



## Governance & Performance Working Group:

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Our Reference  
MLJ/LS/JD

Date  
2 September 2019

Dear Member

## Derbyshire Fire & Rescue Authority Governance & Performance Working Group

Please attend the meeting of the Derbyshire Fire & Rescue Authority Governance & Performance Working Group, which will be held on **Monday 9 September 2019 at 1000 hours** in Room 18 at the Fire & Rescue Service Headquarters, Butterley Hall, Ripley, Derbyshire, DE5 3RS.

The agenda is set out below.

Yours sincerely

**Terry McDermott**  
Chief Fire Officer/Chief Executive

## A G E N D A

1. Apologies
2. Declaration of Interests
3. Minutes of the Meeting held on 3 June 2019
4. Annual Work Programme 2019-20
5. Terms of Reference

6. Internal Audit Progress Report 2019/20 (Verbal Update) – Mandy Marples, Derby City Council, CMAP
7. Proposed Scrutiny Programme 2019/20 – Judi Beresford, Area Manager People & Organisational Development
8. Quarter 1 Update Closed Discipline, Grievance and Complaints – Louise Taylor, Solicitor and Monitoring Officer
9. Key Subject Matter – Joint Control Project (Presentation) – Rick Roberts, Deputy Chief Fire Officer
10. Performance and Corporate Risk Quarter 1 (Including Brexit update) – Rick Roberts, Deputy Chief Fire Officer

Members can access the performance dashboard via the following link to the FireView intranet site:

[Performance Dashboards](#)

**FireView:**

Members are able to follow the Service's performance against Key Performance Measures (KPIs) and view the status of Corporate Risks within the quarterly performance reports. Progress against projects within the Service Plan 2014-17 can also be followed together with the Balance Scorecard that gives an overview of the effectiveness of the Service Plan.

**DERBYSHIRE FIRE & RESCUE AUTHORITY**  
**GOVERNANCE AND PERFORMANCE WORKING GROUP**  
**MINUTES OF THE MEETING HELD**  
**3 JUNE 2019**

**Present:** Cllr Evonne Williams (Chair)  
Cllr Clive Moesby  
Cllr Linda Chilton  
Cllr Steve Marshall-Clarke  
Cllr Sue Burfoot  
DCFO Gavin Tomlinson  
AM Judi Beresford  
Jo Williams – T/Head of Corporate Financial Services  
Simon Allsop – Director of Finance/Treasurer  
Mandy Marples (Central Midlands Audit Partnership (CMAP))  
Hannah McDonald (Derby City Council/CMAP)  
Chris Hewitt (Ernst & Young)  
Hassan Rohimun (Ernst & Young)

**Apologies:** GM Clive Stanbrook

**Committee Clerk:** Jessica Daft

**1. DECLARATIONS OF INTEREST**

No declarations of interest were given.

**2. MINUTES OF THE MEETING HELD ON 25 FEBRUARY 2019**

The minutes of the meeting held on 25 February were received by Members.

**3. EXTERNAL AUDIT FEE LETTER 2019/20**

H Rohimun presented the Annual Audit Fee Letter 2019/20. The indicative fee remains the same as last year at £25,184.

Members noted the contents of the letter.

**4. QUARTERLY AUDIT COMMITTEE BRIEFING AND MANAGEMENT UPDATE**

H Rohimun presented the Quarterly Audit Committee Briefing and S Allsop provided a Management Update. Members noted the briefing and the key issues raised within it. S Allsop provided responses to the issues and discussed the plans the Service has in place to address these.

Modelling around a 3 year settlement has taken place with the an announcement expected from the Government in Autumn 2019. S Allsop acknowledged Members concerns around the unresolved situation.

## **5. FINAL INTERNAL AUDIT REPORTS**

H McDonald presented the Final Audit Reports, providing updates on the following:

### **Main Accounting System**

The audit focused on key controls within the main accounting system, focussing on budget approval and budget monitoring, accounting reconciliations and the monitoring and resolution of error codes. Six recommendations were made, all of which were low risk. A reasonable assurance rating was given.

### **Procurement**

The audit focused on assessing the systems in place for monitoring and managing two contracts post award. Four recommendations were made, one of which was a moderate risk and the remaining three were low risk. A reasonable assurance rating was given.

### **Payroll**

The audit focused on the arrangements for sharing of information between the Human Resources and Payroll service areas. One recommendation of a moderate risk was made. A comprehensive assurance rating was given. S Allsop confirmed scoping of a new Payroll and Human Resources system is underway. Updates will be provided at future meetings on progress.

## **6. INTERNAL AUDIT PROGRESS REPORT**

M Marples presented the Internal Audit Progress Report.

All recommendations have been accepted by Management and M Marples confirmed CMAP are happy with the Service's progress in all areas.

## **7. INTERNAL AUDIT ANNUAL REPORT 2018/19**

M Marples presented the Internal Audit Annual Report for 2018/19. The purpose of the report is to give an annual opinion and for CMAP to confirm their own conformance of standards. The overall opinion is that of a satisfactory system of internal control.

Members thanked M Marples for the work undertaken and teams within the Service for ensuring recommendations are implemented in a timely manner.

## **8. ANNUAL GOVERNANCE STATEMENT 2018/19**

J Beresford presented the Annual Governance Statement 2018/19 and a revised Local Code of Corporate Governance.

J Beresford asked the Group for proposals for key subject matters to be reviewed in 2019/20. Members discussed topics and agreed to review the Joint Control Project, Human Resources and Payroll system, HMICFRS and Home Office response statistics.

Members accepted the recommendations for the approval of the Annual Governance Statement and Local Code of Corporate Governance.

## **9. ANNUAL REPORT**

J Beresford presented Members with the Annual Report. The Service has used a new approach to the Annual Report containing snapshots of key areas from 2018/19.

Members thanked J Beresford for the Report and agreed it was user friendly and easy to follow. J Beresford confirmed all Stations would be provided with the Report to share in their areas.

Members recommended the report for approval at the Fire and Rescue Authority Meeting on 20<sup>th</sup> June.

## **10. ANNUAL STATEMENT OF ASSURANCE**

J Beresford presented the Annual Statement of Assurance. Members agreed the document was in a better format and easier to understand than it had been in previous years.

Members recommended the report for approval at the Fire and Rescue Authority Meeting on 20<sup>th</sup> June.

## **11. BUDGET CONSULTATION PARTICIPATION**

S Allsop discussed how to improve the participation and consultation of the budget proposals. Previously, the Service has used Social Media to try and encourage members of the public to canvass their opinions but there had been low uptake and few comments received. Members discussed possible areas of improvement including making the information more visual and imaginative to gain readers interests. J Beresford and S Allsop would discuss potential ideas with the Corporate Communications team and Consultation Officers.

## **12. ABSENCE STATISTICS**

J Beresford presented Members with absence statistics and information from the Service's best value family group, giving comparative data of absence.

The national average for shifts lost for wholetime, control and non-uniform is 5.93, whilst the Service's is 4.19. J Beresford explained this is an excellent statistic for the Service and was influenced by numerous different initiatives and support for employees. The Service has seen a large reduction in sickness over the last 4 years.

Members raised concerns that whilst most employee groups were below the national average, the on-call group was above average. J Beresford confirmed this is a difficult statistic to measure and compare as all Services record their on-call sickness absence differently but work is ongoing to address sickness issues within the on-call employee group. Members asked that J Beresford discusses with other Services how they record their on-call sickness data.

**13. ANNUAL SUMMARY OF DISCIPLINE, GRIEVANCES AND EMPLOYEE COMPLAINTS AND ANALYSIS OF LEAVERS FOR 2018/19**

L Taylor discussed the Annual Summary of Discipline, Grievances and Employee Complaints and Analysis of Leavers for 2018/19. L Taylor explained the number of disciplines has decreased. Members noted the figures.

**14. ANNUAL SUMMARY OF SAFEGUARDING CASES**

L Taylor presented the Annual Summary of Safeguarding Cases. The Service recognises that its employees are often in a position to identify people at risk and is therefore looking into safeguarding training. A meeting regarding a potential e-learning platform to deliver this is to take place in the near future.

**15. REQUESTS FOR INFORMATION, COMPLAINTS AND APPRECIATIONS 2018/19**

L Taylor informed Members of the number and type of requests for information, public complains and appreciations received by Derbyshire Fire & Rescue Service in 2018/19. L Taylor confirmed the number of complaints had decreased. Members accepted the recommendation to note the contents of the report.

**16. REVIEW OF APPLIANCE AVAILABILITY**

J Beresford presented the Review of Appliance Availability final report from Year 2 of the Integrated Risk Management Plan.

Members noted the details in the Appendix and agreed it was a comprehensive and informative piece of work. A Labour Member commented that it could be helpful to include the reasoning behind why the number of Direct Engagements had decreased at some stations. This was due to the Safe & Well Checks becoming more in depth.

Members accepted the recommendation.

**17. SERVICE DELIVERY & RISK REVIEW**

J Beresford presented the scoping document for the Service Delivery & Risk Review. Members discussed the document purpose and objectives and agreed it was a good basis to start the review from.

**18. QUARTER 4 YEAR END PERFORMANCE SUMMARY 2018/19**

The Deputy Chief Fire Officer discussed the Quarter 4 Year End Performance Summary, providing an overview on key areas. A Conservative Member informed the Group good feedback had been received around the Service's work within schools. Members noted the statistics and information within the summary.

**19. BALANCED SCORECARD 2018/19**

The Deputy Chief Fire Officer provided an update on the information shown through the Balanced Scorecard. Members discussed and noted the information shown.

## GOVERNANCE &amp; PERFORMANCE WORKING GROUP

Terms of Reference Area	9 Sep 2019	11 Nov 2019	24 Feb 2020	1 June 2020	Supporting Information
<b>Audit Activity</b>					
Scrutinise recommendations of external audit reports	X	X	X	X	<ul style="list-style-type: none"> <li>Quarterly progress reports</li> <li>Annual audit and inspection letter</li> </ul>
Review internal audit activity (actual and proposed) to ensure it provides the required level of assurance and recommend the annual internal audit plan to FRA				X	
Monitor progress of significant audit corrective actions		X		X	
<b>Governance &amp; Risk Management Framework</b>					
Oversee information for the production of the AGS	X	X	X	X	
Scrutiny reviews: <ul style="list-style-type: none"> <li>Joint Control Project</li> <li>Human Resources and Payroll System Replacement</li> <li>HMICFRS</li> <li>Home Office Response Statistics</li> <li>Merger of Police/Fire Property teams</li> </ul>					As directed, ensuring Members engage in the scrutiny process. Consider use of criteria to determine need
Annual report and opinion from Internal Audit				X	To support the preparation of the AGS
Independent evaluation of Internal Audit				X	
Review of the IRMP including community, corporate and portfolio risks	X	X	X	X	Report using the Performance Management Dashboard – a web-based application that reports on real time performance.

Terms of Reference Area	9 Sep 2019	11 Nov 2019	24 Feb 2020	1 June 2020	Supporting Information
<b>Scrutiny Functions</b>					
Scrutinise relevant performance management information	X	X	X	X	Supported by the Performance Management Dashboard – a web-based application that reports on real time performance.
<b>Accounts</b>					
Scrutinise and review the Annual Statement of Accounts	X				
<b>Areas to be reported as appropriate</b>					
<ul style="list-style-type: none"> <li>• Review issues arising from external audit reports as appropriate</li> <li>• Treasurer updates as required</li> </ul>					

## **GOVERNANCE & PERFORMANCE WORKING GROUP TERMS OF REFERENCE**

All duties shall be reported to the Authority as appropriate.

### **Audit Duties:**

To provide independent assurance of the adequacy of the governance and risk management framework, the associated control environment and the independent scrutiny of the Authority's financial performance to the extent that it affects the Authority's exposure to risk and weakens the control.

### **Audit Activity:**

- To ensure an effective interface is in place with external accrediting bodies;
- To comment on the scope and depth of external audit work and to ensure it gives value for money;
- To recommend the commissioning of work from internal and external audit;
- To consider specific reports as agreed with the internal and external auditors;
- Following receipt by the Fire & Rescue Authority, to consider in detail the recommendations of the external auditor's annual letter, the annual governance report, the annual report and opinion from Internal Audit and other relevant audit reports;
- To consider the annual internal audit programme (from Derby City), to receive reports and to monitor against agreed progress
- To consider the summary of internal audit activity (actual and proposed) and the level of assurance it can give over the Authority's corporate governance arrangements;
- To consider reports and recommendations dealing with the management and performance of the providers of internal audit services and the annual review of internal audit.

### **Governance and Risk Management Framework:**

- To consider statutory consultation documents and any consequential implications for the Authority with respect to governance arrangements, corporate risk management and business continuity;
- To maintain an overview of the effectiveness of the Authority's constitution in respect of committee arrangements, contract procedure rules, financial regulations, schemes of delegation, officer codes of conduct and employees' behaviour and make recommendations to the Authority for improvement;
- To monitor effectiveness and outcomes relating to Authority policies on Whistle blowing, Anti-fraud and Anti-corruption strategy, external Complaints

Procedure, employee Grievance Procedure, Bullying and Harassment Procedure, and Disciplinary Procedure;

- To oversee the production of the Authority's Annual Governance Statement, evaluating assurances of the effectiveness of arrangements for corporate governance;
- To monitor the application of the Local Government Pension Scheme and Firefighters' Pension Scheme 1992, and the New Firefighters' Pension 2006, including retirements and dismissals made on medical grounds.
- To evaluate the corporate risk upon the Fire & Rescue Authority's statutory duties and monitor the effective development and operation of risk management and business continuity in the Authority;
- To maintain the register of corporate risks and the corporate business continuity planning framework and review them at least six monthly;
- To seek assurance on the governance arrangements of partnerships.

#### **Scrutiny Duties:**

- To scrutinise progress against the Service Plan, Integrated Risk Management Plan, and statutory and external accreditation assessment requirements) through the effective performance management of the corporate improvement plan;
- To scrutinise relevant qualitative and quantitative performance information;
- To consider the sufficiency of Service plans to deliver improved outcomes;
- To commission and oversee in-depth reviews on thematic areas (*support for undertaking reviews will be from relevant officer working groups*);
- To identify and report on areas of strong / weak performance together with evidence of reasons why, making recommendations where relevant to the Fire & Rescue Authority for improvement;
- To receive reports from the FRA and WGs which may include the requirement for closer scrutiny.

#### **Accounts:**

- To review the annual statement of accounts. Specifically, to consider and challenge whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Authority;
- To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.

**OPEN**

**DECISION**

**ITEM 7**

**GOVERNANCE & PERFORMANCE WORKING GROUP**

**9 SEPTEMBER 2019**

**REPORT OF AREA MANAGER ORGANISATIONAL DEVELOPMENT**

**PROPOSED SCRUTINY PROGRAMME  
FOR THE GOVERNANCE AND PERFORMANCE WORKING GROUP 2019/20**

**1. Purpose of Report**

- 1.1 To propose key subject matters for review by the Governance and Performance Working Group (GPWG) to support the Annual Governance Framework 2019/20.

**2. Recommendations**

- 2.1 To approve the key subject topics detailed below for review by GPWG during 2019/20, including the addition of a fifth topic.

**3. Information and Analysis**

- 3.1 At the Fire Authority meeting on 25 June 2015, Members agreed to replace Portfolio Assurance Statements that underpinned the Annual Governance Statement with scrutiny by Members of specific areas at each GPWG meeting.
- 3.2 To continue with this theme, below are some proposed topics for scrutiny by Members in 2019/20:
- Joint Control Project
  - Human Resources and Payroll System Replacement
  - HMICFRS
  - Home Office Response Statistics
- 3.3 Following the proposed merger of the Service Property team with that of the Police, it is suggested that this be added as a fifth area of scrutiny for GPWG Members to consider.

**This report has been consulted upon and approved by the following officers:**

Strategic Leadership Team – 28.8.19

**Contact Officer: AM Judi Beresford      Contact No: 01773 305305**



**Derbyshire**  
Fire & Rescue Service  
Making Derbyshire Safer

**ITEM 8**

## **DERBYSHIRE FIRE & RESCUE SERVICE**

### **DISCIPLINE, GRIEVANCE & EMPLOYEE COMPLAINTS 2019-20**

	<b>Discipline</b>	<b>Grievance</b>	<b>Employee Complaints</b>
<b>Quarter 1 - Apr-Jun 2019</b>	4	1	0
<b>Quarter 2 - Jul-Sept 2019</b>	0	0	0
<b>Quarter 3 - Oct-Dec 2019</b>	0	0	0
<b>Quarter 4 - Jan-Mar 2020</b>	0	0	0
<b>Total Closed Cases</b>	4	1	0

## DISCIPLINE, GRIEVANCE AND EMPLOYEE COMPLAINTS 2019-2020: QUARTER 1

### Closed Discipline Cases 01.04.19 - 30.06.19

Case No.	Allegation	Hearing	Outcome	Appeal	Outcome	Gender	Ethnicity	Disability	Religion or Belief
D02/19	Unauthorised absence from duty, failure to act in accordance with Service values, failure to follow the Service's code of conduct	Yes	First written warning - 6 months	No	Not applicable	Male	White - British	No	None
D03/19	Failure to re-book appointments with OH and failure to comply with relevant Service Procedure	No	Resigned following investigation	No	Not applicable	Male	White - British	No	Not Specified
D04/19	Failure to attend fire-calls within 5 minute response time and making claim for payment, failure to follow Service code of conduct and breach of contract of employment	No	Note for File	Not applicable	Not applicable	Male	White - British	No	Christian
D05/19	Failure to follow the Services code of conduct that risks bringing the Service into serious disrepute	Yes	First written warning - 6 months	No	Not applicable	Male	White - British	No	Not Specified

**Number of Live Discipline Cases at time of this report = 1**

**Closed Grievance Cases 01.04.19 - 30.06.19**

<b>Case No.</b>	<b>Details of Grievance</b>	<b>Verdict</b>	<b>Appeal</b>	<b>Verdict</b>	<b>Gender</b>	<b>Ethnicity</b>	<b>Disability</b>	<b>Religion or Belief</b>
G01/19	Ineligibility for protection following the Station's change to duty system	Upheld	No	Not applicable	Male	White - British	No	Not Specified

**Number of Live Grievance Cases at time of this report = 0**

**No Closed Complaints Cases 01.04.19 - 30.06.19**

**No Live Complaints Cases at the time of this report**



**Derbyshire**  
Fire & Rescue Service  
Making Derbyshire Safer

## Incident activity

- 1,700 incidents attended during quarter 1.
- 980 fires attended of which 300 were deliberate.
- 41 Deliberate vehicle fires represents a 25% increase on the quarter 1 average.

## Incident response

- 98% of 999 calls answered within 7 seconds, the highest annual total using the Tri-Service mobilising system.
- Mobilising system availability was 99%.
- First pumps arrived at 84% of life-risk fires within 10 minutes of being mobilised.
- On-call appliance availability was 80%, while wholtime pumps were available more than 99% of the time.

## Accidental dwelling fires

- 88 accidental dwelling fires attended represents the lowest quarter 1 on IRS records.
- 85% of dwellings attended had a smoke alarm fitted.
- 20% decline in cooking fires when comparing to the quarter 1 average.
- 'Single people renting low cost homes' and 'Elderly people with limited income' the most likely MOSAIC groups to have fires.

## Casualties

- 1 accidental fire-related fatality.
- 51 fire-related casualties (Exc. First and Precautionary Checks).

## Satisfaction

- 99% satisfaction rate in response to 'after the incident' surveys, SWC surveys, and business fire safety audit surveys.

## RTCs

- 4 persons killed and 40 seriously injured in RTCs attended by DFRS, the highest combined total since 2009/10.
- 11 people seriously injured in RTCs situated in Ascot Drive's station admin area.
- 'Hot-strike' type initiatives/actions have been taken following these serious incidents.

## Protection

- 731 SSRI lites completed & 67 SSRI fulls.
- Fewer than 100 non-domestic false alarms attended, the lowest on record following change in policy.
- 3% of the commercial properties within Derbyshire saw interaction with the service.
- 267 audits completed of which 78% were triggered by the risk based inspection program.

## Prevention activity

- Over a third of direct engagements converted to SWCs.
- 3,300 SWCs undertaken by stations, CSOs and HandyVans.
- 144 referrals to First Contact.

## Risk reduction activities

- 252 school fire safety talks conducted by CSOs.
- All 40 wholtime watches and 17 on-call units recorded risk reduction activities.
- These risk reduction activities included; school adoption initiatives, community engagement, planning community events and liaisons with partner agencies.

## Sickness

- Overall 20% reduction in average shifts lost to sickness when comparing against the average.