Value) Act 2012
8. collaborate with other public sector and third sector/voluntary sector partners to help maximise value and community use of publicly funded assets and the achievement of economies of scale in purchasing
9. respond dynamically to external factors; such as changes in technology or best practice which affect our asset management
10. consider carbon reduction within our capital programme and asset management
11. ensure as far as reasonably possible, that all of our assets are secure from attack or interference.

Compliance and assurance

The Authority delegates these policy objectives to the Director of Support Services, who will be responsible for ensuring compliance with this policy through maintaining practices and procedures and ensuring adequate resources are allocated. The Director of Support Services will monitor and undertake an annual assurance of this policy to support the Statement of Assurance and the Annual Governance Statement which will be approved by the Finance and Governance Committee.

We will also assure through reports received and judgements made by Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS).

Document Management:

Lead director	Review Date
John Aldridge	01/06/2018

People Policy Statement

Policy objectives

We will:

1. be an employer of choice by creating an internal environment that is inclusive, well led, effectively managed and legally compliant
2. ensure our staff/volunteers are safe and competent to fulfil the requirements of responding to emergencies and supporting the safety, health and well-being of the communities we serve
3. ensure that our procedures and practices comply with employment law and follow the principles of the CIPD (Chartered Institute of Personnel and Development) and ACAS (the Advisory, Conciliation and Arbitration Service)
4. ensure our leaders and staff/volunteers are supported and work in line with our values and behaviours
5. ensure that all operational staff are recruited, trained, developed and assessed to meet the requirements of their role, including the maintenance of an Operational Licence
6. quality assure all operational training using procedures that are aligned to National Occupational Standards
7. develop the skills, knowledge and behaviours of our staff/volunteers to operate in a multi-agency and changing environment to meet organisational needs
8. ensure our approach to how we develop our people promotes fairness and equality in relation to the Equality Act (2010)
9. support and actively manage staff/volunteers whose performance does not meet expectations
10. attract, recruit and retain a diverse and inclusive workforce that is reflective of the community we serve
11. manage the health, fitness and well-being of our staff/volunteers and provide additional support when it is needed
12. recognise and reward our staff accordingly, ensuring that it is fair and consistent
13. ensure that all staff/volunteers have an understanding of the diverse communities within the service area and receive training to engage with those communities
14. collect, monitor and analyse the workforce data relating to our existing staff/volunteers to identify any trends that can be acted upon.

Compliance and assurance

The Authority delegates these policy objectives to the Chief Fire Officer who will ensure that adequate procedures are in place and are appropriately resourced. The Director for People Services will monitor and assure this policy through reviewing performance against a robust performance framework. They will also conduct a review of the effectiveness of this policy as part of our annual Statement of Assurance required under the National Framework for Fire and Rescue Services which will be approved by the Finance and Governance Committee.

We will also assure through reports received and judgements made by Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS).

Document Management:

Lead director	Review Date
Jenny Long	01/06/2018

Community Safety Policy Statement

(Integrated Risk Management Planning)

Policy objectives

We will:

1. comply with key legislation relevant to community safety, notably:
 - a. Fire and Rescue Service Act 2004
 - b. The requirements within the Fire and Rescue National Framework for England
 - c. The Regulatory Reform (Fire Safety) Order 2005
 - d. Civil Contingencies Act 2004
 - e. Police and Crime Act 2017
 - f. Any other function conferred on us by order from the Secretary of State
2. undertake an annual Strategic Assessment which will consider:
 - a. national, community and local risks, in conjunction with the Local Resilience Forums (LRFs)
 - b. changes in our operating environment
 - c. opportunities for improvement and vision for the future
3. collaborate with key partners wherever this delivers public value
4. use a comprehensive risk analysis methodology to identify and assess the full range of foreseeable risks to our communities
5. collaborate with local, regional and national partners to share intelligence and data to improve our risk modelling and the targeting of our resources against foreseeable risks
6. ensure that we maximise our resources, aligning them to risk and integrating our Prevention, Protection, Response and Resilience activities
7. embed our approach to risk within our planning, performance and risk management arrangements at the strategic, tactical and operational levels
8. consult with the public and key stakeholders on proposals for change arising from our Strategic Assessment as outlined in our Community Safety Plan
9. ensure effective governance arrangements are in place as set out in our Corporate Governance policy that ensures transparency and accountability in all our decision making
10. maintain a suitable and sufficient workforce in line with our People Policy
11. ensure the alignment of our communities' programme with our workforce planning arrangements and medium-term finance plan.

Compliance and assurance

The Authority delegates these policy objectives to the Chief Fire Officer who will ensure that adequate procedures are in place and are appropriately resourced. The Director for Community Safety will monitor and assure this policy through reviewing performance against a robust performance framework.

They will also conduct a review of the effectiveness of this policy as part of our annual Statement of Assurance required under the National Framework for Fire and Rescue Services which will be approved by the Finance and Governance Committee. We will also assure through reports received and judgements made by Her Majesty’s Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS).

Performance and risk reduction will also be monitored at a local level through four Local Performance and Scrutiny (LPSs) Committees which are quarterly public meetings.

Document Management:

Lead director	Review Date
James Mahoney	01/06/2018

Safeguarding Policy Statement

Policy objectives

Our policy and supporting procedures will be founded on six key principles namely:

- **Empowerment** – presumption of person led decisions and informed consent
- **Prevention** – it is better to take action before harm occurs
- **Proportionality** – proportionate and least intrusive response appropriate to the risk presented
- **Protection** – support and representation for those in greatest need
- **Partnership** – local solutions through services working with all communities. Communities have a part to play in preventing, detecting and reporting neglect and abuse
- **Accountability** – accountability and transparency in delivering safeguarding.

We will keep vulnerable adults and children safe by:

1. complying with our statutory duties
2. recognising that the protection and safety of vulnerable adults and children is the responsibility of all members of staff and volunteers and anyone working on behalf of the Service
3. valuing them, listening to and respecting them
4. appointing sufficient and suitably trained members of staff with sufficient authority to act
5. adopting safeguarding practices through procedures and a code of conduct for staff and volunteers
6. providing effective management for staff and volunteers through supervision, support, training and quality assurance measures
7. recruiting staff and volunteers safely, ensuring all necessary checks are made
8. recording and storing information professionally and securely, and sharing information about safeguarding and good practice via leaflets, posters and one-to-one discussions
9. sharing concerns and relevant information with agencies that need to know
10. managing any allegations against staff and volunteers appropriately
11. creating and maintaining an anti-bullying environment where all forms of bullying, harassment, discrimination, victimisation and unacceptable behaviour are not tolerated
12. ensuring that we have a policy and procedure to help us deal effectively with any bullying that does arise.

- 13. ensuring that we have effective complaints and whistleblowing measures in place
- 14. ensuring that we provide a safe physical environment for our service users, staff and volunteers, by applying health and safety measures in accordance with the law and regulatory guidance
- 15. collecting and monitoring equality data of those involved with safeguarding cases to ensure we identify trends involving people with protected characteristics (Equality Act 2010).

Compliance and assurance

The Authority delegates these policy objectives to the Chief Fire Officer who will ensure that adequate procedures are in place and are appropriately resourced. The Assistant Chief Fire Officer for Service Improvement will monitor and assure this policy. We will also conduct a review of the effectiveness of this policy as part of our annual Statement of Assurance required under the National Framework for Fire and Rescue Services which will be approved by the Finance and Governance Committee. We will also assure through reports received and judgements made by Her Majesty’s Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS) and specific inspections.

Document Management:

Lead director	Review Date
Mick Stead	01/06/2018