

**LEICESTER, LEICESTERSHIRE AND RUTLAND COMBINED FIRE  
AUTHORITY  
CORPORATE GOVERNANCE COMMITTEE**

**To: Members of the Corporate Governance Committee**

Cllr S Barton  
Cllr K Bool  
Mr. I. Bentley CC  
Cllr L Fonseca

Mr D Harrison CC  
Mr. J. Kaufman CC  
Mrs M. E. Newton CC  
Mr J Coxon CC  
Cllr A Thalukdar

Copies by email to:  
Other Members of the Combined Fire Authority for information only  
CFO, Directors and Area Managers.

Dear Sir/Madam,

You are invited to attend a meeting of the **Leicester, Leicestershire and Rutland Combined Fire Authority's Corporate Governance Committee** which will be held **via Microsoft Teams** on **Wednesday 16 September 2020** at **2:00pm** for the transaction of business set out on the attached Agenda.

Yours Faithfully



Lauren Haslam  
Monitoring Officer



**Leicestershire Fire and Rescue Service**

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**LEICESTER, LEICESTERSHIRE AND RUTLAND COMBINED FIRE  
AUTHORITY  
CORPORATE GOVERNANCE COMMITTEE  
WEDNESDAY 16 SEPTEMBER 2020 at 2:00PM**

*Location*                    **Via Microsoft Teams**

*Officer to contact* **Anna Poole (Tel. 0116 305 2583)**

*E-Mail*                      **anna.poole@leics.gov.uk**

**AGENDA**

<u>Item</u>	<u>Report by</u>	
1. Appointment of Chairman.		
2. Election of Vice Chairman.		
3. Apologies for absence.		
4. To receive declarations by members of interests in respect of items on this agenda.		
5. To advise of any other items which the Chair has decided to take as urgent.		
6. Chair's Announcements.		
7. Minutes of the meeting held on 11 March 2020.		(Pages 5 - 10)
8. Draft Statement of Accounts and Annual Governance Statement 2019/20.	The Treasurer	(Pages 11 - 146)
9. Financial Monitoring to end July 2020.	The Treasurer	(Pages 147 - 150)
10. Head of Internal Audit Service Annual Report 2019/20.	The Treasurer	(Pages 151 - 184)
11. Progress against the Internal Audit Plan 2020/21.	The Treasurer	(Pages 185 - 204)
12. Performance Monitoring April - July 2020.	Interim Chief Fire and Rescue Officer	(Pages 205 - 240)
13. Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services Improvement Plan.	Interim Chief Fire and Rescue Officer	(Pages 241 - 276)

14.	Service Development Programme and 'Our Plan 2020-24'.	Interim Chief Fire and Rescue Officer	(Pages 277 - 290)
15.	Organisational Risk Register.	Interim Chief Fire and Rescue Officer	(Pages 291 - 312)
16.	Governance Update.	Interim Chief Fire and Rescue Officer and the Monitoring Officer	(Pages 313 - 324)
17.	After the Incident Survey 2019/20.	Interim Chief Fire and Rescue Officer	(Pages 325 - 350)
18.	Appointment of Independent Persons.	The Monitoring Officer	(Pages 351 - 356)
19.	Urgent Items.		
20.	Date of Next Meeting.		

It was noted that the next meeting of the Corporate Governance Committee would be held on 18 November 2020 at 2.00pm.

Future meetings of the Corporate Governance Committee will be held at 2.00pm on the following dates:

- 20 January 2021
- 10 March 2021
- 14 July 2021

Minutes of a meeting of the CFA - Corporate Governance Committee held at County Hall, Glenfield on Wednesday, 11 March 2020.

PRESENT

Cllr. K. Bool (in the Chair)

Cllr. S. Barton  
Cllr. L. Fonseca  
Cllr. Ratilal Govind  
Mr. D. Harrison CC

Mr. J. Kaufman CC  
Mr T. Parton CC  
Mr J. Poland CC  
Cllr. A. Thalukdar

In attendance

Lauren Haslam, Monitoring Officer  
Alison Greenhill, Treasurer  
Callum Faint, Assistant Chief Fire and Rescue Officer  
Gavin Barker, Mazars  
Anita Pipes, Mazars  
Neil Jones, Head of Internal Audit and Assurance, Leicestershire County Council  
Matt Davis, Audit Manager, Leicestershire County Council  
Anna Poole, Democratic Services Officer

52. Apologies for absence.

Apologies were received from Mrs Newton CC and Mr Bentley CC.

53. Declarations of interest.

The Chairman invited members who wished to do so to declare an interest in respect of items on the agenda.

No declarations were made.

54. Urgent Items.

The Chairman advised that there was one urgent item for consideration. A verbal report of the Chief Fire and Rescue Officer concerning the Fire and Rescue Service's response to the Coronavirus pandemic.

The verbal report was urgent due to the developing situation with Covid-19 and the continued development of the Service's response after the agenda for the Corporate Governance Committee meeting had been published.

With the agreement of the Committee, the item was taken under item 15 on the agenda (minute 66 refers).

55. Chairman's Announcements.

The Chairman informed the Committee of the visit to Leicestershire Fire and Rescue Service (LFRS) by Alberto Costa MP in February, the high-rise exercises completed by operational and control crews involving over 60 staff practicing their skills in firefighting in a high-rise building; and highlighted that LFRS had received an LGBT+ inclusion award from De-Montfort University for its work in promoting equality for both LGBT staff and communities. A copy of the Chairman's Announcements, tabled at the meeting, are filed with these minutes.

There were no further announcements made.

56. Minutes of the previous meeting.

The minutes of the meeting held on 22 January 2020 were taken as read, confirmed and signed.

57. External Audit Plan 2019/20.

The Committee considered a report of the Treasurer which presented the External Audit Plan 2019/20. A copy of the report marked 'Agenda Item 6', is filed with these minutes.

The Chairman welcomed Gavin Barker of Mazars LLP, the CFA's external auditors for 2019/20, to the meeting.

Arising from discussion, the following points were raised:

- i. Based on the financial statements of LFRS, Mazars were able to give a 'reasonable assurance';
- ii. The significant risk related to the quality of working papers highlighted in the report arose due to the issues experienced in the audit for 2018/19. Mazars acknowledged that appropriate arrangements had since been put in place but they continued to monitor the process;
- iii. The impact of Covid-19 had not been included in the report as it was too early to speculate at this stage, although it was acknowledged that it could potentially impact on the delivery of the audit;
- iv. No significant risks had been identified regarding the Value For Money arrangements.

Members expressed concern that Mazars had highlighted that there would be an additional unspecified fee related to the extra work undertaken to address the financial pressures in the sector which would affect the Auditor's ability to deliver the audit by the end of July. The Treasurer assured members that the potential additional fees were affecting the public sector as a whole due to regulatory requirements, and were not related to Mazars' ability to complete the audit.

The Chairman thanked Mazars for their honesty in presenting the report to the Committee.

RESOLVED:

That the External Audit Plan 2019/20 be noted.

58. Progress against the Internal Audit Plan 2019/20.

The Committee considered a report of the Treasurer concerning the progress made against the Internal Audit Plan 2019-20. A copy of the report marked 'Agenda Item 7' is filed with these minutes.

Members were informed that the audit work related to Contract Procedure Rules and ICT Controls detailed under 'work in progress' would be completed but evidence was currently awaited. There were no issues of concern, it was just an issue of timing.

The High Importance recommendations would remain until the audit was cleared. The Change Control recommendation could not be closed as a new Service Desk was being procured. Members were assured that this was a timing issue only.

In response to questions, members were informed that electronic payslips would be sent to members once the new payroll provider was in place, which was expected to be from June 2020.

RESOLVED:

That the update provided on the progress made with the Internal Audit Plan 2019-20 be noted.

59. Internal Audit Plan 2020/21.

The Committee considered a report of the Treasurer concerning the Internal Audit Plan for 2020-21. A copy of the report marked 'Agenda Item 8' is filed with these minutes.

Members were informed that the Plan attached to the report was a 'Statement of Intent' and it was expected that there may be changes made due to the Coronavirus pandemic. The Auditors would agree with the Treasurer where their work should be focussed.

RESOLVED:

That

- a) the report and the Internal Audit Plan 2020-21 be noted; and
- b) the fact that the detail of the plan may change during the year in response to emerging issues and risks, be noted.

60. Financial Monitoring to the end of December 2019.

The Committee considered a report of the Treasurer concerning the key issues arising from the revenue budget and capital programme as at the end of December 2019. A copy of the report marked 'Agenda Item 9' is filed with these minutes.

## RESOLVED:

That the revenue budget and capital programme position as at the end of December 2019 be noted.

61. Performance Monitoring April 2019 - January 2020.

The Committee considered a report of the Chief Fire and Rescue Officer which presented an update on the performance of the Leicestershire Fire and Rescue Service for the period April 2019 – January 2020. A copy of the report marked 'Agenda Item 10' is filed with these minutes.

Members were informed that the new performance monitoring format would be used from the new financial year.

In response to questions, the following points were raised:

- i. The increase in On-Call availability was welcomed by members; the use of TRVs had contributed to the improvement;
- ii. When an incident was received, if 2 fire fighters were available and they met the requirements for using a TRV, then that would be used rather than a full engine;
- iii. The level of sickness at 6.83 days/shifts by support staff was better than the national average and that for most fire authorities. Extensive support arrangements were in place to support staff;
- iv. Risk assessments were carried out regarding accessibility particularly in built-up areas such as along the Golden Mile. Issues identified would be addressed by Fire Protection Officers. A risk-based inspection programme was in place for business properties.

## RESOLVED:

That the performance of the Leicestershire Fire and Rescue Service for the period April 2019 – January 2020 be noted.

62. Service Development Programme and 'Our Plan' Update.

The Committee considered a report of the Chief Fire and Rescue Officer concerning progress made since January 2020 in delivering projects within the Service Development Programme and the tasks included in Appendix A of Our Plan 2019-22. A copy of the report marked 'Agenda Item 11' is filed with these minutes.

## RESOLVED:

That the progress made since January 2020 in the delivery of projects within the Service Development Programme and the tasks that are included in Our Plan 2019-22 be noted.

63. Organisational Risk Register.

The Committee considered a report of the Chief Fire and Rescue Officer concerning the progress made in the identification, documentation and management of organisational



risk through the Organisational Risk Register. A copy of the report marked 'Agenda Item 12' is filed with these minutes.

RESOLVED:

That the Organisational Risk Register (appended to the report) be noted.

64. Industrial Action Business Continuity Planning.

The Committee considered a report of the Chief Fire and Rescue Officer concerning the actions taken regarding Business Continuity Planning following the Home Office Review in January 2019. A copy of the report, marked 'Agenda Item13', is filed with these minutes.

Members were informed that the tenders received for the Third-Party supplier were currently being evaluated and arrangements should be in place by April 2020. The contract would detail the training required, the appropriate level and the frequency of refresher training. Potentially some of the additional staff brought in as part of the contract could be ex-fire fighters.

Training a member of the public to become a fire fighter, to a safe and competent standard, usually lasted for 8 weeks. The tender process would include analysis of the tenders to ensure that all staff provided were adequately and appropriately trained. The contract awarded would include performance measures which would be monitored and reviewed.

RESOLVED:

That the progress made against the recommendations in the Home Office review in to Industrial Action Business Continuity Planning of Leicestershire Fire and Rescue Service, be noted.

65. Her Majesty's Inspectorate of Constabulary Fire and Rescue Services - Improvement Action Plan.

The Committee considered a report of the Chief Fire and Rescue Officer concerning the implementation of the Improvement Plan developed following the inspection by Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services in December 2018. A copy of the report, marked 'Agenda Item 14', is filed with these minutes.

Members were informed that officers were keen to increase capacity in the Fire Protection Team following the inspection findings and were assessing how this could be done. The inspection had not taken into account the availability of financial resource to address such recommendations.

RESOLVED:

That the progress made with the Improvement Plan (appended to the report) and the arrangements that are in place to monitor and ensure delivery of the Plan, be noted.

66. Urgent Items - Coronavirus (Covid-19).

The Committee considered an urgent verbal report of the Chief Fire and Rescue Officer which advised of the impact of the Coronavirus (Covid-19) pandemic within the County and LFRS' response. The verbal report was urgent as the situation and the Service's response was developing after the agenda for the Corporate Governance Committee meeting had been published.

Members were informed that:

- i. The Service was working locally and nationally in line with Public Health advice. Messages were being given to staff regarding increased hygiene, handwashing and cleaning regimes;
- ii. The Service was working across multi-agencies through the Strategic Coordination Group, with a 'business as usual' approach. Scenario planning, regarding future changes to the pandemic situation and impact on service delivery, was being undertaken;
- iii. The impact on fire staff of potential school closures was not known, although it was recognised that this would affect some staff. It was expected that this would have the largest impact on staffing levels and service delivery, as generally the workforce was fit and well.

In response to questions, the following points were raised:

- i. Professional support staff could all work from home if they needed to self-isolate. However, operational staff would be unable to do so;
- ii. The full HR implications and impact on service delivery of the need to self-isolate were unclear at present. There were key pieces of work in progress, including the procurement of a new payroll provider, and it was unclear what the impact of Covid-19 on this would be;
- iii. The need to self-isolate would be led by guidance for Public Health England. If a fire fighter was diagnosed with Covid-19, whether the remainder of the station would then self-isolate would be determined by whether the individual had been symptomatic in the workplace. Such instances would be treated on a case-by-case basis and relevant sites would be deep cleaned.

RESOLVED:

That the update on the impact of the Coronavirus (Covid-19) pandemic within the County and LFRS' response, be noted.

67. Date of Next Meeting.

The next meeting of the Corporate Governance Committee will be held on 15 July 2020 at 2pm at Leicestershire Fire and Rescue Service Headquarters, Birstall.

**Status of Report: Public**

**Meeting: Corporate Governance Committee**

**Date: 16 September 2020**

**Subject: Draft Statement of Accounts and Annual Governance Statement 2019/20**

**Report by: The Treasurer**

**Author: Amy Oliver, Chief Accountant**

**For: Decision**

### **Purpose**

1. The purpose of this report is to provide the Corporate Governance Committee with an opportunity to consider the draft Statement of Accounts and Annual Governance Statement (AGS) 2019/20, before they are presented to the Combined Fire Authority for formal approval. In addition, this report provides an update from Mazars, the External Auditors, on their work to date.

### **Recommendation**

2. The Committee is asked to
  - a. consider the draft Statement of Accounts and Annual Governance Statement for 2019/20, attached at Appendix 1, prior to approval by the Combined Fire Authority (CFA).
  - b. note the external audit update report provided by Mazars at Appendix 2, particularly the significant improvements made by the Authority in working practices since the presentation of the Accounts in 2019.

### **Executive Summary**

3. The Accounts and Audit Regulations (England) 2015 state that the accounts must be published with the audit opinion and certificate and be approved by Members by 31 July. For 2019/20, this deadline has been extended to the 30 November 2020 due to the Covid-19 pandemic. The draft Statement of Accounts was signed by the Treasurer and submitted to the external auditor (Mazars) on 7 August 2020.
4. The draft accounts are subject to ongoing review by Mazars before they conclude their audit opinion and Value for Money assessment.
5. The constitution provides that the CFA formally agrees the accounts and AGS. It is intended that the final version of the accounts will be presented to the CFA for approval at its meeting on 23 September 2020.

6. The statutory accounts are prepared in accordance with the Code of Practice on Local Authority Accounting in the UK. Separate management accounts were presented to the CFA in July, which set out the revenue and capital outturn position. The financial position of the Authority is presented in a different way in the Statement of Accounts. The outturn reports focus on the in-year financial performance in a format consistent with the Authority's budgets, while the Statement of Accounts shows the in-year performance in a standard format adopted by all local authorities, including a balance sheet showing the underlying financial position.
7. The outturn position has been amended since being reported to the CFA at its meeting on 29 July 2020, as some accruals were identified as being incorrect, which meant the surplus increased from £894,000 to £998,000. This adjustment has been reflected in the draft Statement of Accounts.
8. The External Auditors have provided an update on their work to date. This report notes the progress they have made to date, along with noting the significant improvements made by the Authority following the issues identified and reported to the CFA as part of the 2018/19 audit. The report particularly notes that the working papers to support the statement of accounts were of high quality and the Auditors found officers responsive and helpful with any queries.

## **Background**

9. The Accounts and Audit Regulations (England) 2015 state that the accounts must be published with the audit opinion and certificate and be approved by Members by 31 July. For 2019/20, this deadline has been extended to the 30 November 2020 due to the Covid-19 pandemic. The draft Statement of Accounts was signed by the Treasurer and submitted to the external auditor (Mazars) on 7 August 2020.
10. The draft set of 2019/20 accounts as distributed to Mazars is attached as Appendix 1. The draft accounts are subject to ongoing review by Mazars before they conclude their audit opinion and Value for Money assessment.
11. The constitution provides that the CFA formally agrees the accounts and AGS. It is intended that the final version of the accounts will be presented to the CFA for approval at its meeting on 23 September 2020.
12. Approval and ownership of the Annual Governance Statement (AGS) is required at a corporate level. The draft AGS is published with the Statement of Accounts and complies with the CIPFA/SOLACE "Delivering Good Governance Framework" (2016).
13. The draft Annual Governance Statement for 2019/20 should assure the people of Leicester, Leicestershire and Rutland that the Authority operates in accordance with the law and has due regard to proper standards of behaviour and that it safeguards the public purse.

### External Auditor's Update

14. The External Auditors have provided an update on their work to date. This report notes the progress they have made to date, along with noting the significant improvements made by the Authority following the issues identified and reported to the CFA as part of the 2018/19 audit. The report particularly notes that the working papers to support the statement of accounts were of high quality and the Auditors found officers responsive and helpful with any queries.

### **Report Implications/Impact**

15. Legal (including crime and disorder)

Regulations 6 (1) (a) and (b) of the Accounts and Audit Regulations 2015 (the Regulations) require the CFA to conduct a review, at least once a year, of the effectiveness of its system of internal control and approve an annual governance statement (AGS), prepared in accordance with proper practices in relation to internal control.

In anticipation of the potential disruption to relevant authorities caused by the spread of coronavirus (Covid-19), the Accounts and Audit (Coronavirus) (Amendment) Regulations 2020 amended the 2015 Regulations referred to above to extend the deadlines for relevant authorities to publish and make available for public inspection, their annual accounts and supporting documents in relation to the financial year beginning on 1 April 2019. The amendment regulations stipulate that the CFA must publish its draft Statement of Accounts and draft AGS by no later than 31 August 2020 and the publication date for final, audited, accounts has moved from 31 July to 30 November 2020.

16. Financial (including value for money, benefits and efficiencies)

These are contained within the report and appendix.

17. Risk (including corporate and operational, health and safety and any impact on the continuity of service delivery)

The Statement of Accounts is prepared in line with the final Revenue and Capital Outturn 2019/20 report. Mazars commenced their audit on the accounts in August 2020, with a view to ensuring that any changes necessary prior to the final publication of the Statement of Accounts will be reported and completed on time.

The Accounts and Audit (England) Regulations 2015 require the approved AGS to accompany the Statement of Accounts.

18. Staff, Service Users and Stakeholders (including the Equality Impact Assessment)

The arrangements and changes for the posts of Treasurer, Monitoring Officer and Chief Fire Officer are reflected within the AGS.

## 19. Environmental

Hard copies of the Annual Report (which will include the Statement of Accounts) are only produced on request. An electronic copy is available on the CFA's website.

## 20. Impact upon "Our Plan" Objectives

It is important to ensure that the budget set by the CFA reflects and enables progress to be made against the CFA's corporate objectives. The Medium-Term Financial Plan reflects the CFA's strategic plan, "Our Plan". It also reflects national and regional strategies and policies at the time of issue.

One of the CFA's corporate aims is achieving excellence in managing our Service. This is underpinned by the objective of efficiency and provision of a Value For Money service. The production of the AGS supports both the aim and objective.

## **Background Papers**

External Audit Plan 2019/20 (Corporate Governance Committee Report 10 March 2020):

<https://leics-fire.gov.uk/wp-content/uploads/2020/03/appendix-audit-strategy-memorandum.pdf>

Report to the CFA 29 July 2020 - Final Outturn 2019/20:

<https://leics-fire.gov.uk/wp-content/uploads/2020/07/revenue-and-capital-outturn-2019.pdf>

## **Appendices**

Appendix 1 - Draft Combined Fire Authority 2019/20 Statement of Accounts and Annual Governance Statement

Appendix 2 – External Audit Update Report

## **Officers to Contact**

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**LEICESTERSHIRE**

**FIRE and RESCUE SERVICE**

**DRAFT**

# **Annual Statement of Accounts and Governance Statement**

**2019 - 2020**



**Created:** August 2020

**Reviewed:** August 2020

**Owner:** Finance



# DRAFT ANNUAL ACCOUNTS 2019/20

## Leicestershire Fire and Rescue Service



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# Introductory Statements

# Narrative Statement

## 1. Foreword

Our purpose is **Safer People, Safer Places** in both our communities and our workplaces.

We must understand who our service users are and what services they need to ensure we can continue to deliver a well-managed service, focused on the end users and to direct our resources efficiently and effectively.

The corporate plan sets out how we will achieve our purpose and describes our service priorities and aims; departmental and district plans will detail how we will successfully achieve our desired outcomes.

Our prevention, protection and response teams will continue to manage the number and impact of incidents and will react effectively when they do happen. Our support teams will enable prevention, protection and response to deliver.

Our staff and our communities must feel safe and have confidence in the quality of the service that we provide and the way in which we deliver it. We've agreed a range of activities within our plan to make sure we continue to achieve our statutory duties and deliver an excellent fire and rescue service.

## 2. Leicestershire Fire and Rescue Service

Leicester, Leicestershire and Rutland cover an area of more than 979 square miles. It has a network of major motorways, an international airport, large scale businesses, buildings of historical importance and protected wildlife sites.

It has mix of urban, semi-rural and rural localities. The population is growing and ageing; at present it stands at just over 1.1 million people living in over 430,000 domestic properties. There are over 45,000 business premises.

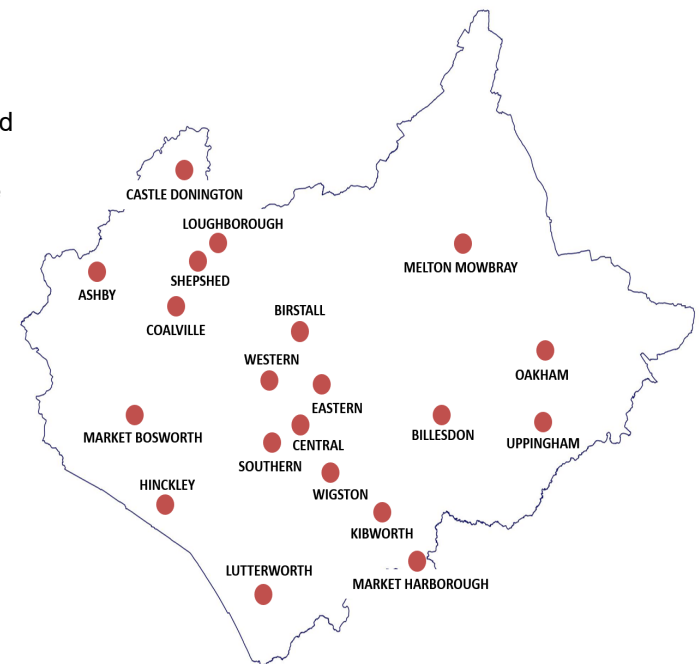
## 3. The Combined Fire Authority

The Leicester, Leicestershire and Rutland Combined Fire Authority (CFA) govern the Fire and Rescue Service. The CFA is responsible for delivering both an effective fire and rescue service to Leicester, Leicestershire and Rutland and the Corporate Plan and Integrated Risk Management Plan (IRMP). It provides clear leadership for residents and communities to ensure we operate with transparency and accountability.

## 4. About Us

We have 20 fire stations throughout Leicester, Leicestershire and Rutland, as shown in the map, and a fleet of fire engines and other operational vehicles. We employ just over 700 staff; 580 are firefighters, and the remainder are non-firefighting staff. We attend and resolve over 8,000 emergency incidents each year: fires in buildings,

complex rescue incidents involving road traffic collisions, hazardous materials, buildings collapsing and rescuing people trapped in water.



## Narrative Statement (continued)

### 5. Performance/Achievements

#### Incidents:

Fires	Road Traffic Collisions	False Alarms	Special Services	TOTAL INCIDENTS
2,079	748	2,994	2,720	8,541

Our response times in 19/20 were as follows:

- 95.22% of life threatening incidents within 10 minutes
- 99.48% of non-life threatening incidents within 20 minutes.

#### Prevention:

- During 2019/20 we carried out 7,274 home fire safety checks as part of our commitment towards improving community safety. Our partners (the British Legion, Hinckley & Bosworth Borough Council and Charnwood Neighbourhood) completed 366 of these.
  - In total, we fitted 4,720 smoke alarms.
- All of this work resulted in the following being served upon businesses or building owners:
- 18 prohibition notices
  - 36 enforcement (formal) notices
  - 81 action plans
  - 109 deficiency notices
  - 6 alteration notices
  - 18 interim measures

In 2019/20 our Fire Protection group completed:

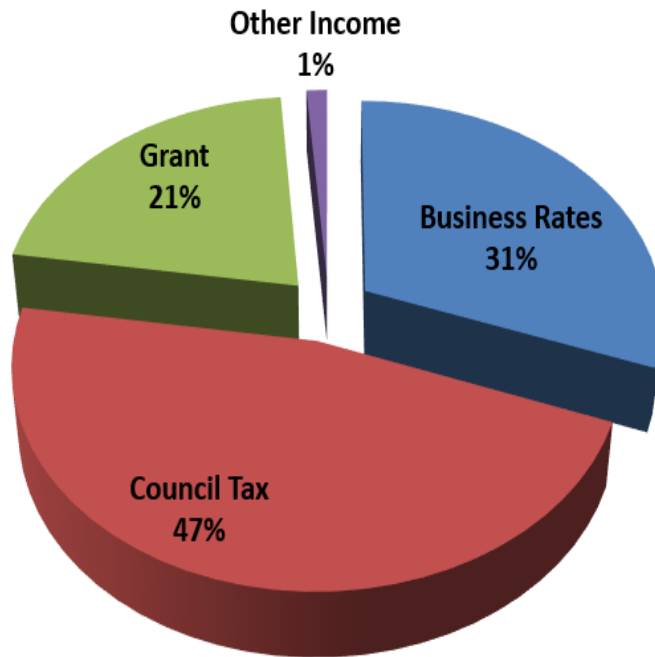
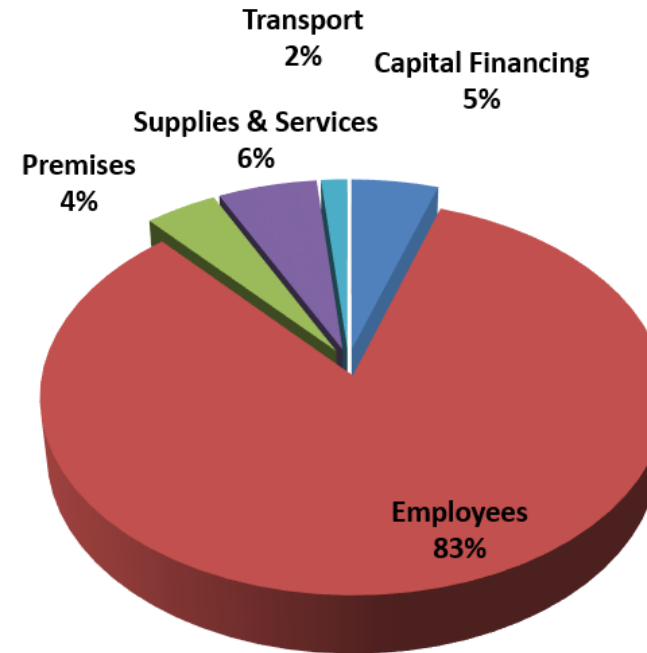
- 381 fire safety audits
- 790 building regulations inspections
- 503 fire safety concerns
- 141 specific inspections
- 43 desk-based inspections
- 212 licensing consultations
- 349 fire safety advice requests

## Narrative Statement (continued)

### 6. Financial Performance

Since 2010/11 there has been significant funding reductions, and this is forecast to continue. The CFA has addressed the issue through a 'managed reserves strategy', whereby reserves have been consciously increased to buy time to implement future reductions in a planned way.

Net expenditure on provision of services was £43,009k in 2019/20 and £55,995k in 2018/19. The chart to the right sets out the spend by subjective description.



The expenditure above is funded through various resources as demonstrated to the left: The Expenditure and Funding analysis as note 2 shows the relationship between the outturn position above and what is reported in the CFA's Comprehensive Income and Expenditure Statement. The CFA's Revenue Outturn report can be found on the following link: <https://leics-fire.gov.uk/wp-content/uploads/2020/07/revenue-and-capital-outturn-2019.pdf>

## Narrative Statement (continued)

### 7. Pension Liabilities

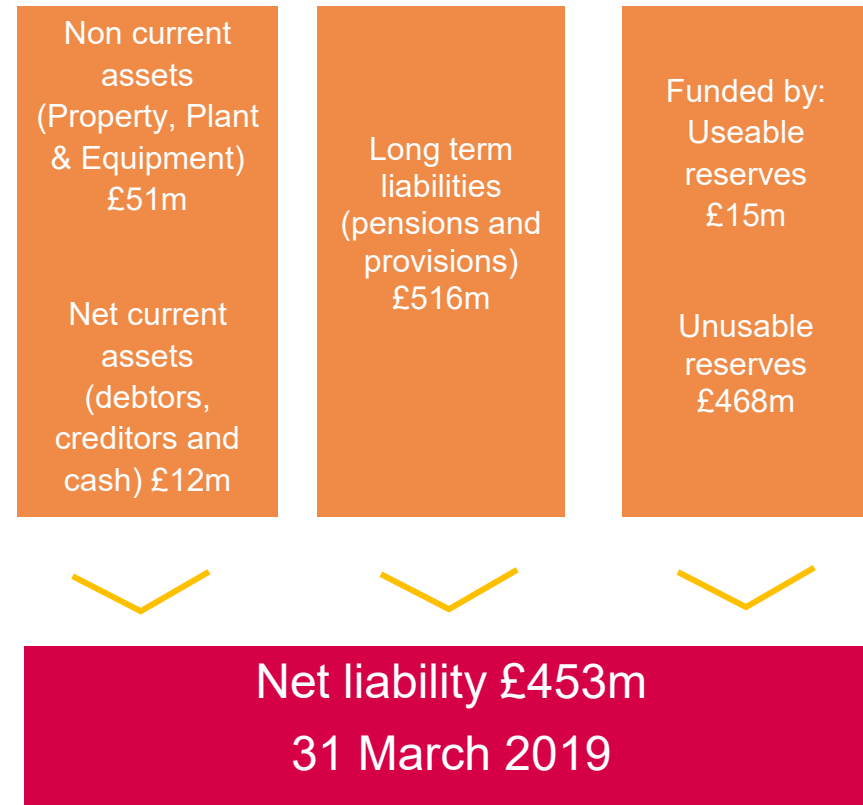
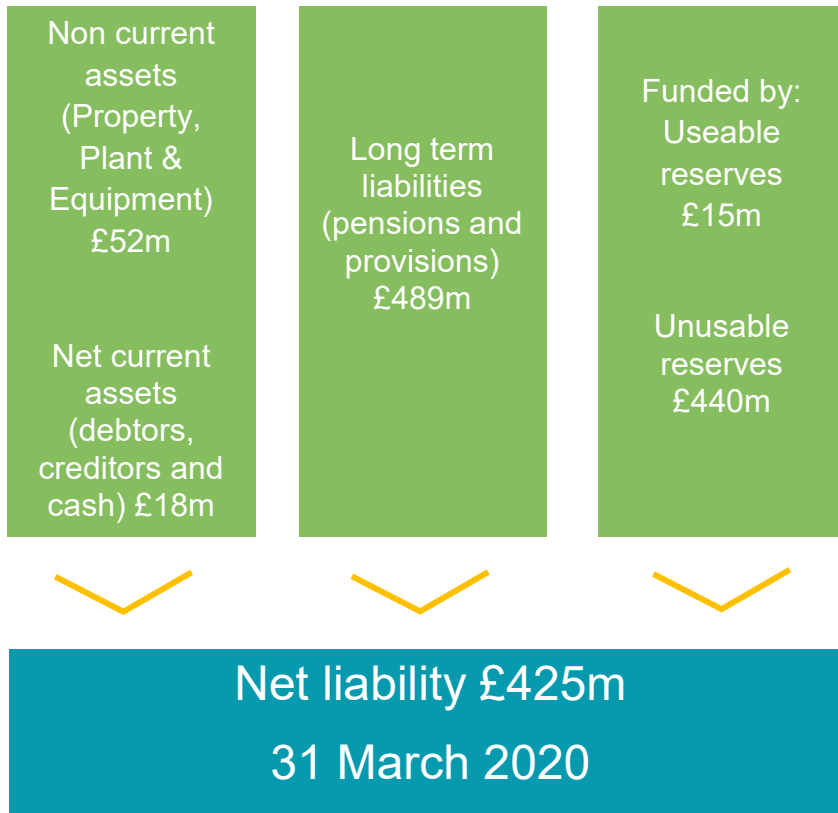
The Balance Sheet shows liabilities in respect of five pensions schemes provided for our staff:

The £11,868k liability (£17,054k in 2018/19) on the Local Government Pension Scheme (LGPS) is expected to be covered by increased levels of employer contributions.

The Firefighters' schemes are statutory unfunded schemes and the significant total liability of £462,440k (£483,590k in 2018/19) is a result of this position. There is no requirement, or legal powers, for the CFA to fund this deficit, and any costs not financed by future levels of employee or employer contributions will be met by grant from the Home Office. More details on pensions can be found in note 37.

## Narrative Statement (continued)

### 8. Net Assets



## Narrative Statement (continued)

### 9. Capital

The CFA had a budget for 19/20 Capital programme of £5,291k.

The key projects initiated in 2019/20 expected to carry forward into 2020/21 are the purchase of an aerial ladder platform vehicle, works arising from the condition survey, operational equipment purchases and demountable ICT devices for vehicles.

Capital Spend 2019-20		
Category	£000	Spend includes:
Property	155	Various works arising from condition survey
Vehicles	2,298	4 new appliances, 2 tactical response vehicles plus other operational and support vehicles
Firefighting Equipment	66	Minor equipment items
ICT	335	Upgrades to support systems
<b>Total</b>	<b>2,854</b>	



## Narrative Statement (continued)

### 10. Governance

Details regarding the CFA governance arrangements can be found in the Annual Governance Statement (page 100) along with the significant risks facing the authority.

### 11. Covid-19

In March, 2020, the Covid19 virus pandemic struck the UK. The CFA has supported other organisations during the pandemic including East Midlands Ambulance Service. The financial impact in 2019/20 was minor. The majority of the financial impact will be felt in 2020/21, this will be monitored closely. There is also expected to be an impact on the collection of council tax and non-domestic rates this is likely to impact the CFA's budget for 2021/22. The CFA has received £1m of grants from the Government to help meet the consequences of the pandemic. The CFA may need to carry out a more fundamental review of its revenue and capital priorities as part of its budget planning for 2021/22.

### 12. Looking Ahead

The CFA has set a balanced budget for 2020/21. Further detail on the CFA's long- term financial strategy can be found in the budget report;

<https://leics-fire.gov.uk/wp-content/uploads/2020/02/budget-strategy-2020-21-to-2021-22.pdf>

The strategy predated the Covid pandemic, and the future outlook is going to be heavily contingent on the long-term consequences. Although the additional current grant funding for 2020/21 is believed to be sufficient. However, we do not know the impact the pandemic will have on the income available to the CFA in future years. This will be reviewed as part of the budget planning for 2021/22.

### 13. Conclusion

The Authority will continue to operate within a reducing revenue budget envelope for the immediate future.

The Authority's Finance and Resources strategy aims to Deliver value for money quality services. The Authority will need to continue to ensure that it uses its cash and fixed asset resources in the most efficient and effective way possible. This will be important in maximising available resources whilst operating with prudent financial disciplines.

Further details on the Authority's organisational structure, corporate plans and strategic issues can be found in the Annual Governance Statement.

## Narrative Statement (continued)

### 14. Structure of the Statement of Accounts and Core Accounting Statements

The Statement of Accounts sets out the CFA's income and expenditure for the year, at its financial position at 31 March 2020. It comprises core and supplementary statements, together with disclosure notes. The format and content of the financial statements are prescribed by the CIPFA Code of Practice on Local Authority Accounting in the United Kingdom 2019/20. This is based on International Financial Reporting Standards adopted for use in the public sector context.

The Core Statements are:

- The **Comprehensive Income and Expenditure (CIES)** - this shows the net cost of providing services. This statement is prepared on the accounting basis. The Expenditure and Funding Analysis compares the CIES with level of income and expenditure which are taken into account when setting the annual budget and council tax, since certain amounts are disregarded under statute.
- The **Movement in Reserves Statement** is a summary of the changes in the CFA's reserves over the course of the year. Reserves are divided into usable reserves which can be used to fund future expenditure and unusable

reserves which are maintained to meet statutory responsibilities.

- The **Balance Sheet** shows the CFA's assets and liabilities at the year end. Net assets are matched by reserves which may be usable or unusable.
- The **Cash Flow Statement** shows the changes in cash and cash equivalents during the year and explains the reasons.

The Supplementary Financial Statements are:

- The **Annual Governance Statement** provides an overview of the CFA's key governance arrangements and updates readers on the conclusions of the annual review of these, including any changes and improvements that are being made.

The notes to these financial statements provide more detail about the CFA's accounting policies and individual transactions.

#### Group Accounts Preparation:

The CFA operates a trading company named Forge Health Limited as a wholly owned subsidiary. It is considered that the interests in Forge Health Limited are not material therefore group accounts are not presented.

# Statement of Responsibilities for the Statement of Accounts

## THE CFA'S RESPONSIBILITIES

The CFA is required to;

- (i) make arrangements for the proper administration of its financial affairs and to secure that one of its officers has the responsibility for the administration of those affairs. In the CFA that officer is the Treasurer,
- (ii) manage its affairs to secure economic, efficient and effective use of resources and safeguard its assets,
- (iii) approve the Statement of Accounts.

**These draft accounts were approved by the Treasurer to the CFA on the 7 August 2020.**

## CHAIR OF THE COMBINED FIRE AUTHORITY

### THE CHIEF FINANCIAL OFFICER'S RESPONSIBILITIES

The Chief Financial Officer is responsible for the preparation of the CFA's Statement of Accounts in accordance with proper practices as set out in the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom (the Code).

In preparing this Statement of Accounts, the chief financial officer has:

- (i) selected suitable accounting policies and then applied them consistently,
- (ii) made judgements and estimates that were reasonable and prudent,
- (iii) complied with the local authority Code,
- (iv) kept proper accounting records which were up to date,
- (v) taken reasonable steps for the prevention and detection of fraud and other irregularities.

I certify that the Statement of Accounts gives a true and fair view of the financial position of the Combined Fire Authority as at the reporting date and of its income and expenditure for the year ended the 31st March 2020.



**Alison Greenhill**

**TREASURER OF THE COMBINED FIRE AUTHORITY**

**Date: 7 August 2020.**

# Independent Auditor's Report to the Members of Leicester, Leicestershire and Rutland Combined Fire Authority





# Core Financial Statements

# Comprehensive Income and Expenditure Statement

The **Comprehensive Income and Expenditure Statement** shows the CFA's actual financial performance for the year on the accounting basis, measured in terms of the resources consumed and generated over the financial period under the relevant accounting standards. This statement is prepared on the accounting basis and shows a deficit in 2019/20 of £13,613k.

The Net Cost of Services is now reported to mirror the CFA's financial reporting to members, which is a move away from the previous SeRCOP reporting requirement.

Total comprehensive income and expenditure includes various transactions which illustrate aspects of the CFA's financial position but do not impact on the 'bottom line' amounts chargeable to

taxpayers, in particular gains on the revaluation of pension liabilities (£41,608k) and gains on revaluation of property assets (£641k).



## Comprehensive Income and Expenditure Statement (continued)

2018/19			2019/20				
Gross Exp	Income	Net Exp		Gross Exp	Income	Net Exp	
£000	£000	£000	Note	£000	£000	£000	
58,841	(2,846)	55,995	Combined Fire Authority	46,726	(3,717)	43,009	
<b>58,841</b>	<b>(2,846)</b>	<b>55,995</b>	<b>Cost of Services</b>	<b>46,726</b>	<b>(3,717)</b>	<b>43,009</b>	
-	(14)	(14)	Other Operating Expenditure	11	-	(21)	(21)
12,317	(196)	12,121	Financing and Investment Income and Expenditure	12	12,913	(72)	12,841
-	(43,764)	(43,764)	Taxation and Non-Specific Grant Income and Expenditure	13	-	(42,216)	(42,216)
<b>71,158</b>	<b>(46,820)</b>	<b>24,338</b>	<b>(Surplus) or Deficit on Provision of Services</b>	<b>13</b>	<b>59,639</b>	<b>(46,026)</b>	<b>13,613</b>
		(4)	(Surplus) or Deficit on Revaluation of Property, Plant and Equipment Assets	24			(641)
		15,469	Remeasurement of the Net Defined Benefit Liability	24			(41,608)
		<b>15,465</b>	<b>Other Comprehensive Income &amp; Expenditure</b>				<b>(42,249)</b>
		<b>39,803</b>	<b>Total Comprehensive Income &amp; Expenditure</b>				<b>(28,636)</b>

# Movement in Reserves Statement

The **Movement in Reserves Statement** shows the movement in the year on the different reserves held by the CFA.

2019/20		General Fund Balance	Earmarked Reserves	Total Usable Reserves	Unusable Reserves	Total Authority Reserves
	Note	£000	£000	£000	£000	£000
Note		23	10		24	
<b>Balance at 31st March 2019 brought forward</b>		2,612	12,448	15,060	(468,452)	(453,392)
Total Comprehensive Expenditure and Income		(13,613)		(13,613)	42,249	28,636
Adjustments between accounting basis & Funding basis under regulation	9	13,844		13,844	(13,844)	-
Transfers to/(from) Earmarked Reserves	10	(693)	693	-		-
<b>Increase/(Decrease) in 2019/20</b>		(462)	693	231	28,405	28,636
<b>Balance at 31st March 2020 carried forward</b>		2,150	13,141	15,291	(440,047)	(424,756)

## Movement in Reserves Statement (continued)

	2018/19	General	Earmarked	Total	Unusable	Total
		Fund	Reserves	Usable	Reserves	Authority
		Balance		Reserves		Reserves
	Note	£000	£000	£000	£000	£000
Note		23	10		24	
<b>Balance at 31st March 2018 brought forward</b>		<b>2,247</b>	<b>11,599</b>	<b>13,846</b>	<b>(427,435)</b>	<b>(413,589)</b>
Total Comprehensive Expenditure and Income		(24,338)	-	<b>(24,338)</b>	(15,465)	<b>(39,803)</b>
Adjustments between accounting basis & Funding basis under regulation	8	25,552	-	<b>25,552</b>	(25,552)	-
Transfers to/(from) Earmarked Reserves	10	(849)	849	-	-	-
<b>Increase/(Decrease) in 2018/19</b>		<b>365</b>	<b>849</b>	<b>1,214</b>	<b>(41,017)</b>	<b>(39,803)</b>
<b>Balance at 31st March 2019 carried forward</b>		<b>2,612</b>	<b>12,448</b>	<b>15,060</b>	<b>(468,452)</b>	<b>(453,392)</b>

# Balance Sheet

The Balance Sheet shows the CFA's assets and liabilities.

The top of the Balance Sheet shows the CFA's net assets. Assets include property, plant & equipment, intangible assets, amounts owed to the CFA and the CFA's cash and financial investments. Liabilities include amounts owed by the CFA (including conditional funding received), provisions made in respect of future events (see Note 22), the CFA's borrowing and the deficit on the CFA's pension fund.

The bottom of the Balance Sheet shows how the CFA's net assets are financed by reserves, which are divided into usable and unusable reserves. More information on reserves is given in Notes 10, 23 & 24, and the change in the level of reserves is reconciled in the Movement in Reserves Statement, as outlined above.

<b>31st March 2019</b>		<b>Note</b>	<b>31st March 2020</b>
<b>£000</b>			<b>£000</b>
51,288	Property, Plant & Equipment	15	52,269
-	Intangible Assets	16	107
<b>51,288</b>	<b>Long Term Assets</b>		<b>52,376</b>
376	Inventories	18	390
6,520	Short Term Debtors	19	4,486
10,471	Cash and Cash Equivalents	20	13,303
<b>17,367</b>	<b>Current Assets</b>		<b>18,179</b>
(634)	Short Term Borrowing	17	(1,369)
(4,663)	Short Term Creditors	21	(4,874)
(422)	Provisions (<1 year)	22	(417)
<b>(5,719)</b>	<b>Current Liabilities</b>		<b>(6,660)</b>
(475)	Provisions (>1 year)	22	(429)
(15,209)	Long Term Borrowing	17	(13,916)
(500,644)	Net Pensions Liability	24	(474,308)
<b>(516,328)</b>	<b>Long Term Liabilities</b>		<b>(488,653)</b>
<b>(453,392)</b>	<b>Net Assets</b>		<b>(424,758)</b>
	<u>Represented by:</u>		
15,060	Usable Reserves	23	15,289
(468,452)	Unusable Reserves	24	(440,047)
<b>(453,392)</b>	<b>Total Reserves</b>		<b>(424,758)</b>

# Cash Flow Statement

The Cash Flow Statement shows the changes in cash and cash equivalents of the CFA during the reporting period. The statement shows how the CFA generates and uses cash and cash equivalents by classifying cash flows as operating, investing and financing activities. The amount of net cash flows arising from operating activities is a key indicator of the extent to which the operations of the CFA are funded by way of taxation and grant income or from the recipients of services provided by the CFA. Investing activities represent the extent to which cash outflows have been made for resources which are intended to contribute to the CFA's future service delivery.

<b>2018/19</b>		<b>2019/20</b>
<b>£000</b>		<b>Note</b>
		<b>£000</b>
24,338	Net (surplus) or deficit on the provision of services	13,613
(28,053)	Adjustments to net surplus or deficit on the provision of services for non-cash movements	25 (20,016)
<b>(3,715)</b>	<b>Net cash flows from Operating Activities</b>	<b>(6,403)</b>
1,845	Net cash flows from Investing Activities	26 3,013
1,286	Net cash flows from Financing Activities	27 558
<b>(584)</b>	<b>Net (increase) or decrease in cash and cash equivalents</b>	<b>(2,832)</b>
9,887	Cash in hand, (overdraft) and cash equivalents at the beginning of the reporting period	10,471
<b>10,471</b>	<b>Cash in hand, (overdraft) and cash equivalents at the end of the reporting period</b>	<b>13,303</b>

# Explanatory Notes To The Core Financial Statements

# Note 1 Accounting Policies

## Changes in Accounting Policies

Only minor amendments have been made to the 2019/20 accounting policies to provide users with greater clarity.

## Accounting Policies for 2019/20

### **General Principles**

The Statement of Accounts summarises the CFA's transactions for the 2019/20 financial year and its position at the year-end of the 31st March 2020. The CFA is required to prepare an annual Statement of Accounts by the Accounts and Audit Regulations 2015 which those regulations require to be prepared in accordance with proper accounting practices. These practices under Section 21 of the 2003 Act primarily comprise the Code of Practice on Local Authority Accounting in the United Kingdom 2019/20 as applicable to Fire Authorities and the Service Reporting Code of Practice 2019/20 (SeRCOP), supported by International Financial Reporting Standards (IFRS).

The accounting convention adopted in the Statement of Accounts is principally historical cost, modified by the revaluation of certain categories of non-current assets and financial instruments.

All figures in the Statement have been rounded to the nearest £1,000, which may result in some rounding errors.

### **Accruals of Income and Expenditure**

Activity is accounted for in the year that it takes place, not simply when cash payments are made or received.

In particular:

Revenue from the sale of goods is recognised when the CFA transfers the significant risks and rewards of ownership to the purchaser and it is probable that economic benefits or service potential associated with the transaction will flow to the CFA.

Revenue from the provision of services is recognised when the CFA can measure reliably the percentage of completion of the transaction and it is probable that economic benefits or service potential associated with the transaction will flow to the CFA.

Supplies are recorded as expenditure when they are consumed. Where there is a gap between the date supplies are received and their consumption, they are carried as inventories on the Balance Sheet.

Expenses in relation to services received (including services provided by employees) are recorded as expenditure when the services are received rather than when payments are made.

Interest receivable on investments and payable on borrowings is accounted for respectively as income and expenditure on the basis of the effective interest rate for the relevant financial instrument rather than the cash flows fixed or determined by the contract.

Where revenue or expenditure has been recognised but cash has not been received or paid, a debtor or creditor for the relevant amount is recorded in the Balance Sheet. Where debts may not be settled, the balance of debtors is written down and a charge made to revenue for the income that might not be collected.

### **Cash and Cash Equivalents**

Cash is represented by cash in hand and deposits with financial institutions repayable without penalty on notice of not more than 24 hours. Cash equivalents are highly liquid investments that mature in three months or less from the date of acquisition and that are readily convertible to known amounts of cash with insignificant risk of change in value.

In the Cash Flow Statement, cash and cash equivalents are shown net of bank overdrafts that are repayable on demand and form an integral part of the CFA's cash management.

## Note 1 Accounting Policies (continued)

### Prior Year Adjustments, Changes in Accounting Policies and Estimates and Errors.

Prior year adjustments may arise as a result of a change in accounting policies or the need to correct a material error. Changes in accounting estimates are accounted for prospectively, i.e. in the current and future years affected by the change and do not give rise to a prior period adjustment.

Changes in accounting policies are only made when required by proper accounting practices or the change provides more reliable or relevant information about the effect of transactions, other events and conditions on the CFA's financial position or financial performance.

Where a change is made, it is applied retrospectively (unless stated otherwise) by adjusting opening balances and comparative amounts for the prior period as if the new policy had always been applied.

Material errors discovered in prior period are corrected retrospectively by amending opening balances and comparative amounts for the prior period.

### Charges to Revenue for Non-current Assets

Services and support services are debited with the following amounts to record the cost of holding non-current assets during the year:

- Depreciation attributable to the assets used
- Revaluation and impairment losses on assets where there are no accumulated gains in the

Revaluation Reserve against which the losses can be written off

- Amortisation of intangible assets.

The CFA is not required to raise council tax to fund depreciation, revaluation and impairment losses or amortisation. However, it is required to make an annual contribution from revenue towards the reduction in its overall borrowing requirement equal to an amount calculated on a prudent basis determined by the CFA in accordance with statutory guidance. Depreciation, revaluation and impairment losses and amortisation are therefore replaced by the contribution in the General Fund Balance (Minimum Revenue Provision (MRP) or the Statutory Repayment of Loans Fund Advances), by way of an adjusting transaction with the Capital Adjustment Account in the MIRS for the difference between the two.

### Council Tax and Non-Domestic Rates

Billing authorities act as agents, collecting council tax and non-domestic rates (NDR) on behalf of the major preceptors (including government for NDR) and, as principals, collecting NDR and council tax for themselves. Billing authorities are required by statute to maintain a separate fund (i.e. the Collection Fund) for the collection and distribution of amounts due in respect of council tax and NDR. Under the legislative framework for the Collection Fund, billing authorities, major preceptors and central government share proportionately the risks and rewards that the amount of council tax and NDR collected could be less or more than predicted.

### Accounting for Council Tax and NDR

The council tax and NDR income included in the Comprehensive Income and Expenditure Statement (CIES) is the CFA's share of accrued income for the year. However, regulations determine the amount of council tax and NDR that must be included in the CFA's General Fund. Therefore, the difference between the income included in the CIES and the amount required by regulation to be credited to the General Fund is taken to the Collection Fund Adjustment Account and included as a reconciling item in the Movement in Reserves Statement (MIRS).

The Balance Sheet includes the CFA's share of the year end balances in respect of council tax and NDR relating to arrears, impairment allowances for doubtful debts, overpayments and prepayments and appeals.



## Note 1 Accounting Policies (continued)

### Employee Benefits

#### Benefits Payable During Employment

Short-term employee benefits are those due to be settled wholly within 12 months of the year-end. They include wages, salaries, paid annual leave and paid sick leave, bonuses and non-monetary benefits (e.g. provided cars) for current employees and are recognised as an expense for services in the year in which employees render service to the CFA. An accrual is made for the cost of holiday entitlements (or any form of leave, e.g. time off in lieu) earned by employees but not taken before the year-end which employees can carry forward into the next financial year. The accrual is made at the wage and salary rates applicable in the following accounting year, being the period in which the employee takes the benefit. The accrual is charged to the Surplus or Deficit on the Provision of Services, but then reversed out through the MIRS so that holiday entitlements are charged to revenue in the financial year in which the holiday absence occurs.

#### Termination Benefits

Termination benefits are amounts payable as a result of a decision by the CFA to terminate an officer's employment before the normal retirement date or an officer's decision to accept voluntary redundancy in exchange for those benefits. These costs are charged on an accruals basis to the appropriate service segment at the earlier of when the CFA can no longer withdraw the offer of those benefits or when the CFA recognises costs for a restructuring. Where termination benefits involve the enhancement of pensions, the General Fund Balance is required to be charged with the amount payable by the CFA to

the pension fund or pensioner in the year, not the amount calculated according to the relevant accounting standards. In the MIRS, appropriations are required to and from the Pensions Reserve to remove the notional debits and credits for pension enhancement termination benefits and replace them with debits for the cash paid to the pension fund and pensioners and any such amounts payable but unpaid at the year end.

#### Post - Employment Benefits

Employees of the CFA are members of one of five pension schemes, all of which are accounted for as defined benefits schemes.

- The Local Government Pension Scheme (LGPS), for which Hymans Robertson calculate the liability as at the 31st March 2019 and which Leicestershire County Council administer.
- Four Firefighters' pension schemes, for which the Government Actuary's Department (GAD) calculate the liability:
  - The Firefighters' Pension Scheme 1992
  - The Firefighters' Pension Scheme 2006
  - The Firefighters' Pension Scheme 2015
  - The Firefighters' Injury Benefit Scheme

These schemes do not have the usual type of pension fund found in the private sector which uses investments to help meet scheme liabilities. The CFA is required to maintain a Firefighters' pension fund which:

~ receives employee and employer contributions and transfer values from other schemes, and

~ pays out benefits and transfer values to other schemes.

The CFA does not have the power to invest assets in the Firefighters' pension scheme as would normally be the case with a pension fund. If the fund has insufficient money to meet all of its pension liabilities, the Secretary of State will make up the shortfall; if the fund is in surplus, the Secretary of State will take the excess to cover any shortfall in the funds of other Authorities.

The liabilities attributable to the CFA are included in the Balance Sheet on an actuarial basis using the projected unit method - i.e. an assessment of the future payments that will be made in relation to retirement benefits earned to date by employees, based on assumptions about mortality rates, employee turnover rates etc, and projections of earnings for current employees.

## Note 1 Accounting Policies (continued)

Liabilities are discounted to their value at current prices, using a discount rate of 2.70% for the LGPS and 2.55% for the Firefighter's schemes.

The assets of the LGPS attributable to the CFA are included in the Balance Sheet at their fair value:

- quoted securities - current bid price
- unquoted securities - professional estimate
- unlisted securities - current bid price
- property - market value

The change in the pensions asset/liability is analysed into the following components:

Service cost comprising:

- current service cost - the increase in liabilities as a result of years of service earned this year - allocated in the CIES to the services for which the employees worked
- past service costs - the increase in liabilities as a result of a scheme amendment or curtailment whose effect relates to years of service earned in earlier years - debited to the Surplus or Deficit on the Provision of Services in the CIES as part of Non Distributed Costs
- net interest on the net defined benefit liability (asset) - i.e. net interest expense for the CFA - the change during the year in the net defined liability (asset) that arises from the passage of time charged to the Financing and Investment Income and Expenditure line of the CIES - this is calculated by applying the discount rate used to measure the defined benefit obligation at the

beginning of the period to the net defined benefit liability (asset) at the beginning of the period - taking into account any changes in the net defined benefit liability (asset) during the period as a result of contribution and benefit payments.

Remeasurements comprising:

- the return on plan assets - excluding amounts included in net interest on the net defined benefit liability (asset)
- charged to the Pensions Reserve as Other Comprehensive Income and Expenditure
- actuarial gains and losses - changes in the net pensions liability that arise because events have not coincided with assumptions made at the last actuarial valuation or because the actuaries have updated their assumptions - charged to the Pensions Reserve as Other Comprehensive Income and Expenditure.

Contributions paid to the pension funds

- cash paid as employer's contributions to the pension fund in settlement of liabilities: not accounted for as an expense.

In relation to retirement benefits, statutory provisions require the General Fund Balance to be charged with the amount payable by the CFA to the pension fund or directly to pensioners in the year, not the amount calculated according to the relevant accounting standards. In the MIRS, this means that there are transfers to and from the Pensions Reserve to remove the notional debits and credits for retirement benefits and replace them with debits for the cash paid to the pension fund and pensioners and any such

amounts payable but unpaid at the year-end.

The negative balance that arises on the Pensions Reserve thereby measures the beneficial impact to the General Fund of being required to account for retirement benefits on the basis of cash flows rather than as benefits are earned by employees.

### Discretionary Benefits

The CFA also has restricted powers to make discretionary awards of retirement benefits in the event of early retirements. Any liabilities estimated to arise as a result of an award to any member of staff are accrued in the year of the decision to make the award and accounted for using the same policies as are applied to the LGPS scheme.

## Note 1 Accounting Policies (continued)

### Events After the Reporting Period

Events after the Balance Sheet date are those events, both favourable and unfavourable, that occur between the end of the reporting period and the date when the Statement of Accounts is authorised for issue. Two types of events can be identified:

- those that provide evidence of conditions that existed at the end of the reporting period - the Statement of Accounts is adjusted to reflect such events
- those indicative of conditions that arose after the reporting period - the Statement of Accounts is not adjusted to reflect such events, but where a category of events would have a material effect, disclosure is made in the notes of the nature of the events and their estimated financial effect.

Events taking place after the date of authorisation for issue are not reflected in the Statement of Accounts.

### Financial Instruments

#### Financial Liabilities

Financial liabilities are recognised on the Balance Sheet when the CFA becomes a party to the contractual provisions of a financial instrument and are initially measured at fair value and are carried at their amortised cost. Annual charges to the Financing and Investment Income and Expenditure line in the CIES for interest payable are based on the carrying amount of the liability, multiplied by the effective rate of interest for the instrument. The effective interest rate is the rate

that exactly discounts estimated future cash payments over the life of the instrument to the amount at which it was originally recognised.

For most of the borrowings that the CFA has, this means that the amount presented in the Balance Sheet is the outstanding principal repayable (plus accrued interest) and interest charged to the CIES is the amount payable for the year according to the loan agreement.

#### Financial Assets

##### Loans and Receivables

Loans and receivables (assets that have fixed or determinable payments but are not quoted in an active market) are recognised on the Balance Sheet when the CFA becomes a party to the contractual provisions of a financial instrument and are initially measured at fair value. They are subsequently measured at their amortised cost. Annual credits to the Financing and Investment Income and Expenditure line in the CIES for interest receivable are based on the carrying amount of the asset multiplied by the effective rate of interest for the instrument. For most of the investments that the CFA has made, this means that the amount presented in the Balance Sheet is the outstanding principal receivable (plus accrued interest) and interest credited to the CIES is the amount receivable for the year in the loan agreement. The amortised cost will include any interest accrued and not received as at the Balance Sheet date. Where the interest is fixed for the term of the investment then the actual interest rate has been used to calculate interest receivable as this is the same as the effective

interest rate. There are no transaction costs relating to investments.

Annual credits to the Financing and Income and Expenditure line in the CIES for interest receivable are based on the carrying amount of the asset, multiplied by the effective rate of interest for the instrument.

Financial assets and financial liabilities are presented gross in the Statement of Accounts, unless the CFA has a legal right to set off the amounts in which case the gross amounts are disclosed in a note.

## Note 1 Accounting Policies (continued)

### Government Grants and Contributions

Whether paid on account, by instalments or in arrears, government grants and third party contributions and donations are recognised as due to the CFA when there is reasonable assurance that:

- the CFA will comply with the conditions attached to payments, and
- the monies will be received.

Amounts recognised as due to the CFA are not credited to the CIES until conditions attached to the grant or contribution have been satisfied. Conditions are stipulations that specify that the future economic benefits or service potential embodied in the asset in the form of the grant or contribution are required to be consumed by the recipient as specified, or future economic benefits or service potential must be returned to the transferor.

Monies advanced as grants and contributions for which conditions have not been satisfied are carried in the Balance Sheet as creditors. Where conditions are satisfied, the grant or contribution is credited to the relevant service line (attributable revenue grants and contributions) or Taxation and Non-specific Grant Income and Expenditure (non-ringfenced revenue grants and all capital grants) in the CIES.

Where capital grants are credited to the CIES, they are reversed out of the General Fund Balance in the MIRS. Where the grant has yet to be used to finance capital expenditure, it is

posted to the Capital Grants Unapplied reserve. Where it has been applied, it is posted to the Capital Adjustment Account. Amounts in the Capital Grants Unapplied reserve are transferred to the Capital Adjustment Account once they have been applied to fund capital expenditure.

### Intangible Assets

Expenditure on non-monetary assets that do not have physical substance but are controlled by the CFA as a result of past events, e.g. software licences, is capitalised when it is expected that future economic benefits or service potential will flow from the intangible asset to the CFA.

Intangible assets with an original cost in excess of £10k are measured initially at cost. Amounts are only revalued where the fair value of the assets held by the CFA can be determined by reference to an active market. In practice, no intangible asset held by the CFA meets this criterion, and they are therefore carried at amortised cost. The depreciable amount of an intangible asset is amortised over its useful life to the relevant service line in the CIES. An asset is tested for impairment whenever there is an indication that the asset might be impaired - any losses recognised are posted to the relevant service line in the CIES.

Where expenditure on intangible assets qualifies as capital expenditure for statutory purposes, amortisation, impairment losses and disposal gains and losses are not permitted to have an impact on the General Fund Balance. The gains and losses are therefore reversed out of the

General Fund Balance in the MIRS and posted to the CAA and (for any sale proceeds greater than £10k) the Capital Receipts Reserve.

### Interests in Companies and Other Entities

The CFA has an interest in Forge Health Limited that has the status of a wholly owned subsidiary. An annual review in accordance with paragraph 9.1.1.7 of the CIPFA Code of Practice on Local Authority Accounting in the United Kingdom 2018/19 has been undertaken and it is considered that this interest is not material therefore Group Accounts are not prepared. The income, expenditure, assets and liabilities of Forge Health Limited are not included in the main statements of the CFA. Note 28 gives details.

There are no interests in associates and jointly controlled entities.

### Inventories

Inventories are included in the Balance Sheet at the lower of cost and net realisable value. The cost of inventories is assigned using the first in, first out (FIFO) costing formula.

## Note 1 Accounting Policies (continued)

### Joint Operations

Joint Operations are arrangements where the parties that have joint control of the arrangement have rights to the assets and obligations for the liabilities relating to the arrangement. The activities undertaken by the authority in conjunction with other joint operators involve the use of the assets and resources of those joint operators. In relation to its interest in a joint operation, the authority as a joint operator recognises:

- its assets, including its share of any assets held jointly
- its liabilities, including its share of any liabilities incurred jointly
- its revenue from the sale of its share of the output arising from the joint operation
- its share of the revenue from the sale of the output by the joint operation
- its expenses, including its share of any expenses incurred jointly.

### Leases

Leases are classified as finance leases where the terms of the lease transfer substantially all the risks and rewards incidental to ownership of the property, plant or equipment from the lessor to the lessee. All other leases are classified as operating leases.

Where a lease covers both land and buildings, the land and buildings elements are considered separately for classification.

Arrangements that do not have the legal status of a lease but convey a right to use an asset in return for payment are accounted for under this policy where fulfilment of the arrangement is dependent on the use of specific assets.

#### CFA as Lessor

An agreement remains under negotiation with East Midlands Ambulance Service (EMAS) for occupation of an area within Headquarters. An accrual has been made for the estimated income from mid-September 2016.

#### CFA as Lessee

##### Finance Leases

Property, plant and equipment held under finance leases is recognised on the Balance Sheet at the commencement of the lease at its fair value measured at the lease's inception (or the present value of the minimum lease payments, if lower). The asset recognised is matched by a liability for the obligation to pay the lessor.

Lease payments are apportioned between;

- a charge for the acquisition of the interest in the property, plant or equipment - applied to write down the lease liability, and
- a finance charge (debited to the Financing and Investment Income and Expenditure line in the CIES).

Property, Plant and Equipment recognised under finance leases is accounted for using the policies applied generally to such assets, subject to

depreciation being charged over the lease term if this is shorter than the asset's estimated useful life (where ownership of the asset does not transfer to the CFA at the end of the lease period).

The CFA is not required to raise council tax to cover depreciation or revaluation and impairment losses arising on leased assets. Instead, a prudent annual contribution is made from revenue funds towards the deemed capital investment in accordance with statutory requirements. Depreciation and revaluation and impairment losses are therefore substituted by a revenue contribution in the General Fund Balance, by way of an adjusting transaction with the CAA in the MIRS for the difference between the two.

##### Operating Leases

Rentals paid under operating leases are charged to the CIES as an expense of the services benefitting from use of the leased property, plant or equipment. Charges are made on a straight-line basis over the life of the lease, even if this does not match the pattern of payments (e.g. there is a rent-free period at the commencement of the lease).

## Note 1 Accounting Policies (continued)

### Overheads and Support Services

The costs of overheads and support services are charged to services in accordance with the CFA's arrangements for accountability and financial performance.

### Property Plant and Equipment

Assets that have a physical substance and are held for use in the provision of services, for rental to others, or for administrative purposes and that are expected to be used during more than one financial year are classified as property, plant and equipment.

#### Recognition

Expenditure on the acquisition, creation or enhancement of property, plant and equipment is capitalised on an accruals basis, provided it is probable that the future economic benefits or service potential associated with the item will flow to the CFA and the cost of the item can be measured reliably. Expenditure that maintains but does not add to an asset's potential to deliver future economic benefits or service potential (i.e. repairs and maintenance) or is under a £5k de-minimus limit is charged as an expense when it is incurred.

#### Measurement

Assets are initially measured at cost, comprising:

- the purchase price
- any costs attributable to bringing the asset to the location and condition necessary for it to be capable of operating in the manner intended by management

The CFA does not capitalise borrowing costs incurred whilst assets are under construction.

The cost of assets acquired other than by purchase is deemed to be its fair value, unless the acquisition does not have commercial substance (i.e. it will not lead to a variation in the cash flows of the authority). In the latter case, where an asset is acquired via an exchange, the cost of the acquisition is the carrying amount of the asset given up by the CFA.

Assets are then carried in the Balance Sheet using the following measurement bases:

- offices and workshops - current value, determined as the amount that would be paid for the asset in its existing use
- fire stations - due to the specialised nature of the asset existing use value (EUV) cannot be assessed so it is held at depreciated replacement cost (DRC)
- assets under construction - depreciated historical cost
- all other assets - current value, determined as the amount that would be paid for the asset under EUV.

Where there is no market-based evidence of current value because of the specialist nature of an asset, depreciated replacement cost (DRC) is used as an estimate of current value.

Where non-property assets that have short useful lives or low values (or both), depreciated historical cost basis is used as a proxy for current value.

Assets included in the Balance Sheet at current value are revalued annually. The latest valuation exercise was carried out by Cameron Butler BLE (Hons) MRICS of FHP Property Consultants. The asset values used in the accounts are based on a certificate issued by FHP Property Consultants on all

properties as at the 31st March 2019. Additions which are still under construction are included in the accounts at cost. Increases in valuations are matched by credits to the Revaluation Reserve to recognise unrealised gains. Where decreases in value are identified, they are accounted for by:

## Note 1 Accounting Policies (continued)

- where there is a balance of revaluation gains for the asset in the Revaluation Reserve, the carrying amount of the asset is written down against that balance (up to the amount of the accumulated gains)

- where there is no balance in the Revaluation Reserve or an insufficient balance, the carrying amount of the asset is written down against the relevant service line(s) in the CIES.

The Revaluation Reserve contains revaluation gains recognised since 1st April 2007 only, the date of its formal implementation. Gains arising before that date have been consolidated into the CAA.

### Impairment

Assets are assessed at each year-end as to whether there is any indication that an asset may be impaired. Where indications exist and any possible differences are estimated to be material, the recoverable amount of the asset is estimated and, where this is less than the carrying amount of the asset, an impairment loss is recognised for the shortfall.

Where impairment losses are identified, they are accounted for by:

- where there is a balance of revaluation gains for the asset in the Revaluation Reserve, the carrying amount of the asset is written down against that balance (up to the amount of the accumulated gains)

- where there is no balance in the Revaluation Reserve or an insufficient balance, the carrying amount of the asset is written down against the relevant service line(s) in the CIES.

Where an impairment is reversed subsequently, the

reversal is credited to the relevant service line(s) in the CIES, up to the amount of the original loss, adjusted for depreciation that would have been charged if the loss had not been recognised.

### Depreciation

Depreciation is provided for on all property, plant and equipment assets by the systematic allocation of their depreciable amounts over their useful lives. An exception is made for assets without a determinable finite useful life (i.e. freehold land) and assets that are not yet available for use (i.e. assets under construction).

Depreciation is calculated on the following bases:

- buildings - straight line allocation over the useful life of the property as estimated by the valuer.

- vehicles, plant, furniture and equipment - a percentage of the value of each asset in the Balance sheet, as advised by a suitably qualified officer

Where an item of Property, Plant and Equipment asset has a major component whose cost is significant in relation to the total cost of the item and the significant life is different, the components are depreciated separately.

Revaluation gains are also depreciated, with an amount equal to the difference between current value depreciation charged on assets and the depreciation that would have been chargeable based on their historical cost being transferred each year from the Revaluation Reserve to the CAA.

## Note 1 Accounting Policies (continued)

### Disposals and Non-current Assets Held for Sale

When it becomes probable that the carrying amount of an asset will be recovered principally through a sale transaction rather than through its continuing use, it is reclassified as an Asset Held for Sale. The asset is revalued immediately before reclassification and then carried at the lower of this amount and fair value less costs to sell. Where there is a subsequent decrease to fair value less costs to sell, the loss is posted to the Other Operating Expenditure line in the CIES. Gains in fair value are recognised only up to the amount of any previous losses recognised in the Surplus or Deficit on Provision of Services. Depreciation is not charged on assets held for sale.

If assets no longer meet the criteria to be classified as assets held for sale, they are reclassified back to non-current assets and valued at the lower of their carrying amount before they were classified as held for sale, adjusted for depreciation, amortisation or revaluations that would have been recognised had they not been classified as held for sale, and their recoverable amount at the date of the decision not to sell. Assets that are abandoned or scrapped are not reclassified as assets held for sale.

When an asset is disposed of or decommissioned, the carrying amount of the asset in the Balance Sheet (whether property, plant and equipment or assets held for sale) is written off to the Other Operating Expenditure line in the CIES as part of the gain or loss on disposal. Receipts from disposals (if any) are credited to the same line in the CIES also as part of the gain or loss on disposal (i.e. netted off against the carrying value of the asset at the time of disposal). Any revaluation gains accumulated for the

asset in the Revaluation Reserve are transferred to the CAA.

Amounts received for a disposal in excess of £10,000 are categorised as capital receipts. The balance of receipts remains within the Capital Receipt Reserve, and can then be used for new capital investment, or set aside to reduce the underlying need to borrow (the CFR). Receipts are appropriated to the Reserve from the General Fund Balance in the MIRS.

The written-off value of disposals is not a charge against council tax, as the cost of non-current assets is fully provided for under separate arrangements for capital financing. Amounts are appropriated to the CAA from the General Fund Balance in the MIRS.

### **Provisions, Contingent Liabilities and Contingent Assets**

#### (i) Provisions

Provisions are made when an event has taken place that gives the CFA a legal or constructive obligation that probably requires settlement by a transfer of economics benefits or service potential, and a reliable estimate can be made of the amount of the obligation.

For instance, the CFA may be involved in a court case that could eventually result in the making of a settlement or the payment of compensation.

Provisions are charged as an expense to the appropriate service line in the CIES when the CFA has an obligation, and are measured at the best estimate at the balance sheet date of the expenditure required to settle the obligation, taking into account

relevant risks and uncertainties.

When payments are eventually made, they are charged to the provision carried in the Balance Sheet. Estimated settlements are reviewed at the end of each financial year - where it becomes less probable that a transfer of economic benefits will occur (or a lower settlement than anticipated is made), the provision is reversed and credited back to the relevant service.

Where some or all of the payment required to settle a provision is expected to be recovered from another party (e.g. from an insurance claim), this is only recognised as income for the relevant service if it is virtually certain that reimbursement will be received if the authority settles the obligation



## Note 1 Accounting Policies (continued)

The CFA holds an insurance provision to cover the cost of known or likely claims relating to past events where it is anticipated that payment is likely to be made and also a provision in respect of possible further increase of the Firefighters pay settlement for July 2017, on which discussions are still ongoing.

### (ii) Contingent Liabilities

A contingent liability arises where an event has taken place that gives the authority a possible obligation whose existence will only be confirmed by the occurrence or otherwise of uncertain future events not wholly within the control of the authority. Contingent liabilities also arise in circumstances where a provision would otherwise be made but either it is not probable that an outflow of resources will be required or the amount of the obligation cannot be measured reliably.

Contingent liabilities are not recognised in the Balance Sheet but disclosed in a note to the accounts.

### (iii) Contingent Assets

A contingent asset arises where an event has taken place that gives the authority a possible asset whose existence will only be confirmed by the occurrence or otherwise of uncertain future events not wholly within the entity's control.

Contingent assets are not recognised in the Balance Sheet but disclosed in a note to the accounts where it is probable that there will be an inflow of economic benefits or service potential.

## Reserves

The CFA sets aside specific amounts as reserves for future policy purposes or to cover contingencies. Reserves are created by appropriating amounts out of the General Fund Balance. When expenditure to be financed from a reserve is incurred, it is charged to the appropriate service in that year to score against the Surplus or Deficit on the Provision of Services in the CIES. The reserve is then transferred back into the General Fund Balance so that there is no net charge against council tax for the expenditure.

Certain reserves are kept to manage the accounting processes for non-current assets, financial instruments, local taxation, retirement and employee benefits and do not represent usable resources for the CFA – these reserves are explained in note 24.

## Value Added Tax

VAT payable is included as an expense only to the extent that it is not recoverable from Her Majesty's Revenue and Customs. VAT receivable is excluded from income.

## Note 2 Expenditure and Funding Analysis

2019/20	Net Expenditure Charged to the General Fund Balance	Adjustments Between Accounting & Funding Basis	Net Expenditure on the Comprehensive Income & Expenditure Statement
	£000	£000	£000
Fire Authority	34,934	8,074	43,008
<b>Net Cost of Services</b>	<b>34,934</b>	<b>8,074</b>	<b>43,008</b>
Other Operating Expenditure	(21)	-	(21)
Financing and Investment Income and Expenditure	572	12,270	12,842
Taxation and Non-Specific Grant Income	(35,716)	(6,500)	(42,216)
<b>(Surplus) or Deficit on Provision of Services</b>	<b>(231)</b>	<b>13,844</b>	<b>13,613</b>

Movement in Balances	Usable Reserves
Opening Balance	(15,057)
Surplus or Deficit in the Year	(231)
<b>Closing Balance</b>	<b>(15,288)</b>

## Note 2 Expenditure and Funding Analysis (continued)

2018/19	Net Expenditure Charged to the General Fund Balance	Adjustments Between Accounting & Funding Basis	Net Expenditure on the Comprehensive Income & Expenditure Statement
	£000	£000	£000
Fire Authority	33,375	22,622	55,997
<b>Net Cost of Services</b>	<b>33,375</b>	<b>22,622</b>	<b>55,997</b>
Other Operating Expenditure	(14)	-	(14)
Financing and Investment Income and Expenditure	534	11,587	12,121
Taxation and Non-Specific Grant Income	(35,106)	(8,658)	(43,764)
<b>(Surplus) or Deficit on Provision of Services</b>	<b>(1,211)</b>	<b>25,551</b>	<b>24,340</b>

Movement in Balances	Usable Reserves
Opening Balance	(13,846)
Surplus or Deficit in the Year	(1,211)
<b>Closing Balance</b>	<b>(15,057)</b>

## Note 3 Accounting Standards Issued But Not Yet Adopted

Under the Code of Practice on Local Authority Accounting in the United Kingdom 2019/20 (the Code), the Council is required to disclose information setting out the impact of an accounting change required by a new accounting standard that has been issued but not yet adopted by the Code. At the balance sheet date, the following new standards and amendments to existing standards have been published but not yet adopted by the Code of Practice of Local Authority Accounting in the United Kingdom:

**IAS 19 Employee Benefits** will require the remeasurement of net pension asset/liability following plan amendments, curtailments or settlements to be used to determine current service cost and net interest for the remainder of the year after the change to the plan. The updating of these assumptions only applies to changes from 1st April 2020 and, since this could result in positive, negative or no movement in the net pension liability, no prediction can be made of the possible accounting impact.

**IAS 28 Investments in Associates and Joint Ventures:** Long-term Interests in Associates and Joint Ventures amendments are not expected to have any impact on the accounts of LFRS

## Note 4 Critical Judgements in Applying Accounting Policies

In applying the accounting policies set out in Note 1 of this Statement of Accounts, the CFA has had to make certain judgements about complex transactions and/or those involving uncertainty about future events.

The critical judgements made in the Statement of Accounts are:

- a) There is a high degree of uncertainty about future funding levels for local government. However the CFA has determined that this uncertainty is not yet sufficient to provide an indication that the assets of the CFA might be impaired as a result of a need to close facilities and reduce levels of service provision
- b) The relationship with Forge Health Limited is treated as a wholly owned subsidiary in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom 2019/20. As the interests are not considered material, group accounts are not presented
- c) That no contracts held by the CFA hold embedded leases
- d) That no major legal claims are in progress which could result in claims of a material value by or from the CFA.

## Note 5 Assumptions Made about the Future and Other Major Sources of Estimation Uncertainty

The Statement of Accounts contains estimated figures that are based on assumptions made by the CFA about the future or that are otherwise uncertain. Estimates are made taking into account historical experience, current trends and other relevant factors. However, because balances cannot be determined with certainty, actual results could be materially different from the assumptions and estimates.

The items in the CFA's Balance Sheet at 31<sup>st</sup> March 2020 for which there is a significant risk of material adjustment in the forthcoming financial year are as follows:

Item	Uncertainties	Effect if Actual Results Differ from Assumptions
Property, Plant & Equipment	Assets are depreciated over useful lives that are dependent on assumptions about the level of repairs and maintenance that will be incurred in relation to individual assets. The current economic climate makes it uncertain that the CFA will be able to sustain its current spending on repairs and maintenance, bringing into doubt the useful lives assigned to assets.	<p>If the useful life of assets is reduced, depreciation increases and the carrying amount of the assets falls.</p> <p>It is estimated that the annual depreciation charge for buildings would increase by approximately £39k for every year that useful lives had to be reduced.</p>
Pensions Liability	Estimation of the net liability to pay pensions depends on a number of complex judgements by the actuary relating to the discount rate used, the rate at which salaries are projected to increase, changes in retirement rates, mortality rates and expected returns on pension fund assets. On behalf of the CFA, the Local Government Pension Scheme employs the Actuary, Hymans Robertson, and the Firefighter's Pension Schemes are valued by Government Actuary's Department (GAD). These actuaries provide expert advice on assumptions to be applied.	<p>The effects in the net pensions liability of changes in the individual assumptions can be measured. For instance a 0.5% increase in the discount rate assumption would result in an decrease in the pension liability of £47,453k (£4,453k LGPS and £43,000k Firefighters schemes).</p> <p>However, the assumptions interact in complex ways. During 2019/20, the CFA's actuaries advised that the net pensions liability had decreased by £3,379k as a result of estimates being corrected as a result of experience and decreased by £41,107k attributable to updating of the assumptions.</p>

**Note 5 Assumptions made about the future and other major sources of estimation uncertainty (continued)**

Item	Uncertainties	Effect if Actual Results Differ from Assumptions
Arrears	At the 31st March 2020, the CFA had a balance of sundry debtors of £47k. There is a balance of just under £30k over 121 days outstanding. There was also a balance of £29k relating to retained firefighter pension buy-backs. These are all over 121 days outstanding as the employees concerned have been given a longer timescale to repay. Due to the terms of the buy-back, it is not anticipated that any of these debts will become irrecoverable.	If all debt over 121 days were to be irrecoverable, there would be minimal effect to the CFA CIES. All funds currently outstanding relate to the firefighters pensions scheme which are collected then passed on to the Home Office as part of the firefighters pension account settlement.

## **Note 6** Material Items of Income and Expense

There are no material items of income and expenditure other than those disclosed elsewhere in these statements.

## **Note 7** Events After the Balance Sheet Date

There were no events to report between 1/4/20 and 07/08/20.



## Note 8 Note to the Expenditure and Funding Analysis

2019/20	Adjustments Between Accounting & Funding Basis					Net Expenditure Charged to the General Fund Balance
	Net Expenditure on the Comprehensive Income & Expenditure Statement	Adjustments for Capital Purposes	Adjustments for Defined Benefit Pensions	Other Adjustments	Total	
	£000	£000	£000	£000	£000	£000
Combined Fire Authority	43,009	1,573	(9,555)	(92)	(8,074)	34,935
<b>Cost of Services</b>	<b>43,009</b>	<b>1,573</b>	<b>(9,555)</b>	<b>(92)</b>	<b>(8,074)</b>	<b>34,935</b>
Other Operating Expenditure	(21)				-	(21)
Financing and Investment Income and Expenditure	12,841	21	(12,290)		(12,269)	572
Taxation and Non-Specific Grant Income	(42,216)		6,573	(73)	6,500	(35,716)
<b>(Surplus) or Deficit on Provision of Services</b>	<b>13,613</b>	<b>1,594</b>	<b>(15,272)</b>	<b>(165)</b>	<b>(13,843)</b>	<b>(230)</b>

## Note 8 Note to the Expenditure and Funding Analysis (continued)

2018/19	Adjustments Between Accounting & Funding Basis						Net Expenditure Charged to the General Fund Balance
	Net Expenditure on the Comprehensive Income & Expenditure Statement	Adjustments for Capital Purposes	Adjustments for Defined Benefit Pensions	Other Adjustments	Total		
	£000	£000	£000	£000	£000	£000	
Combined Fire Authority	55,995	1,110	(23,783)	51	(22,622)	33,373	
<b>Cost of Services</b>	<b>55,995</b>	<b>1,110</b>	<b>(23,783)</b>	<b>51</b>	<b>(22,622)</b>	<b>33,373</b>	
Other Operating Expenditure	(14)	-	-	-	-	(14)	
Financing and Investment Income and Expenditure	12,121	66	(11,653)	-	(11,587)	534	
Taxation and Non-Specific Grant Income	(43,764)	185	8,422	51	8,658	(35,106)	
<b>(Surplus) or Deficit on Provision of Services</b>	<b>24,338</b>	<b>1,361</b>	<b>(27,014)</b>	<b>102</b>	<b>(25,551)</b>	<b>(1,213)</b>	

## Note 8 Note to the Expenditure and Funding Analysis (continued)

### Adjustments for Capital Purposes

This column adds depreciation, impairment and revaluation gains and losses into the services line, and for:

- **Other Operating Expenditure** – adjusts for capital disposals with a transfer of income on disposal of assets and the amounts written off for those assets.
- **Financing and Investment Income and Expenditure** – the statutory charges for capital financing i.e. Minimum Revenue Provision and other revenue contributions are deducted from other income and expenditure as these are not chargeable under generally accepted accounting practices.
- **Taxation and Non-specific Grant Income and Expenditure** – capital grants are adjusted for income not chargeable under generally accepted accounting practices. Revenue grants are adjusted from those receivable in the year to those receivable without conditions or for which conditions were satisfied throughout the year. The Taxation and Non-Specific Grant Income and expenditure line is credited with capital grants receivable in the year without conditions or for which conditions are satisfied in the year.

### Net Change for Pensions Adjustments

This column adds in depreciation and impairment and revaluation gains and losses in the services line, and:

- For services this represents the removal of the employer pension contributions made by the authority as allowed by statute and the replacement with current service costs and past service costs.
- For Financing and investment income and expenditure - the net interest on the defined benefit liability is charged to the CIES.

### Other Adjustments

Other differences between amounts debited/credited to the CIES and amounts payable/receivable to be recognised under statute:

- For Financing and investment income and expenditure - the other differences column recognises adjustments to the General Fund for the timing differences for premiums and discounts.
- The charge under Taxation and non-specific grant income and expenditure represents the difference between what is chargeable under statutory regulations for council tax and NDR that was projected to be received at the start of the year and the income recognised under generally accepted accounting practices in the Code. This is a timing difference as any difference will be brought forward in future

Surpluses or Deficits on the Collection Fund.

## Note 9 Adjustments between Accounting Basis and Funding Basis under Regulations

This note details the adjustments that are made to the total comprehensive income and expenditure recognised by the CFA in the year in accordance with proper accounting practice to the resources that are specified by statutory provisions as being available to the CFA to meet future capital and revenue expenditure.

### General Fund Balance

The General Fund is the statutory fund into which all the receipts of an authority are required to be paid and out of which all liabilities of the authority are to be met, except to the extent that statutory rules might provide otherwise. These rules can also specify the financial year in which liabilities and payments should impact on the General Fund Balance, which is not necessarily in accordance with proper accounting practice. The General Fund Balance therefore summarises the resources that the CFA is statutorily empowered to spend on its services or on capital investment (or the deficit of resources that the CFA is required to recover) at the end of the financial year.

Adjustment	2019/20	
	General Fund Balance	Movement in Unusable Reserves
	£000	£000
<b>Adjustments primarily involving the Capital Adjustment Account:</b>		
Reversal of items debited or credited to the Comprehensive Income and Expenditure Account:		
Charges for depreciation, impairment and amortisation of non-current assets	2,710	(2,710)
Revaluation losses on Property Plant and Equipment	(301)	301
Capital grants and contributions applied		-
Amounts of non-current assets written off on disposal or sale as part of the gain/loss on disposal to the Comprehensive Income and Expenditure Statement		-
Use of the Capital Receipts Reserve to finance new capital expenditure	(21)	21
Insertion of items not debited or credited to the Comprehensive Income and Expenditure Account:		
Statutory provision for the financing of capital investment	(1,148)	1,148
Capital expenditure charged against the General Fund balance	(2,833)	2,833
<b>Adjustments primarily involving the Capital Receipts Reserve:</b>		
Transfer of cash sale proceeds credited as part of the gain/loss on disposal to the Comprehensive Income and Expenditure Statement	21	(21)
Use of the Capital Receipts Reserve to finance new capital expenditure	(21)	21

## Note 9 Adjustments between Accounting Basis and Funding Basis under Regulations

Adjustment Continued	2019/20	
	General Fund Balance	Movement in Unusable Reserves
	£000	£000
<b>Adjustments primarily involving the Deferred Capital Receipts Reserve:</b>		
Transfer from Deferred Capital Receipts Reserve upon receipt of cash		
Transfer of deferred sale proceeds credited as part of the gain/loss on disposal to the Comprehensive Income and Expenditure Statement		
<b>Adjustments primarily involving the Capital Grants Unapplied Reserve:</b>		
Capital grants recognised in the year and credited to the Capital Grants Unapplied Reserve		
Application of grants to capital financing credited to the Capital Adjustment Account		
<b>Adjustments primarily involving the Financial Instruments Adjustments Account:</b>		
Amount by which finance costs charged to the Comprehensive Income and Expenditure Statement are different from finance costs chargeable in the year in accordance with statutory requirements		
<b>Adjustments primarily involving the Pensions Reserve:</b>		
Reversal of items relating to retirement benefits debited or credited to the Comprehensive Income and Expenditure Statement	15,272	(15,272)
<b>Adjustment primarily involving the Accumulated Absences Account:</b>		
Amount by which officer remuneration charged to the Comprehensive Income and Expenditure Statement on an accruals basis is different from remuneration chargeable in the year in accordance with statutory requirements	92	(92)
<b>Adjustment primarily involving the Collection Fund Adjustment Account:</b>		
Amount by which Council Tax and NDR income credited to the Comprehensive Income and Expenditure Statement is different from Council Tax and NDR income calculated for the year in accordance with statutory requirements	73	(73)
<b>Total Adjustments</b>	<b>13,844</b>	<b>(13,844)</b>

## Note 9 Adjustments between Accounting Basis and Funding Basis under Regulations (continued)

Adjustment	2018/19	
	General Fund Balance	Movement in Unusable Reserves
	£000	£000
<b>Adjustments primarily involving the Capital Adjustment Account:</b>		
Reversal of items debited or credited to the Comprehensive Income and Expenditure Account:		
Charges for depreciation, impairment and amortisation of non-current assets	2,405	(2,405)
Revaluation losses on Property Plant and Equipment	(358)	358
Capital grants and contributions applied	(185)	185
Amounts of non-current assets written off on disposal or sale as part of the gain/loss on disposal to the Comprehensive Income and Expenditure Statement	(319)	319
Insertion of items not debited or credited to the Comprehensive Income and Expenditure Account:		
Statutory provision for the financing of capital investment	(1,316)	1,316
Capital expenditure charged against the General Fund balance	(1,534)	1,534
<b>Adjustments primarily involving the Capital Receipts Reserve:</b>		
Transfer of cash sale proceeds credited as part of the gain/loss on disposal to the Comprehensive Income and Expenditure Statement	13	(13)
Use of the Capital Receipts Reserve to finance new capital expenditure	(26)	26
Contribution from Police and Crime Commissioner towards Coalville extension project	(40)	40

## Note 9 Adjustments between Accounting Basis and Funding Basis under Regulations (continued)

Adjustment Continued	2018/19	
	General Fund Balance	Movement in Unusable Reserves
	£000	£000
<b>Adjustments primarily involving the Deferred Capital Receipts Reserve:</b>		
Transfer from Deferred Capital Receipts Reserve upon receipt of cash		
Transfer of deferred sale proceeds credited as part of the gain/loss on disposal to the Comprehensive Income and Expenditure Statement		
<b>Adjustments primarily involving the Capital Grants Unapplied Reserve:</b>		
Capital grants recognised in the year and credited to the Capital Grants Unapplied Reserve		
Application of grants to capital financing credited to the Capital Adjustment Account		
<b>Adjustments primarily involving the Financial Instruments Adjustments Account:</b>		
Amount by which finance costs charged to the Comprehensive Income and Expenditure Statement are different from finance costs chargeable in the year in accordance with statutory requirements		
<b>Adjustments primarily involving the Pensions Reserve:</b>		
Reversal of items relating to retirement benefits debited or credited to the Comprehensive Income and Expenditure Statement	27,014	(27,014)
<b>Adjustment primarily involving the Accumulated Absences Account:</b>		
Amount by which officer remuneration charged to the Comprehensive Income and Expenditure Statement on an accruals basis is different from remuneration chargeable in the year in accordance with statutory requirements	(51)	51
<b>Adjustment primarily involving the Collection Fund Adjustment Account:</b>		
Amount by which Council Tax and NDR income credited to the Comprehensive Income and Expenditure Statement is different from Council Tax and NDR income calculated for the year in accordance with statutory requirements	(51)	51
<b>Total Adjustments</b>	<b>25,552</b>	<b>(25,552)</b>

## Note 10 Movement in Earmarked Reserves

This note sets out the amounts set aside from the General Fund in earmarked reserves to provide financing for future expenditure plans and the amounts posted back from earmarked reserves to meet General Fund expenditure in the period 2018 to 2020.

<b>2019/20</b>	<b>Balance at 31st March 2019</b>	<b>Transfers In 2019/20</b>	<b>Transfers Out 2019/20</b>	<b>Balance at 31st March 2020</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
Insurance Reserve	157	-	-	157
Occupational Health Reserve	29	-	-	29
Ill Health Retirement Reserve	152	-	-	152
Relocation Reserve	15	-	-	15
Emergency Services Mobile Communications Programme Reserve	327	-	-	327
Management of Change Reserve	491	728	-	1,219
Capital Fund Reserve	4,852	2,640	(2,833)	4,659
Estates Strategy Reserve	6,026	-	-	6,026
Recruitment Over - Establishment Reserve	400	-	-	400
COVID 19 Reserve	-	158	-	158
<b>Total Earmarked Reserves</b>	<b>12,449</b>	<b>3,526</b>	<b>(2,833)</b>	<b>13,142</b>



## Note 10 Movement in Earmarked Reserves (continued)

<b>2018/19</b>	<b>Restated Balance at 31st March 2018</b>	<b>Transfers In 2018/19</b>	<b>Transfers Out 2018/19</b>	<b>Balance at 31st March 2019</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
Insurance Reserve	172	-	(15)	157
Occupational Health Reserve	29	-	-	29
Ill Health Retirement Reserve	152	-	-	152
Relocation Reserve	15	-	-	15
Emergency Services Mobile Communications Programme Reserve	327	-	-	327
Management of Change Reserve	290	201	-	491
Capital Fund Reserve	4,541	311	-	4,852
Estates Strategy Reserve	5,673	353	-	6,026
Recruitment Over - Establishment Reserve	400	-	-	400
COVID 19 Reserve	-	-	-	-
<b>Total Earmarked Reserves</b>	<b>11,599</b>	<b>865</b>	<b>(15)</b>	<b>12,449</b>

## Note 11 Other Operating Expenditure

	2018/19	2019/20
	£000	£000
Total (gains)/losses on the disposal of non-current assets	(14)	(21)
<b>Total</b>	<b>(14)</b>	<b>(21)</b>

## Note 12 Financing and Investment Income & Expenditure

	2018/19	2019/20
	£000	£000
Interest payable and similar charges	664	623
Net interest on the defined benefit liability	11,653	12,290
Interest receivable	(84)	(103)
Fixed Asset Funding	(81)	-
Dividend Received	(31)	31
<b>Total</b>	<b>12,121</b>	<b>12,841</b>

## Note 13 Taxation and Non-Specific Grant Income & Expenditure

	2018/19	2019/20
	£000	£000
Council Tax income	(20,729)	(21,584)
Non domestic rates	(9,675)	(14,059)
Non-ringfenced government grants	(13,190)	(6,573)
Capital grants and contributions	(170)	-
<b>Total</b>	<b>(43,764)</b>	<b>(42,216)</b>

## Note 14 Expenditure and Income Analysed by Nature

The CFA's expenditure and income reported in the Comprehensive Income & Expenditure Statement is analysed by nature in the table below.

	2018/19	2019/20
	£000	£000
<b>Expenditure</b>		
Employee Benefit Expenses	61,126	49,707
Other Services expenses	6,963	6,599
Depreciation, amortisation, impairment	2,405	2,710
Interest Payments	664	623
<b>Total Expenditure</b>	<b>71,158</b>	<b>59,639</b>
<b>Income</b>		
Fees, charges and other service income	(1,584)	(480)
Interest & Investment Income	(115)	(72)
Income from Council Tax, non domestic rates	(30,405)	(35,643)
Government grants & contributions	(14,702)	(9,810)
Gain on the disposal of assets	(14)	(21)
<b>Total Income</b>	<b>(46,820)</b>	<b>(46,026)</b>
<b>Surplus or Deficit on Provision of Services</b>	<b>24,338</b>	<b>13,613</b>

## Note 15 Property, Plant and Equipment - Movement on Balances in 2019/20

### Depreciation

The following useful lives have been used in the calculation of depreciation:

- Land and Buildings - 5-65 years
- Vehicles, Plant, Furniture and Equipment - 5-15 years

Asset remaining lives have been reviewed and no alterations have been considered necessary for these accounts.

### Capital Commitments

A total amount of £70k is currently contracted and is mainly related to the purchase of a new vehicle. These commitments are expected to be paid in 2020/21.

Movements on Balances in 2019/20	Land and Buildings	Vehicles, Plant, Furniture & Equipment	Assets Under Construction	Total Property, Plant and Equipment
	£000	£000	£000	£000
<b>Cost or Valuation</b>				
At 1st April 2019	43,935	20,902	2,444	<b>67,281</b>
Additions	155	2,624	26	<b>2,805</b>
Revaluation				
Increases/(Decreases) recognised in the Revaluation Reserve	637	-	-	<b>637</b>
Revaluation				
Increases/(Decreases) recognised in the Surplus/Deficit on the Provision of Services	(823)	-	-	<b>(823)</b>
De-recognition – disposals	-	(266)	-	<b>(266)</b>
Transfers (to)/from In Construction	768	67	(892)	<b>(57)</b>
<b>As at 31st March 2020</b>	<b>44,672</b>	<b>23,327</b>	<b>1,578</b>	<b>69,577</b>

## Note 15 Property, Plant and Equipment - Movement on Balances in 2019/20 (continued)

Movements on Balances in 2019/20	Land and	Vehicles, Plant, Furniture &	Assets Under	Total Property,
	Buildings	Equipment	Construction	Plant and Equipment
	£000	£000	£000	£000
<b>Accumulated Depreciation &amp; Impairment</b>				
At 1st April 2019	34	15,959	-	<b>15,993</b>
Depreciation written out to the Revaluation Reserve	(1,129)	-	-	<b>(1,129)</b>
Depreciation Charge	1,112	1,598	-	<b>2,710</b>
De-recognition – disposals	-	(266)	-	<b>(266)</b>
<b>As at 31st March 2020</b>	<b>17</b>	<b>17,291</b>	<b>-</b>	<b>17,308</b>
<b>Net Book Value as at 31st March 2020</b>	<b>44,655</b>	<b>6,036</b>	<b>1,578</b>	<b>52,269</b>
As at 1st April 2019	43,901	4,943	2,444	51,288

## Note 15 Property, Plant and Equipment - Movement on Balances in 2018/19

Assets included in the Balance Sheet at current value are revalued annually. The latest valuation exercise was carried out by Cameron Butler BLE (Hons) MRICS of FHP Property Consultants. The asset values used in the accounts are based on a certificate issued by FHP Property Consultants on all properties as at the 31st March 2020. Additions which are still under construction are included in the accounts at cost.

<b>2018/19 Comparative Movements</b>	<b>Land &amp; Buildings</b>	<b>Vehicles, Plant, Furniture and Equipment</b>	<b>Assets Under Construction</b>	<b>Total Property, Plant &amp; Equipment</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
<b>Cost or Valuation</b>				
At 1st April 2018	42,330	20,529	3,147	<b>66,006</b>
Additions	892	458	420	<b>1,770</b>
Revaluation				
Increases/(Decreases) recognised in the Revaluation Reserve	323			<b>323</b>
Revaluation				
Increases/(Decreases) recognised in the Surplus/Deficit on the Provision of Services	(717)			<b>(717)</b>
De-recognition – disposals	-	(101)	-	<b>(101)</b>
Transfers (to)/from In Construction	1,107	16	(1,123)	-
<b>As at 31st March 2019</b>	<b>43,935</b>	<b>20,902</b>	<b>2,444</b>	<b>67,281</b>

## Note 15 Property, Plant and Equipment - Movement on Balances in 2018/19 (continued)

2018/19 Comparative Movements	Land & Buildings	Vehicles, Plant, Furniture and Equipment	Assets Under Construction	Total Property, Plant & Equipment
	£000	£000	£000	£000
<b>Accumulated Depreciation &amp; Impairment</b>				
At 1st April 2018	43	14,709	-	14,752
Depreciation Charge				-
Depreciation written out to the Revaluation Reserve	(1,074)	-	-	(1,074)
Depreciation Charge	1,065	1,339	-	2,404
De-recognition – disposals	-	(89)	-	(89)
<b>As at 31st March 2019</b>	<b>34</b>	<b>15,959</b>	<b>-</b>	<b>15,993</b>
<b>Net Book Value as at 31st March 2019</b>	<b>43,901</b>	<b>4,943</b>	<b>2,444</b>	<b>51,288</b>
As at 1st April 2018	42,287	5,820	3,147	51,254

## Note 16 Intangible Assets

The CFA accounts for software licences as intangible assets, to the extent that these are part of particular IT systems. The CFA's intangible assets are amortised over 5 years on a straight line basis.

As at the 31st March 2020 there are no contractual commitments for the acquisition of intangible assets.

	2018/19	2019/20
	£000	£000
Balance at 1st April		
Gross Carrying Amounts	136	136
Accumulated Amortisation	(135)	(136)
<b>Net carrying amount at start of year</b>	<b>1</b>	<b>-</b>
Additions (Purchases)	-	49
Reclassified from other asset classifications	-	58
Amortisation applied in Year	(1)	-
Gross Carrying Amount at 31st March	136	243
Accumulated Amortisation	(136)	(136)
<b>Net Carrying Amount at 31st March</b>	<b>-</b>	<b>107</b>



## Note 17a Financial Instruments - Classifications

A financial instrument is a contract that gives rise to a financial asset of one entity and a financial liability or equity instrument of another entity. Non-exchange transactions, such as those relating to taxes and government grants, do not give rise to financial instruments.

Category	Amount	Amount	Comment / Reference
	31st March 2019	31st March 2020	
	£000	£000	
<b>Short Term Borrowing</b>			
<b>Amount in Balance Sheet</b>	<b>634</b>	<b>1,369</b>	
Amounts covered in Note 17b:	634	1,369	
<b>Long Term Borrowing</b>			
<b>Amount in Balance Sheet</b>	<b>15,209</b>	<b>13,916</b>	
Amounts covered in Note 17b:	15,209	13,916	
<b>Other Long Term Liabilities</b>			
<b>Amount in Balance Sheet</b>	<b>501,119</b>	<b>474,737</b>	
Amounts not covered in Note 17:	475	429	
Liability related to defined benefit pension schemes	500,644	474,308	Note 37 - Defined Benefit Pensions

## Note 17b Financial Instruments - Balances

The financial assets disclosed in the Balance Sheet are analysed across the following categories:

Financial Assets	Long Term		Short Term	
	31st March 2019	31st March 2020	31st March 2019	31st March 2020
	£000	£000	£000	£000
- Cash (including bank accounts)			10,471	13,303
<b>Total Cash and Cash Equivalents</b>	-	-	<b>10,471</b>	<b>13,303</b>
Loans and receivables:				
- Trade receivables			23	18
<b>Included in Debtors</b>	-	-	<b>23</b>	<b>18</b>
<b>Total Financial Assets</b>	-	-	<b>10,494</b>	<b>13,321</b>

The financial liabilities disclosed in the Balance Sheet are analysed across the following categories:

Financial Liabilities	Long Term		Short Term	
	31st March 2019	31st March 2020	31st March 2019	31st March 2020
	£000	£000	£000	£000
Loans at amortised cost:				
- Principal sum borrowed	13,978	13,229	-	750
<b>Total Borrowing</b>	<b>13,978</b>	<b>13,229</b>	-	<b>750</b>
Liabilities at amortised cost:				
- Finance leases	1,231	687	634	619
<b>Total Other Liabilities</b>	<b>1,231</b>	<b>687</b>	<b>634</b>	<b>619</b>
Liabilities at amortised cost:				
- Trade payables	-	-	171	-
<b>Included in Creditors</b>	-	-	<b>171</b>	-
<b>Total Financial Liabilities</b>	<b>15,209</b>	<b>13,916</b>	<b>805</b>	<b>1,369</b>

## Note 17c Financial Instruments - Gains and Losses

	Age profile of Debtors	
	31st March 2019	31st March 2020
	£000	£000
Debtors		
- not yet due for payment	21	12
Past due analysis		
Less than 1 month overdue	-	3
1-2 months overdue	-	2
2-6 months overdue	-	-
Over 1 year overdue	46	30
<b>Total trade debtors</b>	<b>67</b>	<b>47</b>

The gains and losses recognised in the Comprehensive Income and Expenditure Statement in relation to financial instruments consist of the following items:

	Financial	Financial	2019/20	2018/19
	Liabilities	Assets		
	Amortised Cost	Loans & Receivables		
	£000	£000	£000	£000
Interest expense	622	-	622	652
<b>Interest payable and similar charges</b>	<b>622</b>	<b>-</b>	<b>622</b>	<b>652</b>
Interest income	-	(103)	(103)	(84)
<b>Interest and investment income</b>	<b>-</b>	<b>(103)</b>	<b>(103)</b>	<b>(84)</b>
<b>Net (Gain)/Loss for the Year</b>	<b>622</b>	<b>(103)</b>	<b>519</b>	<b>568</b>

## Note 17d Financial Instruments - Fair Values

Financial assets classified as available for sale and all derivative assets and liabilities are carried in the Balance Sheet at fair value. For most assets, including bonds, treasury bills and shares in money market funds, the fair value is taken from the market price.

Some of the authority's financial assets are measured at fair value on a reoccurring basis and are described below:

- Level 1 – fair value is only derived from quoted prices in active markets for identical assets or liabilities, e.g. bond prices
- Level 2 – fair value is calculated from inputs other than quoted prices that are observable for the asset or liability, e.g. interest rates or yields for similar instruments
- Level 3 – fair value is determined using unobservable inputs, e.g. non-market data such as cash flow forecasts or estimated creditworthiness

The table shows the amounts held at 31<sup>st</sup> March 2020 and the fair value reported in the 2019/20 accounts.

\*The fair value of short-term financial liabilities including trade payables is assumed to approximate to the carrying amount.

	31st March 2019		31st March 2020	
	Balance Sheet	Fair Value	Balance Sheet	Fair Value
	£000	£000	£000	£000
Assets for which fair value is not disclosed *	13,428	0	14,282	-
<b>Total Financial Assets</b>	<b>13,428</b>	<b>-</b>	<b>14,282</b>	<b>-</b>
<i>Recorded on balance sheet as:</i>				
Short-term debtors	3,541	-	979	-
Cash and cash equivalents	10,471	-	13,303	-
<b>Total Financial Assets</b>	<b>14,012</b>	<b>-</b>	<b>14,282</b>	<b>-</b>
	31st March 2019		31st March 2020	
	Balance Sheet	Fair Value	Balance Sheet	Fair Value
	£000	£000	£000	£000
<i>Financial liabilities held at amortised cost:</i>				
Long-term loans from PWLB	13,978	17,732	13,228	16,840
Lease payables	1,865	1,865	1,306	1,306
<b>Total</b>	<b>15,843</b>	<b>19,597</b>	<b>14,534</b>	<b>18,146</b>
Liabilities for which fair value is not disclosed*	503,356	0	476,377	-
<b>Total Financial Liabilities</b>	<b>519,199</b>	<b>19,597</b>	<b>490,911</b>	<b>18,146</b>
<i>Recorded on balance sheet as:</i>				
Short-term creditors	2,712	-	1,229	-
Short-term borrowing	634	-	1,417	-
Long-term borrowing	15,209	-	13,957	-
Other long-term liabilities	500,644	-	474,308	-
<b>Total Financial Liabilities</b>	<b>519,199</b>	<b>-</b>	<b>490,911</b>	<b>-</b>

## Note 18 Inventories

The value of inventories as at 31<sup>st</sup> March:

	Balance at 31st March 2019	Balance at 31st March 2020
	£000	£000
Operational equipment	209	221
Vehicle Parts	89	91
Other	78	78
<b>Total</b>	<b>376</b>	<b>390</b>

## Note 19 Debtors

### Short-Term Debtors

The value of short-term debtors as at 31<sup>st</sup> March:

	Balance at 31st March 2019	Balance at 31st March 2020
	£000	£000
Central Government bodies	2,979	2,223
Other Local Authorities	1,901	636
All Other	1,640	1,626
<b>Total</b>	<b>6,520</b>	<b>4,485</b>

## Note 20 Cash and Cash Equivalents

The value of cash and cash equivalents as at 31<sup>st</sup> March:

	Balance at 31st March 2019	Balance at 31st March 2020
	£000	£000
Cash held by the CFA	2	46
Bank current accounts	10	12
Short-term investments	10,459	13,245
<b>Total Cash and Cash Equivalents</b>	<b>10,471</b>	<b>13,303</b>

## Note 21 Creditors

The value of creditors as at 31<sup>st</sup> March:

	Balance at 31st March 2019	Balance at 31st March 2020
	£000	£000
Central Government bodies	1,951	2,828
Other Local Authorities	1,222	821
All Other	1,490	1,225
<b>Total</b>	<b>4,663</b>	<b>4,874</b>

Trade and other creditors are shown at amortised cost. There is no fair value adjustment to be made.

## Note 22 Provisions

The table below provides a list of provisions made by the authority at the end of the financial year:

### *Payment of Insurance Claims*

The CFA holds an insurance provision for claims in progress. Timing of payment of these claims is difficult to predict as they may be subject to legal process. The amounts put aside are decided upon by reviewing the current level of claims and assessing the likelihood of their success. There are currently no material unfunded risks. Income to this provision is from reserves currently held for this purpose, so has no impact on the CIES.

### *Pay Award*

A provision has also been established in respect of the uncertainty surrounding the pay awards. Whilst payments have been made in respect of most prior year awards it is not yet conclusive that all amounts that will be due have been settled.

### *Business Rate appeals*

A provision is also made for the CFA's share of any defaults on business rates. This is calculated by the district councils based on their experience.

	Insurance	Pay Award	Short Term Total	Business Rate Appeals	Long Term Total
	£000	£000		£000	£000
<b>Balance at 1st April 2018</b>	<b>56</b>	<b>148</b>	<b>204</b>	<b>375</b>	<b>375</b>
Net Movement (additions less amounts used)	14	204	218	100	100
<b>Balance at 1st April 2019</b>	<b>70</b>	<b>352</b>	<b>422</b>	<b>475</b>	<b>475</b>
2019/20 Provisions/(Reductions)	-	-	-	(46)	(46)
Amounts used in 2019/20	(5)	-	(5)	-	-
<b>Balance at 31st March 2020</b>	<b>65</b>	<b>352</b>	<b>417</b>	<b>429</b>	<b>429</b>

## Note 23 Usable Reserves

Movements in the CFA's usable reserves are detailed in the table below, which indicates the statement or note that provides further detail.

	Opening Balance	Movement	Closing Balance	Supporting Note
	£000	£000	£000	
General Fund	2,612	(462)	2,150	MIRS and Narrative Statement
Earmarked Reserves	12,448	694	13,142	Note 9 and Narrative Statement
<b>Total Usable Reserves</b>	<b>15,060</b>	<b>232</b>	<b>15,292</b>	



## Note 24 Unusable Reserves

	31st March 2019	31st March 2020
	£000	£000
Revaluation Reserve	11,636	11,955
Capital Adjustment Account	20,656	22,572
Pensions Reserve	(500,644)	(474,308)
Collection Fund Adjustment Account	114	41
Accumulated Absences Account	(214)	(306)
<b>Total Unusable Reserves</b>	<b>(468,452)</b>	<b>(440,046)</b>

### Revaluation Reserve

The Revaluation Reserve contains the gains made by the CFA arising from increases in the value of its property, plant and equipment. The balance is reduced when assets with accumulated gains are:

- Revalued downwards or impaired and the gains are lost;
- Used in the provision of services and the gains are consumed through depreciation; or
- Disposed of and the gains are realised.

The reserve contains only revaluation gains accumulated since 1<sup>st</sup> April 2007, the date that the reserve was created with a balance of zero. Accumulated gains arising before that date are consolidated into the balance on the Capital Adjustment Account.

	2018/19	2019/20
	£000	£000
<b>Balance at 1st April</b>	<b>11,633</b>	<b>11,637</b>
Upward revaluation of assets	473	650
Downward revaluation of assets and impairment losses not charged to the (Surplus)/Deficit on the Provision of Services	(150)	(9)
<b>(Surplus) or deficit on revaluation of non-current assets not posted to the Surplus or Deficit on the Provision of Services</b>	<b>323</b>	<b>641</b>
Difference between fair value depreciation and historical cost depreciation	(319)	(323)
Accumulated gains on assets sold or scrapped	-	-
<b>Balance at 31st March</b>	<b>11,637</b>	<b>11,955</b>

## Note 24 Unusable Reserves (continued)

### Capital Adjustment Account

The Capital Adjustment Account absorbs the timing differences arising from the different arrangements for accounting for the consumption of non-current assets and for financing the acquisition, construction or additions to those assets under statutory provisions. The account is debited with the cost of acquisition, construction or subsequent costs as depreciation, impairment losses and amortisations are charged to the CIES (with reconciling postings from the Revaluation Reserve to convert fair value figures to a historical cost basis). The Account is credited with the amounts set aside by the CFA as finance for the costs of acquisition, construction and subsequent costs.

The account also contains revaluation gains accumulated on Property Plant and Equipment before the 1st April 2007, the date that the Revaluation Reserve was created to hold such gains.

This account represents amounts set aside from revenue resources or capital receipts, which have been used to finance expenditure on non-current assets, or for the repayment of external loans and other capital financing transactions. The table below provides details of the source of all the transactions posted to the account.

	2018/19	2019/20
	£000	£000
<b>Balance at 1st April</b>	<b>19,295</b>	<b>20,656</b>
Reversal of items relating to capital expenditure debited or credited to the Comprehensive Income and Expenditure Statement:		
Charges for depreciation & impairment	(2,404)	(2,710)
Revaluation losses on Property, Plant and Equipment	358	301
Amortisation of intangible assets	-	-
Amounts of non-current assets written off on disposal or sale as part of the (gain)/loss on disposal to the Income and Expenditure Statement	(13)	-
	<b>17,236</b>	<b>18,247</b>
Adjusting amounts written out of the Revaluation Reserve	319	323
Net written out amount of the cost of non-current assets consumed in the year	<b>17,555</b>	<b>18,570</b>
Capital financing applied in the year:		
Use of the Capital Receipts Reserve to finance new capital expenditure	26	21
Capital Grants, Contributions & Donated Assets credited to the Income and Expenditure Statement that have been applied to capital financing	185	-
Contribution from Police and Crime Commissioner towards Coalville extension project	40	-
Statutory provision for the financing of capital investment charged against the General Fund	1,316	1,148
Capital expenditure charged against the General Fund	1,534	2,833
<b>Balance at 31st March</b>	<b>20,656</b>	<b>22,572</b>

## Note 24 Unusable Reserves (continued)

### *Pensions Reserve*

The Pensions Reserve absorbs the timing differences arising from the different arrangements for accounting for post-employment benefits and for funding benefits in accordance with statutory provisions. The CFA accounts for post-employment benefits in the CIES as the benefits are earned by employees accruing years of service, updating the liabilities recognised to reflect inflation, changing assumptions and investment returns on any resources set aside to meet the costs. However, statutory arrangements require benefits earned to be financed as the CFA makes employer's contributions to pension funds or eventually pays any pensions for which it is directly responsible. The debit balance on the Pensions Reserve therefore shows a substantial shortfall in the benefits earned by past and current employees and the resources the CFA has set aside to meet them. The statutory arrangements will ensure that funding will have been set aside by the time the benefits come to be paid.

	2018/19	2019/20
	£000	£000
<b>Balance at 1st April</b>	<b>(458,161)</b>	<b>(500,644)</b>
Remeasurement of the Net Defined Benefit Liability	(15,469)	41,608
Reversal of items relating to retirement benefits debited or credited to the Surplus or Deficit on the Provision of Services in the Comprehensive Income and Expenditure Statement	(38,471)	(26,953)
Employer's pensions contributions and direct payments to pensioners payable in the year	11,457	11,681
<b>Balance at 31st March</b>	<b>(500,644)</b>	<b>(474,308)</b>

## Note 24 Unusable Reserves (continued)

### Collection Fund Adjustment Account

The Collection Fund Adjustment Account manages the differences arising from the recognition of council tax and non-domestic rates (NDR) income in the CIES as it falls due from council tax payers and business rates payers compared with the statutory arrangements for paying across amounts to the General Fund from the Collection Fund.

	2018/19	2019/20
	£000	£000
<b>Balance at 1st April</b>	<b>63</b>	<b>114</b>
Amount by which council tax income credited to the Comprehensive Income and Expenditure Statement is different from council tax income calculated for the year in accordance with statutory requirements	51	(73)
<b>Balance at 31st March</b>	<b>114</b>	<b>41</b>

	2018/19	2019/20
	£000	£000
<b>Balance at 1st April</b>	<b>(265)</b>	<b>(214)</b>
Amount by which officer remuneration charged to the Comprehensive Income and Expenditure Statement on an accruals basis is different from remuneration chargeable in the year in accordance with statutory requirements	51	(92)
<b>Balance at 31st March</b>	<b>(214)</b>	<b>(306)</b>

### Accumulated Absences Account

The Accumulated Absences Account absorbs the differences that would otherwise arise on the General Fund Balance from accruing for compensated absences earned but not taken in the year, e.g. annual leave entitlement carried forward as at the 31st March. Statutory arrangements require that the impact on the General Fund Balance is neutralised by transfers to or from the Account.

## Note 25 Cash Flow Statement - Operating Activities

	2018/19	2019/20
	£000	£000
Interest received	(79)	(100)
Dividend received	(61)	-
Interest paid	651	581
<b>Net interest</b>	<b>511</b>	<b>481</b>
The surplus on the provision of services has been adjusted for the following non-cash movements:		
	2018/19	2019/20
	£000	£000
Depreciation	(2,403)	(2,710)
Downward revaluations, impairment losses and reversal of prior year impairments	774	301
Amortisation	(1)	-
(Increase) / decrease in creditors	974	(389)
Increase / (decrease) in debtors	91	(2,034)
(Increase) / decrease in provisions	(318)	51
Increase / (decrease) in inventories	37	14
Movement in pension liability	(27,014)	(15,272)
Carrying amount of non-current assets, sold or de-recognised	(13)	-
Movement in Collection Funds	(101)	(73)
Movement in Accumulated Absences	(51)	92
Other non-cash items charged to the net surplus or deficit on the provision of services	(30)	4
<b>Adjustments to net surplus deficit on the provisions of services for non cash movements Items classified elsewhere in the statement</b>	<b>(28,055)</b>	<b>(20,016)</b>

## Note 26 Cash Flow Statement Investment Activities

	2018/19	2019/20
	£000	£000
Purchase of property, plant and equipment and intangible assets	1,871	3,034
Proceeds from sale of property, plant and equipment and int assets	(26)	(21)
<b>Net Cash Flows from Investing Activities</b>	<b>1,845</b>	<b>3,013</b>

## Note 27 Cash Flow Statement Financing Activities

	2018/19	2019/20
	£000	£000
Repayments of short and long-term borrowing	1,286	558
<b>Net Cash Flows from Financing Activities</b>	<b>1,286</b>	<b>558</b>

## Note 28 Trading Operations

### Forge Health

The CFA operates a trading company named Forge Health Limited as a wholly owned subsidiary. Its main activity is the provision of occupational health services to the private and public sectors. The Company employs no members of staff but instead uses the CFA's staff (for which it pays a fee) and independent contractors to deliver its services. There is no non-current or intangible assets owned by the Company for the year ending 31st March 2019. For the year 2019/20, Forge Health Limited reported turnover of £Xk and a post tax profit of £Xk (£31k in 2018/19) and this sum is

proposed by the Company to be wholly paid as dividend to the CFA. Note 33 of these accounts discloses the total transactions with Forge Health Limited and amounts due from/to at the year end. The accounts of the Company are completed on the same financial year basis as the CFA and accounting policies are aligned. The accounts of the Company are available from the Company Secretary, Forge Health Limited, Leicestershire Fire and Rescue Service Headquarters, 12 Geoff Monk Way, Birstall, Leicester, LE4 3BU. It is considered that the interests in Forge Health Limited are not material therefore group accounts are not presented.

	2018/19			2019/20		
	Turnover	Expenditure	(Surplus)/ Deficit	Turnover	Expenditure	(Surplus)/ Deficit
	£000	£000	£000	£000	£000	£000
Forge Health	(196)	165	(31)	(161)	135	(26)
<b>Total</b>	<b>(196)</b>	<b>165</b>	<b>(31)</b>	<b>(161)</b>	<b>135</b>	<b>(26)</b>

## Note 29 Members' Allowances

The CFA paid the following amounts to members of the CFA during the year:

	2018/19	2019/20
	£000	£000
Basic Allowance Payments	52	55
Special Responsibility Payments	15	18
General Expense Payments	1	1
<b>Total</b>	<b>68</b>	<b>73</b>



## Note 30 Officers' Remuneration

This note comprises two parts. The first discloses the remuneration of the CFA's most senior officers. The second part discloses the total number of 'higher paid' CFA officers whose remuneration exceeded £50k during 2019/20, shown in bands and excluding those senior officers in the first part.

### **Part 1 - Senior Employees' Remuneration**

The table shows the amounts paid to the holders of senior posts in 2019/20 with comparative data from 2018/19 where applicable.

Senior employees are defined as certain statutory chief officer posts, those earning over £150k per annum and those earning less than this sum but reporting directly to the Chief Fire and Rescue Officer. There are two such officers, in 2019/20, which represents no change from 2018/19.

Remuneration in this table (as defined in statutory regulations) includes salary, fees/allowances, employer's pension contributions, taxable benefits and any compensation for loss of office.

Post	Financial Year	Salary, Fees and Allowances	Pension Contributions	Total
		£000	£000	£000
Chief Fire Officer	2019/20	134	49	<b>183</b>
	2018/19	130	29	<b>159</b>
Director / Assistant Chief Fire and Rescue Officer	2019/20	107	40	<b>147</b>
	2018/19	105	23	<b>128</b>
Director / Assistant Chief Fire and Rescue Officer (Note 1)	2019/20	83	17	<b>100</b>
	2018/19	-	-	<b>-</b>

Notes:

- 1) Asst CFO from 1st July 2019

The amounts shown are the true salary for that individual for the entire year, which will include previous posts if promotion occurred during the year.

## Note 30 Officers' Remuneration (continued)

### Part 2 - Higher Paid Employees

The number of other CFA employees receiving more than £50,000 remuneration for the year is shown in the table below. In line with the relevant regulations, the table excludes the senior officers listed in the table above.

It should be noted that the definition of remuneration in this table differs from that in the table above (in line with regulations) as it excludes employer's pension contributions.

The table includes compensation for loss of office, so employees who left in the year may appear in a higher band than the equivalent role would appear in based on a normal year's salary. Equally, some posts would not be included in the table based on a normal year's salary, but are included because of payments for compensation for loss of office.

The threshold for inclusion in this report is defined in regulations and remains static at £50k annually. Salaries paid to staff include annual pay increases as and when these are awarded, increasing the scope of the report over time.

Leicestershire Fire and Rescue Service buy in the services of the Chief Financial Officer and the Monitoring Officer from neighbouring authorities. These roles are recharged to the Authority.

Remuneration Band £	Number of Employees	
	2018/19	2019/20
<b>40,000 - 44,999</b>	71	84
<b>45,000 - 49,999</b>	25	42
<b>50,000-54,999</b>	38	35
<b>55,000-59,999</b>	12	10
<b>60,000-64,999</b>	2	6
<b>65,000-69,999</b>	-	1
<b>70,000-74,999</b>	-	-
<b>75,000-79,999</b>	2	3
<b>80,000-84,999</b>	-	-
<b>85,000-89,999</b>	-	1
<b>Total</b>	<b>150</b>	<b>182</b>

## Note 31 External Audit Costs

The CFA has incurred the following costs in relation to the audit of the Statement of Accounts, certification of grant claims and statutory inspections and to non-audit services provided by the CFA's external auditors:

	2018/19	2019/20
	£000	£000
Fees payable with regard to external audit services carried out by the appointed auditor for the year	23	23
Additional fees due to increased work undertaken	8	-
	<b>31</b>	<b>23</b>

Additional fees for extra work required for increased work in response to regulatory recommendations are yet to be agreed.

## Note 32 Grant Income

The CFA credited the following grants to the CIES, within Cost of Services:

### Revenue grants recognised in the year

	2018/19	2019/20
	£000	£000
<b>Credited to Cost of Services</b>		
Fire Revenue Grant	1,175	1,795
Section 31 Grants	8	1,193
Covid 19 Grant	-	159
<b>Total Credited to Cost of Services</b>	<b>1,183</b>	<b>3,147</b>

Section 31 grants include grants relating to new burdens and the firelink project. No Government capital grant was received in 2019/20.

Income of £90k was also utilised in the period from grant income received by Nottinghamshire Fire and Rescue Services for Home Office's Emergency Services Mobile Communications Project. This is received by them and distributed to regional partners.

## Note 33 Related Parties

The CFA is required to disclose material transactions with related parties - bodies or individuals that have the potential to control, or to be controlled or influenced by the CFA. Disclosures of these transactions assesses the extent to which the CFA might have been constrained in its ability to operate independently or might have secured the ability to limit another party's ability to bargain freely with the CFA.

### Central Government

The Home Office has significant influence on the general operation of the CFA - it is responsible for providing the statutory framework within which the CFA operates, provides a large proportion of its funding in the form of grants and prescribes the terms of many of the transactions that the CFA has with other parties (e.g. council tax). Grants received from government departments are set out in Note 13 and 32. Income of £9,720k was received in 19/20 (£14,543k in 18/19). Expenditure with Central Government bodies totalled £561k in 19/20 (£548k in 18/19).

### Members

Members of the CFA have direct control over the CFA's financial and operating policies. The total of members' allowances paid in 2019/20 is shown in note 29. During 2019/20, no works and services were commissioned from companies in which members declared an interest.

### Officers

Officers of the CFA have significant influence over the CFA's financial and operating policies. During 2019/20, no works and services were commissioned from companies in which officers declared an interest.

### Other Public Bodies

Leicester City Council, Leicestershire County Council and Rutland County Council are local partners who also supply services to the CFA. A total of £1,059k was spent with these partners (£1,084k in 2018/19). A total of £227k was owing to these partners at 31st March 2020 (£190k at 31st March 2019).

### Entities Controlled or Significantly Influenced by the CFA

#### Forge Health Limited

The CFA has control of Forge Health Limited, a wholly owned subsidiary. No dividend is due for 2019/20.

#### Fire and Rescue Indemnity Company Limited

Nine fire and rescue authorities, including Leicestershire, are members of the Fire and Rescue Indemnity Company Limited (FRIC). The company commenced trading in November 2015. The CFA's risk protection arrangements are provided through the pooled funds of the company. Payments amounting to £301k were paid to FRIC in 2019/20 (£278k in 2018/19).

### Leicestershire Constabulary

Leicestershire Constabulary have paid for an extension on Coalville Fire Station, which they use. During the year, LFRS received income of £41k (£215k in 2018/19). As at 31st March 2020, Leicestershire Constabulary owe LFRS £58k for charges related to use of Coalville Station.

Payments of £39k were made to Leicestershire Constabulary during 2019/20 (£51k in 2018/19). As at 31st March 2020, LFRS still owed Leicestershire Constabulary £24k (£0k at 31st March 2019).

### East Midlands Ambulance Service NHS Trust (EMAS)

The CFA has entered into an agreement with EMAS to share some buildings. Income of £100k was received from EMAS in 2019/20 (£51k in 2018/19). Payments to EMAS amounted to £10k in 2019/20 (£42k in 2018/19). As at 31st March 2020, EMAS owed LFRS £60k (£100k at 31st March 2019).

## Note 34 Capital Expenditure and Capital Financing

The CFA had an opening capital financing requirement of £18,996k at the 1st April 2019 and a closing capital financing requirement of £17,848k at the 31st March 2020.

Details of capital expenditure incurred during the year and how it was financed shown in the table.

This includes property, plant and equipment and intangible assets (Notes 15 and 16).

	2018/19	2019/20
	£000	£000
<b>Opening Capital Financing Requirement</b>	<b>20,312</b>	<b>18,996</b>
<b>Capital Investment</b>		
Land and Buildings	892	155
Vehicles, Plant and Equipment	458	2,624
Assets In Construction	420	26
Intangibles	-	49
<b>Total Capital Investment</b>	<b>1,770</b>	<b>2,854</b>
<b>Sources of Finance</b>		
Capital Receipts	(26)	(21)
Grants	(170)	-
Sums set aside from revenue:		
Direct Revenue Contributions	(1,534)	(2,833)
MRP	(1,316)	(1,148)
Police Crime Commissioner Contribution	(40)	-
<b>Total Sources of Finance</b>	<b>(3,086)</b>	<b>(4,002)</b>
<b>Closing Capital Financing Requirement</b>	<b>18,996</b>	<b>17,848</b>
<b>Increase/(Decrease) in Capital Financing Requirement</b>	<b>(1,316)</b>	<b>(1,148)</b>

## Note 35 Leases

### CFA as Lessee

#### Finance Leases

Finance lease rentals paid to lessors relating to 2019/20 totalled £616k (£862k 2018/19) of which £60k was interest and £556k was principal. All finance leases relate to Vehicles, Plant and Equipment and the net book value of these assets at the 31st March 2020 is £1,241k.

#### Operating Leases

Operating lease rentals paid to lessors in the year totalled £119k (2018/19 £135k). As at the 31st March 2020 the CFA has a commitment to meet the following future minimum lease payments for operating leases, all of which relate to cars and light vehicles:

### CFA as Lessor

#### Operating Leases

Operating lease rentals received relating to 2019/20 totalled £7k (£7k 2018/19). Part of Birstall HQ is leased to EMAS for £7k per annum. Part of Coalville Station is leased to Leicestershire Police at a Peppercorn rent.

	Minimum Lease Payments		Finance Lease Liabilities	
	31st March	31st March	31st March	31st March
	2019	2020	2019	2020
	£000	£000	£000	£000
Within one year	665	650	683	667
Within 2 to 5 years	1,120	634	1,205	679
Later than 5 years	64	42	77	50
<b>Total</b>	<b>1,849</b>	<b>1,326</b>	<b>1,965</b>	<b>1,396</b>

	31st March	31st March
	2019	2020
	£000	£000
Not later than one year	107	13
Later than one year and not later than 5 years	14	-
<b>Total</b>	<b>121</b>	<b>13</b>

#### Operating Leases

	31st March	31st March
	2019	2020
	£000	£000
Within one year	7	7
Within 2 to 5 years	35	35
Later than 5 years	17	10
<b>Total</b>	<b>59</b>	<b>52</b>

## Note 36 Termination Benefits

The CFA terminated the contract of one employee in 2019/20, incurring costs of £8k (1 employee costing £30k in 2018/19).

Band	Total number of exit packages by cost band	Total cost of exit 2018/19	Total number of exit packages by cost band	Total cost of exit 2019/20
	2018/19	£000	2019/20	£000
<b>Compulsory</b>				
0-20,000	-	-	1	8
20,001 - 40,000	1	30	-	-
<b>Total Compulsory</b>	<b>1</b>	<b>30</b>	<b>1</b>	<b>8</b>
<b>Voluntary</b>				
20,001 - 40,000	-	-	-	-
<b>Total Voluntary</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>



## Note 37 Defined Benefit Pension Schemes

### ***Participation in Pension Schemes***

As part of the terms and conditions of employment of its officers and other employees, the CFA makes contributions towards the cost of post-employment benefits. Although these benefits will not actually be payable until the employees retire, the CFA has a commitment to make the payments (for those benefits) and to disclose them at the time that employees earn their future entitlement.

The five pension schemes provide members with defined benefits related to pay and service and are detailed below:

### **(i) Uniformed Firefighters**

This is made up of four unfunded schemes which means that there are no investment assets to match with the liability thus cash has to be generated to meet actual pension payments as they fall due.

### **(ii) Control and Support Staff**

Employees, subject to certain qualifying criteria are eligible to join the LGPS administered by Leicestershire County Council. This is a funded defined benefit scheme meaning that the CFA and employees pay contributions into a fund, calculated at a level intended to balance the pension liabilities with investment assets.

## Note 37 Defined Benefit Pension Schemes

### Transactions Relating to Post-Employment Benefits– LGPS

The cost of retirement benefits is recognised in the reported cost of services when they are earned by employees, rather than when the benefits are eventually paid as pensions. However, the charge required to be made against council tax is based on the cash payable in the year, so the real cost of post-employment/ retirement benefits is reversed out of the General Fund via the MIRS. The following transactions have been made in the CIES and the general fund balance via the MIRS during the year:

Local Government Pension Scheme	2018/19	2019/20
	£000	£000
Comprehensive Income and Expenditure Statement		
<u>Cost of Services</u>		
Current service cost	1,458	1,703
Past service cost	-	-
Settlements and curtailments		
<b>Total Service Cost</b>	<b>1,458</b>	<b>1,703</b>
Financing and Investment Income and Expenditure		
Expected return on scheme assets		
Interest cost	353	420
<b>Net Interest Cost</b>	<b>353</b>	<b>420</b>
<b>Total Post-employment Benefit charged to the (Surplus) or Deficit on the Provision of Services</b>	<b>1,811</b>	<b>2,123</b>
Other post-employment benefit charged to the Comprehensive Income and Expenditure Statement		
Return on plan assets excluding amounts included in net interest	(802)	2,878
Actuarial (gains)/losses arising from changes in demographic assumptions		(1,548)
Actuarial (gains)/losses arising from changes in financial assumptions	4,099	(6,179)
Other Experience adjustments	2	(1,599)
<b>Total remeasurements recognised in the Comprehensive Income and Expenditure Statement</b>	<b>3,299</b>	<b>(6,448)</b>
<b>Total post-employment Benefit charged to the Comprehensive Income and Expenditure statement</b>	<b>5,110</b>	<b>(4,325)</b>
Movement in Reserves Statement		
Reversal of net charges made to the Surplus or Deficit for the Provision of Services for post-employment benefits	(1,811)	(2,123)
Actual amount charged against the General Fund Balance for pensions in the year (Employers contributions paid to the scheme)	817	861
<b>Total Movement in Reserves</b>	<b>(994)</b>	<b>(1,262)</b>

## Note 37 Defined Benefit Pension Schemes (continued)

2019/20	Firefighters' Pension Scheme 1992	Firefighters' Pension Scheme 2006	Firefighters' Pension Scheme 2015	Injury Benefit Scheme	Consolidated Firefighters Pension Schemes
	£000	£000	£000	£000	£000
Comprehensive Income and Expenditure Statement					
<u>Cost of Services</u>					
Current service cost	2,220	110	10,560	190	13,080
Past Service Cost	1,750	-	-	-	1,750
<b>Total Service Cost</b>	<b>3,970</b>	<b>110</b>	<b>10,560</b>	<b>190</b>	<b>14,830</b>
Financing and Investment Income and Expenditure					
Interest cost	10,410	700	650	110	11,870
<b>Net Interest cost</b>	<b>10,410</b>	<b>700</b>	<b>650</b>	<b>110</b>	<b>11,870</b>
<b>Total Post-employment Benefit charged to the (Surplus) or Deficit on the Provision of Services</b>	<b>14,380</b>	<b>810</b>	<b>11,210</b>	<b>300</b>	<b>26,700</b>
Other post-employment benefit charged to the Comprehensive Income and Expenditure Statement					
Actuarial (gains)/losses arising from changes in demographic assumptions	(12,740)	(1,000)	(980)	(160)	(14,880)
Actuarial (gains)/losses arising from changes in financial assumptions	(15,410)	(1,800)	(1,200)	(90)	(18,500)
Other Experience adjustments	(3,340)	1,210	490	(140)	(1,780)
<b>Total remeasurements recognised in the Comprehensive Income and Expenditure Statement</b>	<b>(31,490)</b>	<b>(1,590)</b>	<b>(1,690)</b>	<b>(390)</b>	<b>(35,160)</b>
<b>Total post-employment Benefit charged to the Comprehensive Income and Expenditure statement</b>	<b>(17,110)</b>	<b>(780)</b>	<b>9,520</b>	<b>(90)</b>	<b>(8,460)</b>
Movement in Reserves Statement					
Reversal of net charges made to the Surplus or Deficit for the Provision of Services for post-employment benefits	(14,380)	(810)	(11,210)	(300)	(26,700)
Actual amount charged against the General Fund Balance for pensions in the year (Employers contributions paid to the scheme)	989	54	3,204	-	4,247
<b>Total Movement in Reserves</b>	<b>(13,391)</b>	<b>(756)</b>	<b>(8,006)</b>	<b>(300)</b>	<b>(22,453)</b>

## Note 37 Defined Benefit Pension Schemes (continued)

2018/19	Firefighters' Pension Scheme 1992 £000	Firefighters' Pension Scheme 2006 £000	Firefighters' Pension Scheme 2015 £000	Injury Benefit Scheme £000	Consolidated Firefighters Pension Schemes £000
Comprehensive Income and Expenditure Statement					
<u>Cost of Services</u>					
Current service cost	2,940	140	5,400	100	<b>8,580</b>
<b>Total Service Cost</b>	<b>2,940</b>	<b>140</b>	<b>5,400</b>	<b>100</b>	<b>8,580</b>
Financing and Investment Income and Expenditure					
Interest cost	10,130	640	430	100	11,300
<b>Net Interest cost</b>	<b>10,130</b>	<b>640</b>	<b>430</b>	<b>100</b>	<b>11,300</b>
<b>Total Post-employment Benefit charged to the (Surplus) or Deficit on the Provision of Services</b>	<b>13,070</b>	<b>780</b>	<b>5,830</b>	<b>200</b>	<b>19,880</b>
Other post-employment benefit charged to the Comprehensive Income and Expenditure Statement					
Actuarial (gains)/losses arising from changes in demographic assumptions	-	-	-	-	-
Actuarial (gains)/losses arising from changes in financial assumptions	10,640	1,240	1,070	90	13,040
Other Experience adjustments	(880)	(450)	270	190	(870)
<b>Total remeasurements recognised in the Comprehensive Income and Expenditure Statement</b>	<b>9,760</b>	<b>790</b>	<b>1,340</b>	<b>280</b>	<b>12,170</b>
<b>Total post-employment Benefit charged to the Comprehensive Income and Expenditure statement</b>	<b>22,830</b>	<b>1,570</b>	<b>7,170</b>	<b>480</b>	<b>32,050</b>
Movement in Reserves Statement					
Reversal of net charges made to the Surplus or Deficit for the Provision of Services for post-employment benefits	(13,070)	(780)	(5,830)	(200)	(19,880)
Actual amount charged against the General Fund Balance for pensions in the year (Employers contributions paid to the scheme)	800	32	1,385	-	2,217
<b>Total Movement in Reserves</b>	<b>(12,270)</b>	<b>(748)</b>	<b>(4,445)</b>	<b>(200)</b>	<b>(17,663)</b>

## Note 37 Defined Benefit Pension Schemes (continued)

### Pensions Assets and Liabilities Recognised in the Balance Sheet - LGPS

	2018/19	LGPS
		£000
Present value of the defined benefit obligation		46,708
Fair value of plan assets		(29,654)
<b>Net liability arising from defined benefit obligation</b>		<b>17,054</b>
	2019/20	
Present value of the defined benefit obligation		39,747
Fair value of plan assets		(27,879)
<b>Net liability arising from defined benefit obligation</b>		<b>11,868</b>

### Reconciliation of the Movements in the Fair Value of Plan Assets - LGPS

	2018/19	2019/20
	£000	£000
Opening fair value of scheme assets	27,637	29,654
Interest Income	752	718
Remeasurement (gain)/loss:		
The return on plan assets, excluding the amount included in the net interest expense	802	(2,878)
Contributions from scheme employer	812	856
Contributions from employees into the scheme	245	248
Contributions in respect of unfunded benefits	5	5
Unfunded benefits paid	(5)	(5)
Benefits paid	(594)	(719)
<b>Closing fair value of scheme assets</b>	<b>29,654</b>	<b>27,879</b>

## Note 37 Defined Benefit Pension Schemes (continued)

### Reconciliation of Present Value of the Plan Liabilities - LGPS

	2018/19	2019/20
	£000	£000
Funded Liabilities	40,316	46,624
Unfunded Liabilities	82	84
Opening Balance at 1st April	40,398	46,708
Current service cost	1,458	1,703
Interest cost	1,105	1,138
Contributions from scheme participants	245	248
Remeasurement gain/(loss):		
Actuarial (gains)/losses arising from changes in demographic assumptions	-	(1,548)
Actuarial gains/losses arising from changes in financial assumptions	4,099	(6,179)
Other experience	2	(1,599)
Past service costs	-	-
Benefits paid	(594)	(719)
Unfunded benefits paid	(5)	(5)
<b>Closing balance at the 31st March</b>	<b>46,708</b>	<b>39,747</b>
<b>Represented by:</b>		
Funded Liabilities	46,624	39,663
Unfunded Liabilities	84	84

## Note 37 Defined Benefit Pension Schemes (continued)

### Reconciliation of Present Value of the Scheme Liabilities - Firefighters Schemes

	Firefighters' Pension Scheme 1992	Firefighters' Pension Scheme 2006	Firefighters' Pension Scheme 2015	Injury Benefit Scheme	Consolidated Firefighters' Pension Schemes
	£000	£000	£000	£000	£000
Opening balance at the 1st April 2018	401,740	25,400	14,200	4,060	445,400
Current service costs (net of employee contributions)	2,400	100	4,160	100	6,760
Past service costs	16,610	1,990			18,600
Contributions by scheme participants	540	40	1,240	-	1,820
Transfers In	-	-	-	-	-
Remeasurement gain:					
Actuarial gains/losses arising from changes in demographic assumptions					-
Actuarial gains/losses arising from changes in financial assumptions	10,640	1,240	1,070	90	13,040
Other experience	(880)	(450)	270	190	(870)
Finance Interest cost	10,130	640	430	100	11,300
Benefits paid	(11,950)	(140)	(250)	(120)	(12,460)
<b>Closing balance at the 31st March 2019</b>	<b>429,230</b>	<b>28,820</b>	<b>21,120</b>	<b>4,420</b>	<b>483,590</b>
Current service costs (net of employee contributions)	1,820	60	9,140	190	11,210
Past service costs	1,750	-	-	-	1,750
Contributions by scheme participants	400	50	1,430	-	1,880
Transfers In	-	-	-	-	-
Remeasurement gain:					
Actuarial gains/losses arising from changes in demographic assumptions					
Actuarial gains/losses arising from changes in demographic assumptions	(12,730)	(1,000)	(980)	(160)	(14,870)
Actuarial gains/losses arising from changes in financial assumptions	(15,410)	(1,800)	(1,200)	(90)	(18,500)
Other experience	(3,360)	1,210	490	(140)	(1,800)
Finance Interest cost	10,410	700	650	110	11,870
Benefits paid	(12,340)	(200)	(30)	(120)	(12,690)
<b>Closing balance at the 31st March 2020</b>	<b>399,770</b>	<b>27,840</b>	<b>30,620</b>	<b>4,210</b>	<b>462,440</b>

## Note 37 Defined Benefit Pension Schemes (continued)

The Local Government Pension Scheme's assets consist of the categories in the table, by proportion of the total assets held:

	2018/19		2019/20	
	Bid Values	Percentage of Total	Bid Values	Percentage of Total
	£000	Assets	£000	Assets
<b>Cash and Cash Equivalents</b>				
All	888	3%	835	3%
<b><u>Quoted prices in active markets</u></b>				
<b>Equity Securities</b>				
Consumer	76	0%	71	0%
Manufacturing	22	0%	21	0%
Energy and Utilities	62	0%	59	0%
Financial Institutions	94	0%	89	0%
Information Technology	25	0%	24	0%
Health and Care	22	0%	21	0%
Other	215	1%	202	1%
<b>Bonds</b>				
UK Government	2,506	9%	2,356	8%
Other	384	1%	361	1%
<b>Investment Fund and Unit Trusts</b>				
Equities	11,910	40%	11,197	40%
Bonds	1,253	4%	1,178	4%
Hedge Funds	3	0%	2	0%
Other	2,969	10%	2,791	10%
<b>Derivatives</b>				
Foreign Exchange	-	0%	(35)	0%
<b><u>Quoted prices not in active markets</u></b>				
<b>Property</b>				
UK Property	2,216	8%	2,084	7%
<b>Private Equity</b>				
All	1,367	5%	1,286	5%
<b>Investment Fund and Unit Trusts</b>				
Bonds	-	0%	-	0%
UK Government	5	0%	4	0%
Hedge Funds	-	0%	-	0%
Other	3,066	10%	2,882	10%
Commodities	1,049	4%	986	4%
Infrastructure	1,560	5%	1,466	5%
Foreign Exchange	(38)	0%	-	0%
<b>Total</b>	<b>29,654</b>	<b>100%</b>	<b>27,879</b>	<b>100%</b>



## Note 37 Defined Benefit Pension Schemes (continued)

### Basis for Estimating Assets and Liabilities

Liabilities have been assessed on an actuarial basis using the projected unit credit method, an estimate of the pensions that will be payable in future years dependent on assumptions about mortality rates, salary levels, etc. The fund liabilities have been assessed by Hymans Robertson LLP for LGPS, an independent firm of actuaries, based on the latest full valuation of the scheme as at 31<sup>st</sup> March 2016. The Firefighter Pension Scheme has been assessed by the Government Actuary's Department (GAD).

The estimation of the defined benefit obligations is sensitive to the actuarial assumptions set out in the table. The sensitivity analyses overleaf have been determined based on reasonably possible changes of the assumptions occurring at the end of the year and assumes for each change that the assumption analysed changes while all the other assumptions remain constant. The assumptions in longevity, for example, assume that life expectancy increases or decreases for men and women. In practice, this is unlikely to occur, and changes in some of the assumptions may be interrelated. The estimations

in the sensitivity analysis have followed the accounting policies for the scheme, i.e. on an actuarial basis using the projected unit credit method. The methods and types of assumptions used in preparing the sensitivity analysis overleaf did not change from those used in the previous year.

The main assumptions used by the actuary have been:

	LGPS		Fire Pension Scheme	
	2018/19	2019/20	2018/19	2019/20
Mortality assumptions:				
Longevity at 65 for current pensioners (years):				
Men	22.1	21.5	22.0	21.3
Women	24.3	23.8	22.0	21.3
Longevity at 65 for future pensioners (years):				
Men	23.8	22.2	23.9	23.0
Women	26.2	25.2	23.9	23.0
Benefit entitlement assumptions:				
Rate of increase in salaries	3.5%	2.3%	4.4%	4.0%
Rate of increase in pensions	2.5%	1.8%	2.4%	2.0%
Rate for discounting scheme liabilities	2.4%	2.3%	2.5%	2.3%
Take-up of option to convert annual pension into retirement lump-sum – relating to service pre April 2008	50.0%	50.0%	-	-
Take-up of option to convert annual pension into retirement lump-sum – relating to service post April 2008	75.0%	75.0%	-	-
Rate of Inflation (firefighters schemes)	-	-	2.4%	2.0%

## Note 37 Defined Benefit Pension Schemes (continued)

### Impact on the Defined Benefit Obligation in the Plan/Scheme

The actuary estimate that a one year increase in life expectancy would approximately increase the LGPS Employer's Defined Benefit Obligation by around 3-5%.

Opposite changes in the assumptions will provide approximately equal and opposite changes in the liability.

	Change in Assumption	
	LGPS	Fire Pension Schemes
	£000	£000
Longevity (change of 1 year)	as below	14,000
Rate of increase in salaries (change of 0.5%)	653	7,000
Rate of increase in pensions (change of 0.5%)	3,750	33,000
Rate of discounting scheme liabilities (increase of 0.5%)	(4,453)	(43,000)
Early retirement (change of 1 year)	unavailable	unavailable

### Impact on the CFA's Cash Flows

The objectives of the schemes are to keep employers' contributions at as constant a rate as possible. Leicestershire County Council has agreed a strategy with the plan's actuaries to achieve a funding level of 100% over the next 18 years. The next triennial valuation of the LGPS is due to be completed on the 31st March 2022. The CFA is anticipated to pay £926k contributions to the scheme in 2020-21. The weighted average duration of the defined benefit obligation for plan members is 24 years as at the latest formal valuation on 31st March 2019.

No such strategy exists for the Fire Pension schemes as they are unfunded schemes and therefore have no target funding level. The methodology for calculating employer contribution rates to the Fire Pensions Schemes for the 2012 valuation is set out in 'The Public Services (Valuations and Employer Cost Cap) Directions 2014. GAD undertook the first valuation exercise for the Firefighters schemes as at 31st March 2016. The results have been published and result in substantially increased employers contributions from April 2019.

## Note 37 Defined Benefit Pension Schemes (continued)

### Assets and Liabilities in Relation to Post-employment Benefits

Reconciliation of present value of the scheme liabilities (defined benefit obligation):

<b>Liabilities</b>		
<b>LGPS</b>	<b>2018/19</b>	<b>2019/20</b>
	<b>£000</b>	<b>£000</b>
<b>Balance at 1st April</b>	<b>40,398</b>	<b>46,708</b>
Current service cost	1,458	1,703
Past service costs (including curtailments)	-	-
Interest cost	1,105	1,138
Contributions by scheme participants	245	248
Benefits paid	(599)	(724)
Remeasurements arising from changes in assumptions	4,101	(9,326)
<b>Balance at 31st March</b>	<b>46,708</b>	<b>39,747</b>

Reconciliation of fair value of the scheme (plan) assets:

<b>Assets</b>		
<b>LGPS</b>	<b>2018/19</b>	<b>2019/20</b>
	<b>£000</b>	<b>£000</b>
<b>Balance at 1st April</b>	<b>27,637</b>	<b>29,654</b>
Interest income	752	718
Contributions by scheme participants	245	248
Employer contributions	812	856
Benefits paid	(594)	(719)
Return on plan assets excluding amounts included in net interest	802	(2,878)
<b>Balance at 31st March</b>	<b>29,654</b>	<b>27,879</b>

The expected return on scheme assets is determined by considering the expected returns available on the assets underlying the current investment policy. Expected yields on fixed interest investments are based on gross redemption yields as at the Balance Sheet date. Expected returns on equity investments reflect long-term real rates of return experienced in the respective markets.

## Note 38 Contingent Liabilities

The Fire Service has not identified any contingent liabilities in the 2019/20 accounts.

## Note 39 Nature and Extent of Risks arising from Financial Instruments

The CFA's activities expose it to a variety of financial risks:

~ Credit risk - the possibility that other parties might fail to pay amounts due to the CFA

~ Liquidity risk - the possibility that the CFA might not have funds available to meet its commitments to make payments

~ Market risk - the possibility that financial loss might arise as a result of changes in, for example, interest rates

The CIPFA Code of Practice on Treasury Management has been adopted by the CFA and a Treasury Management Strategy is approved by the CFA each year. In addition, half yearly and annual reports are presented to CFA which highlight investment and borrowing progress and explain departures from the strategy. In this way, the risks are actively managed.

## Note 39 Nature and Extent of Risks arising from Financial Instruments (continued)

### a) Credit Risk

Credit risk arises from deposits with banks and financial institutions and from providing chargeable services to customers. The CFA publishes criteria for lending surplus cash in the Medium Term Financial Strategy. The facilities applicable in this financial year are:

Institutions will not be used where there are any doubts about their security.

Invoices to customers for chargeable services are of relatively low value.

The following analysis summarises the CFA's potential maximum exposure to credit risk based on actual experience in terms of deposits and percentage of debt which has been written off as unrecoverable over the last three years in terms of debtors. All deposits shown on the Balance Sheet as at the 31st March 2020 were repaid to the CFA before the date the Statement of Accounts was authorised for issue where repayment was due in this period. There is no reason to doubt the credit quality of any of the customers amounts, whether current or past due for payment.

The majority of the CFA's liquid cash is invested with Leicester City Council, who also govern the CFA's Treasury Management activities.

Investment Type	Minimum Credit Criteria / Sector Colour Band	Max % of total investments/ £ limit per institution	Max. Maturity Period
Money Market Funds	AAA	100%	Liquid
Local Authorities	N/A	100%	1 Year
Term Deposits With Bank and Building Societies	Blue Orange Red Green	£5m	Up to 1 year Up to 1 year Up to 6 months Up to 3 months

Loans and Receivables	1st April 2019	31st March 2020	Est. Maximum Exposure to Credit Risk	Historical Experience of Default
	£000	£000	£000	£000
Deposits with banks, financial institutions	919	770	0	0.00
Deposits with local authorities	9,560	12,495	0	0.00
Trade Debtors				
- not yet due for payment	21	12	0	0.00
- past due date for payment	46	35	0	0.00
<b>Total</b>	<b>10,546</b>	<b>13,312</b>	<b>0</b>	<b>0</b>

## Note 39 Nature and Extent of Risks arising from Financial Instruments (continued)

The past due amount is analysed by age as follows:

	1st April 2019 31st March 2020	
	£000	£000
Less than 1 month overdue	0	3
1-2 months overdue	0	2
2-6 months overdue	0	0
Over 1 year overdue	46	30
<b>Total</b>	<b>46</b>	<b>35</b>

### Liquidity Risk

The CFA has a comprehensive cash flow management system that seeks to ensure that cash is available as needed. If unexpected movements happen, the CFA is able to access borrowings from Leicester City Council, money markets and the PWLB. There is no significant risk that it will be unable to raise finance in order to meet its commitments under financial instruments. Instead the risk is that the CFA is exposed to is that it will be bound to replenish a significant proportion of its borrowings when interest rates are unfavourable. The CFA sets limits on the proportion of borrowings during specified periods. The maturity analysis of financial liabilities is as follows:

Maturity Structure of Fixed Interest Rate Borrowing 2018/19		
	Lower Limit	Upper Limit
Less than 1 year	0%	30%
12 months to 2 years	0%	30%
2 years to 5 years	0%	50%
5 years to 10 years	0%	70%
10 years and above	25%	100%

All trade and other payables are due to be repaid in less than one year.

## Note 39 Nature and Extent of Risks arising from Financial Instruments (continued)

### Market Risk

The CFA is exposed to risk in terms of its exposure to interest rate movements on its borrowing and investments. Movements in interest rates have a complex impact. For instance, a rise in interest rates would have the following effects:

- ~ borrowings at fixed rates – the fair value of the liabilities borrowings will fall
- ~ investments at variable rates – the interest income credited to the Surplus or Deficit on the Provision of Services will rise
- ~ investments at fixed rates – the fair value of the assets will fall.

Borrowings are not carried at fair value, so nominal gains and losses on fixed rate borrowings would not impact on the Surplus or Deficit on the Provision of Services or Other Comprehensive Income and Expenditure. However, changes in interest payable and receivable on variable rate borrowings and investments will be posted to the Surplus or Deficit on the Provision of Services and affect the General Fund Balance. Movements in the fair value of fixed rate investments that have a quoted market price will be reflected in Other Comprehensive Income and Expenditure.

The CFA has a number of strategies for managing interest rate risk. Policy is to aim to have no borrowings in variable rate loans. During periods of falling interest rates, and where economic circumstances make it favourable, fixed rate loans will be repaid early to limit exposure to losses.

The team responsible for Treasury Management has an active strategy for assessing interest rate exposure that feeds into the setting of the annual budget and which is used to revise the budget during the year. This allows any adverse changes to be accommodated.

According to this assessment strategy, at the 31st March 2020, if interest rates had been 1% higher with all other variables held constant, the financial effects would be:

	£000
Additional interest receivable on variable rate investments (has a positive impact on the Surplus or Deficit on the	141
Decrease in fair value of fixed rate borrowings liabilities (no impact on the Surplus or Deficit on the Provision of Services or Other Comprehensive In-	1,474

An average rate of 0.73% (£103k) was achieved for investments, therefore this is the maximum amount which could be lost.

# Pension Fund Statement

## Firefighters' Pension Fund

Fund Account	2018/19	2019/20
	£000	£000
<b>Income to the fund</b>		
Contributions receivable:		
Fire authority contributions in relation to pensionable pay	(2,212)	(4,261)
Ill health contributions	(37)	(57)
Firefighters' contributions	(1,799)	(1,843)
Transfers in from other schemes	-	(70)
<b>Income to the fund</b>	<b>(4,048)</b>	<b>(6,231)</b>
<b>Spending by the fund</b>		
Benefits payable:		
Pensions	10,600	11,879
Commutation and lump-sum retirement benefits	2,158	1,523
Other payments	83	9
Payments To and On Behalf of Leavers	17	50
Transfers out to other schemes	150	-
<b>Spending by the fund</b>	<b>13,008</b>	<b>13,461</b>
<b>Deficit for the year before top up grant receivable from Home Office</b>	<b>8,960</b>	<b>7,230</b>
Top-up grant received	(6,453)	(5,140)
<b>Net Grant Receivable</b>	<b>2,507</b>	<b>2,090</b>
<hr/>		
<b>Firefighters' Pension fund net assets statement</b>	<b>31st March 2019</b>	<b>31st March 2020</b>
	£000	£000
<hr/>		
Net current assets and liabilities:		
Pensions top up grant receivable from Home Office	2,507	2,090
<b>Net grant receivable</b>	<b>2,507</b>	<b>2,090</b>



## Pension Fund Statement (continued)

1. In accordance with the requirements of IAS19 the actual cost of pensions required for council tax setting purposes is replaced by the current service cost of pensions in CIES, and reversed out in the MIRS.
2. Employee contributions, and employer contributions are paid into a separate account out of which pensions are paid. This is administered on behalf of the CFA by Leicestershire County Council Pensions Department. Any deficit on this account is made up by direct government funding from the Home Office.
3. It is these employer contributions (rather than the net cost of pensions) that are replaced in the CIES.
4. The Government has determined that this account is deemed a pension fund separate from the CIES and is thus reported on separately. There are no assets in this scheme and the difference between income and expenditure is met by direct government funding to balance the account to nil each year, and therefore there is no surplus or deficit on this fund to impact on overall CFA reserves.
5. Employer's and employee contribution levels are based on percentages of pensionable pay set nationally by the DCLG and are subject to triennial revaluation by the Government Actuary's Department.
6. The pensions fund's accounts do not take account of liabilities to pay pensions and other benefits after the 31st March 2020. These can be found in note 37 in the notes to the accounts.
7. The accounts are prepared in accordance with the same code of practice and accounting policies as outlined in the Statement of Accounting policies starting on page 25.
8. Any Government funding payable is paid in two instalments, 80% of the estimated annual amount in July and any further surplus or deficit settled with the Home Office following audit of the accounts for the year.
9. The fund is in deficit by £462,440k as at the 31<sup>st</sup> March 2020 (£483,590k as at the 31<sup>st</sup> March 2019).

# Final Statement & Glossary

# CFA Annual Governance Statement 2019-20

## 1. Introduction

The Combined Fire Authority (CFA) is committed to good corporate governance and complies with the CIPFA/SOLACE “Delivering Good Governance Framework” (2016). The Framework requires local authorities to be responsible for ensuring that:

- their business is conducted in accordance with all relevant laws and regulations
- public money is safeguarded and properly accounted for
- resources are used economically, efficiently and effectively to achieve agreed priorities which benefit local people

This statement is produced in fulfilment of the requirements under the Accounts and Audit Regulations, 2015, to prepare an annual governance statement.

## 2. The Arrangements

The CFA works within the governance framework summarised in Appendix 1, and has an approved Local Code of Corporate Governance. The following details how the CFA meets the requirements of the Framework through the core principles, systems, policies and procedures it has in place. Appendix 2 demonstrates how this has been assessed to inform the Annual Governance Statement.

### We have the following codes and rules:

- Finance and Contract Procedure Rules
- Code of Conduct for Members
- Code of Conduct for Employees
- Anti-fraud, Bribery and Corruption Policy
- Whistleblowing Policy
- Organisational Risk Management

**Our purpose is Safer People, Safer Places in both our communities and our workplaces. Our five key corporate strategies identified in our corporate plan and Integrated Risk Management Plan (IRMP) (Our Plan 2020-24) sets out how we will achieve this in each priority area. The strategies are:**

- Safer Communities
- Response
- Finance and Resources
- People
- Governance

### We monitor:

- Delivery of Our Plan
- Performance indicators
- Delivery of the budget
- Organisational Risk Register

### We are transparent in our decision making through:

- Open CFA & committee meetings with published agenda, meeting papers and minutes
- Published Senior Management Team decisions
- Scrutiny of our project development programme through committees
- Stakeholder engagement on our budget; IRMP; key projects and partnership working
- Publication of Freedom of Information Act responses and transparency data

## CFA Annual Governance Statement 2019-20 (continued)

### We are supported by:

- Leicester City Council who provide the position of Treasurer to make arrangements for the proper administration of the CFA's financial affairs
- Leicestershire County Council who provide the position of Monitoring Officer to maintain the constitution, ensure lawfulness and fairness in decision-making and provide member services
- A staff intranet, which provides guidance and policy documentation
- Tactical Management Team, Project Boards and Project Teams led by middle and supervisory managers to implement effective delivery of service priorities
- Partnership working on key priorities

### We review processes and delivery throughout the year supported by:

- Internal Audit
- External Audit
- Corporate Governance Committee
- Annual Report and Statement of Assurance

## 3. Significant Governance Issues

The CFA's review of processes enables the identification of any areas of the CFA's activities where there are significant weaknesses in financial controls, governance arrangements or the management of risk. Overall from this year's work, the Head of the Internal Audit Service (HoIAS) evaluation of the CFA's control environment (its framework of governance, risk management and control) is overall adequate and effective.

The External Auditors are required by the International Standard on Auditing 260 (ISA 260) to communicate about the audit of the Authority's financial statements with those charged with governance. A written report for the 2018/19 Statement of Accounts was presented to Members in September 2019 that identified issues with the production of the Statement of Accounts, although an unqualified opinion was given. The Treasurer has worked to improve this process for the 2019/20 accounts.

Areas of significant risk or priorities for action have been identified and are listed on the following pages, along with an update of the issues identified last year.

## CFA Annual Governance Statement 2019-20 (continued)

### Follow Up of Issues Identified in 2018/19

Last year the following areas were identified as significant governance issues. The table below sets out the action that has been taken to address these issues in the current year:

Issue Identified	Action taken to date:
<p><b>Budget Strategy</b> - the CFA's financial viability is a key concern at a time of deep funding cuts, the national uncertainties around funding from 2020 mean that continued viability could once again become a key concern.</p>	<p>The CFA has a balanced budget for 2020/21, although the Covid-19 pandemic has placed some uncertainty around future funding.</p>
<p><b>Fire Service Reform</b> – Fire Service is subject to a separate independent inspection regime (HMICFRS). Working standards are being established by a Professional Standards Body.</p>	<p>Following the inspection in December 2018, HMICFRS produced a report in June 2019 detailing their findings which were focussed on 3 areas – effectiveness, efficiency and people. HMICFRS recommended that we consider 24 'Areas for Improvement' (AFI), which were in addition to 20 other observations contained within the report requiring our ongoing consideration. The Combined Fire Authority (CFA) agreed in June 2019 that an improvement plan would be produced and put in place to address these areas. The Corporate Governance Committee (CGC) noted in November 2019 the production of the Improvement Plan and the monitoring arrangements that are in place.</p> <p>Await the impact of the working standards being developed and react accordingly.</p>
<p><b>Management Arrangements</b> – review temporary management structure.</p>	<p>A permanent Assistant Chief Fire and Rescue Officer (ACFO) was approved by the CFA in April 2019.</p>

**CFA Annual Governance Statement 2019-20 (continued)**

**Follow Up of Issues Identified in 2018/19 (continued)**

Issue Identified	Action taken to date:
<p><b>Regional Pensions Board</b> – to move from a local pension board to a regional one with Nottinghamshire and Derbyshire Fire and Rescue Services.</p>	<p>A submission for approval was made to the Secretary of State, however government focus on Brexit and the Election meant that a response was not received. There is a continued commitment to work towards a regional pensions board.</p>
<p><b>UK exit from the EU</b> – particularly in the event of a no-deal being reached.</p>	<p>Continually reviewed our impact assessment identifying possible risks and issues of a no-deal EU exit, updating and taking mitigating actions as appropriate. The Authority continued to link to a wider network, working with the National Fire Chiefs Council (NFCC) who identified and shared emerging issues, reporting up to Ministry of Housing, Communities and Local Government (MHCLG) and feeding into the impact assessment as necessary.</p> <p>The Local Resilience Forum (LRF) of which the Authority is a key member, continued to lead on assessing and planning risks collectively across the Leicester, Leicestershire and Rutland (LLR) in terms of possible major impacts requiring a multi-agency response. The Authority continued to work with the LRF to ensure that robust arrangements were in place so that any response needed could be achieved effectively and appropriately.</p>

## CFA Annual Governance Statement 2019-20 (continued)

### Issues Identified in 2019/20

The areas of significant risk or priorities for action that have been identified are listed below:

Issue Identified	Planned Action:
<p><b>Budget Strategy</b> - the CFA's financial viability continues to be a key concern. In addition we will need to plan for any long term impacts of Covid-19 on the CFA's budget.</p>	<p>The CFA is monitoring the impact of Covid-19 closely and will consider this when producing the budget for 2021/22.</p>
<p><b>Covid-19 Pandemic</b> - impact on the resources and services delivered.</p>	<p>Close monitoring and identification of any impacts associated with Covid 19 on the ability to deliver "Our Plan". It is noted for the short term some community based services have been suspended in accordance with government and NFCC guidance, however critical delivery of operational response and community safety activity remain in place, with innovative ideas to reach communities explored.</p>
<p><b>Statement of Accounts</b> - in the ISA260 for 2018/19 the External Auditors flagged areas of concern when the accounts were produced.</p>	<p>The Treasurer has put a plan in place to support the Finance Team and assist with producing the 2019/20 Statement of Accounts.</p>
<p><b>Regional Pensions Board</b> - to continue to move from a local pension board to a regional one with Nottinghamshire and Derbyshire Fire and Rescue Services.</p>	<p>Continue to work with Nottinghamshire &amp; Derbyshire to ensure this is moved forward.</p>
<p><b>Fire Service Reform</b> - Fire Service is subject to a separate independent inspection regime (HMICFRS). Working standards are being established by a Professional Standards Body.</p>	<p>Continue to progress the improvement plan monitored by CGC. Await the impact of the working standards being developed and react accordingly. Prepare for the next inspection due spring 2021 .</p>

## CFA Annual Governance Statement 2019-20 (continued)

### 4. Conclusion

We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

..... (Chair)

..... (Date)

.....  
..... (Chief Fire and  
Rescue Officer)

..... (Date)

.....  
..... (Treasurer)

..... (Date)



## CFA Annual Governance Statement 2019-20 (continued)

The Combined Fire Authority had the following governance arrangements in place during 2019/20.

Appendix 1

### Key Elements of the Governance Framework at the Combined Fire Authority are summarised below:

#### Combined Fire Authority

- Provide leadership, develop and set policy

#### Decision making

- Decisions are recorded on the CFA's website

#### Risk management

- Risk registers identify both operational and strategic risks
- Key risks are considered by Senior Management Team

#### Scrutiny and review

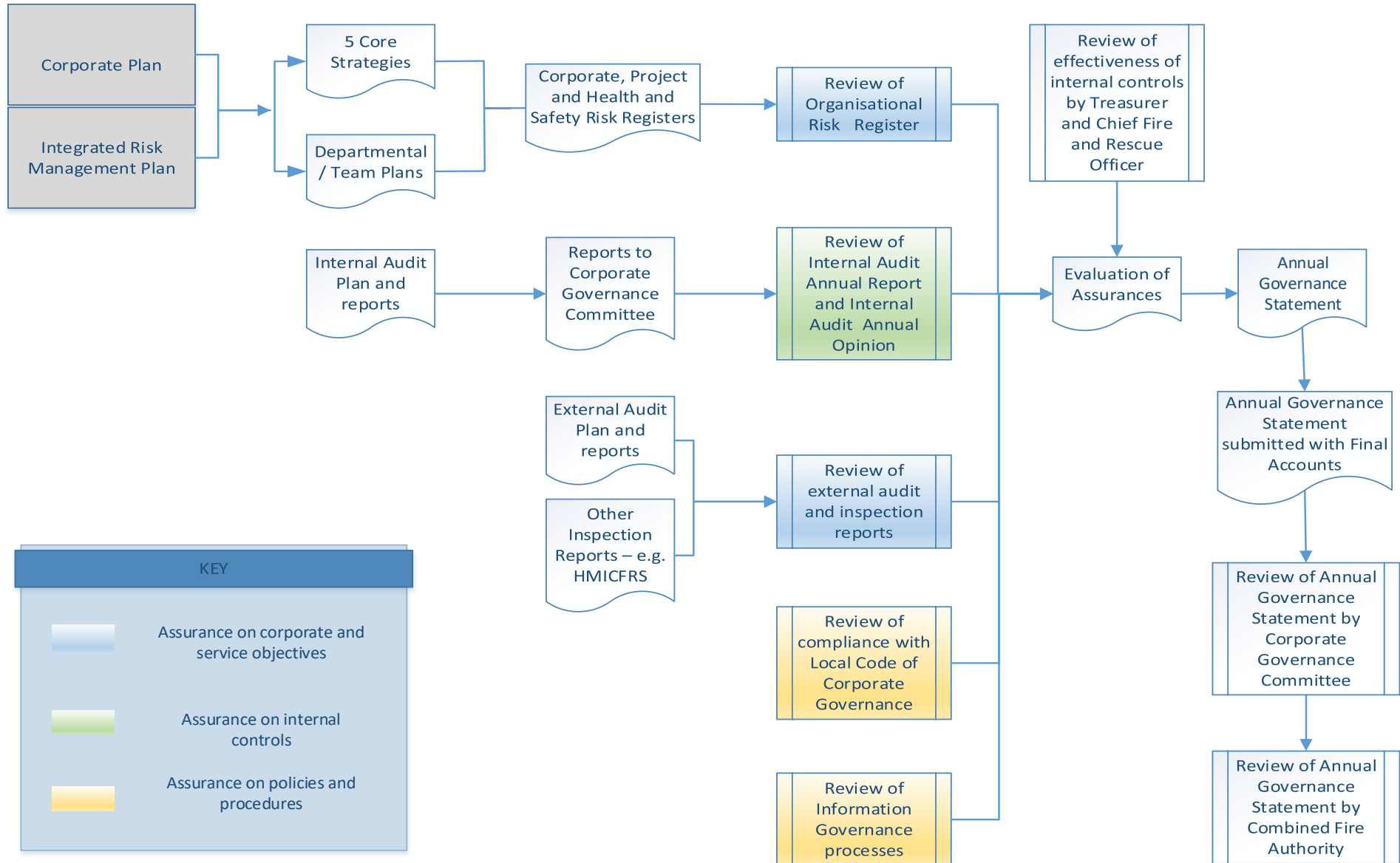
- Corporate Governance Committee has oversight of the financial reporting process and ensures that an adequate risk management framework and control environment is in place.
- Employment Committee will make recommendations to the CFA on key appointments of senior officers and will hear grievances and disciplinary proceedings against these officers.
- Approve the Internal Audit Annual report and opinion
- Pension Board ensures the effective governance and administration of Pension Schemes and compliance with any requirements imposed by

#### Senior Management Team

- Provide service level management and interface with the political leadership
- Head of Paid Service is the Chief Fire and Rescue Officer, who is responsible for leading an effective senior management team (SMT)
- The Treasurer is the s.151 Officer at Leicester City Council and is responsible for safeguarding the CFA's financial position and ensuring value for money
- Monitoring Officer is the Leicestershire County Council Director Law and Governance who is responsible for ensuring legality and promoting high standards of public conduct
- SMT includes all operational directors and service area managers.

**CFA Annual Governance Statement 2018-19 (continued)**

Governance Arrangements to inform the Annual Governance Statement



# Glossary

This Glossary explains terms that may be encountered in discussion of Local Government finance. Definitions are intended to assist a general audience, rather than reflecting exactly the technical sense in which the terms are used.

## **Accruals**

The concept that income and expenditure are recognised as they are earned or incurred, not as money is received or paid.

## **Amortisation**

The reduction of the value of an intangible asset by pro-rating its cost over a period of years.

## **Capital Expenditure**

Expenditure on the acquisition of non current assets or expenditure which adds to and not merely maintains the value of existing non current assets.

## **Capital Receipts**

Income from the sale of assets. Such income may only be used to repay loan debt or to finance new capital expenditure.

## **Cash Equivalents**

Cash equivalents are short-term, highly liquid investments that are readily convertible to known amounts of cash and which are subject to an insignificant risk of changes in value.

## **Chartered Institute of Public Finance and Accountancy (CIPFA)**

The principle accountancy body dealing with Local Authority and Public Sector finance.

## **Code of Practice on Local Authority Accounting (The Code)**

A publication produced by the Chartered Institute of Public Finance and Accountancy (CIPFA) that provides comprehensive guidance on the content of the Authority's Statement of Accounts.

## **Contingent Liability**

A possible obligation arising from past events whose existence will be confirmed by the occurrence of an uncertain future event not wholly within the CFA's control. It can also be a present obligation arising from past events where it is not probable that a transfer of economic benefits will be required or where the amount of the obligation is uncertain.

## **Creditors**

Amounts owed by the CFA for which payment has not been made by the end of the financial year.

## **Debtors**

Amounts due to the CFA but unpaid at the end of the financial year.

## **Depreciation**

The measure of the wearing out, consumption, or other reduction in the usual economic life of a non current asset during the accounting period.

## **Finance Lease**

A method of financing the acquisition of assets. Legally the assets are owned by the lessor, although

the risks and rewards of ownership of the assets pass to the lessee. The assets are shown on the Balance Sheet of the CFA.

## **Financial Instrument**

Any contract which gives rise to a financial asset of one entity and a financial liability of another. Typical financial instruments are: trade payables, bank deposits, trade receivables and investments.

## **General Fund**

The CFA's main revenue account, covering the net cost of all services.

## **Government Actuary's Department**

A Government Department that provides advice upon public sector pension arrangements, social security provision and regulators of private pension policies.

# Glossary (continued)

## **Impairment**

A reduction in the value of an asset, which is additional to the expected depreciation of that asset. Impairment may be a result of, for example, physical damage or reducing prices.

## **Non- Current Assets**

Property, plant and equipment that yield benefits to the CFA for a period of more than one year.

## **Operating Lease**

A method of financing the acquisition of assets, notably equipment, vehicles, plant etc. which involves the payment of a rental by the user for a period which is normally substantially less than the useful economic life of the asset.

## **Provision**

A liability or loss relating to a past event which is likely or certain to be incurred but uncertain as to the date when it will arise, which can be reasonably estimated.

## **Reserve**

An amount set aside for purposes falling outside the definition of a provision. Reserves include earmarked reserves set aside for specific policy purposes and balances which represent resources set aside for general contingencies.

## **Revenue Expenditure and Income**

Expenditure and income arising from the day to day operation of the CFA.

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# Audit Progress Report

Leicester, Leicestershire and Rutland  
Combined Fire Authority

August 2020



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This document is to be regarded as confidential to Leicester, Leicestershire and Rutland Combined Fire Authority. It has been prepared for the sole use of the Fire Authority and the Corporate Governance Committee as 'those charged with governance'. No responsibility is accepted to any other person in respect of the whole or part of its contents. Our written consent must first be obtained before this document, or any part of it, is disclosed to a third party.



# 1. AUDIT PROGRESS

## Purpose of this report

This report provides the Corporate Governance Committee with an update on progress in delivering our responsibilities as your external auditor and also summarising key national publications that may be of interest to Members. Due to the Covid-19 pandemic, we have not reported to Members since our Audit Strategy Memorandum was presented to the Corporate Governance Committee meeting on 11 March 2020.

## Changes in accounts and audit timetable

In April 2020 The Ministry of Housing, Communities and Local Government (MHLCG) confirmed that a statutory instrument (SI) amending the Accounts and Audit Regulations had been laid and came into force on 30 April 2020. The new effects of the amendments to the regulations are to change the dates that local authorities, and police and fire bodies, are required to publish draft and final accounts, and to remove the 'common' period during which local electors can inspect and object to local authority accounts.

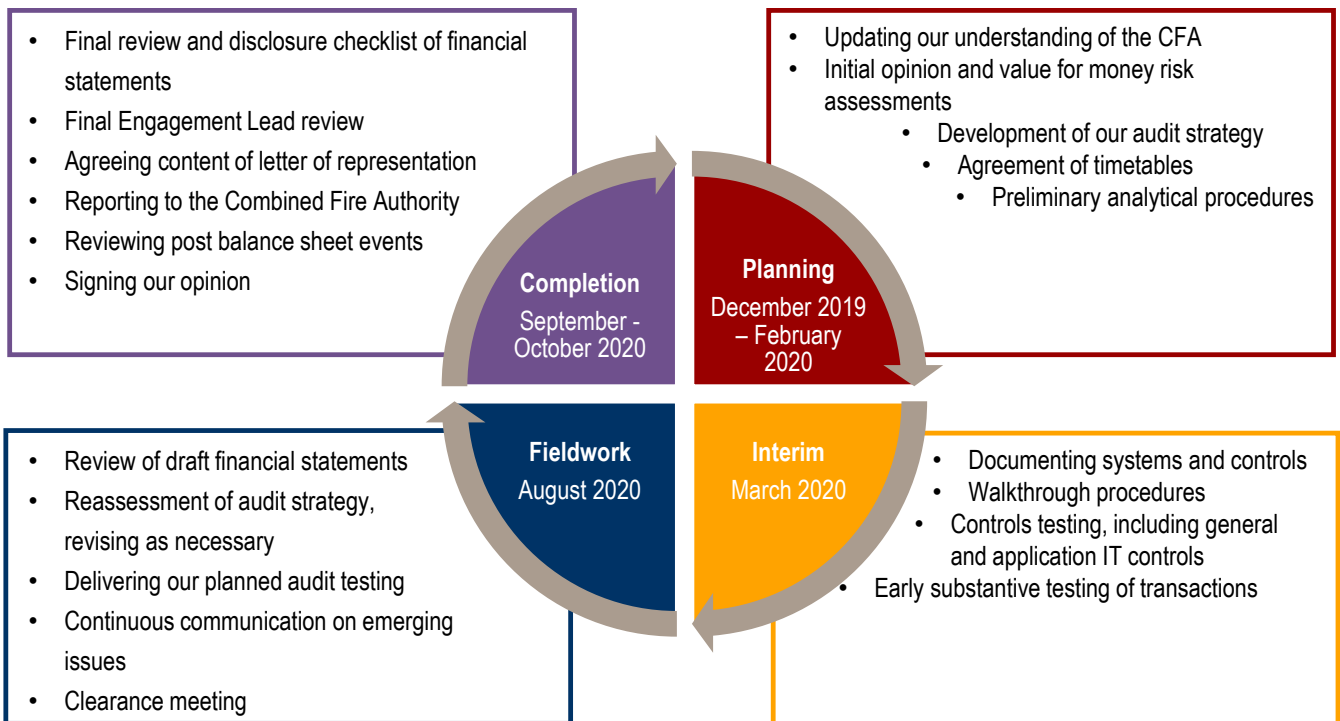
The key changes for publication of draft and final accounts are as follows:

- The deadline for authorities to publish draft financial statements moves from 31 May to **31 August 2020**.
- The deadline for publication of final (audited) financial statements moves from 31 July to **30 November 2020**.

The requirement for a 'common' inspection period has been removed. The requirement to hold a 30-working-day inspection period remains, but for 2019-20 authorities can commence the inspection period at any time, except it must commence **no later than 1 September 2020**. This will allow authorities to produce their draft accounts and commence their inspection periods as soon as they are able.

The Authority has published its draft financial statements, and the public inspection period commenced on 10 August 2020. Our Audit Completion Report and the approval of the financial statements is planned for the Authority meeting on 23 September 2020.

The table below updates the timetable from that included in our Audit Strategy Memorandum which was considered by the Corporate Governance Committee on 11 March 2020.



1. Audit progress

2. National publications

# 1. AUDIT PROGRESS

## Mazars response to the COVID-19 pandemic

During the ongoing coronavirus situation, Mazars has implemented clear and decisive measures to ensure the welfare of our people and clients while ensuring that we continue to deliver for those who rely on us.

### Ensuring resilience and maintaining the level and quality of client service

- Beyond protecting the welfare of our clients and people, Mazars' first priority is to continue to deliver on our business commitments. As part of our existing contingency planning, we have implemented systems and procedures to ensure continuity and to minimise any disruption.
- Our teams have full access to remote working technology with secure access to their applications, tools and data, wherever they are, and agile working processes are well-established across the firm.
- In a shifting environment, we will continue to adapt our approach to best navigate the uncertain situation while keeping our people and our clients front of mind.
- All partners and staff are working remotely, and our teams are making full use of virtual meetings and agile working technology to stay connected with each other and our clients, deliver on our commitments, and provide continuity and support at the time it's most needed.

Mazars' external website contains further details of its response to the emerging situation, along with regular economic briefings.

<https://www.mazars.co.uk/>

### Responding to changes – working with Leicestershire Fire

All Mazars' staff moved to remote working from the 16 March 2020. We are committed to supporting the Fire Authority as best we can, recognising first and foremost, the need to be flexible as the current environment changes and also potential pressures on the accountancy and finance teams of the Authority. We have maintained open communication throughout this period and will continue to do so.

We are able to carry out the audit remotely and have put in place arrangements to allow this; for example, regular video conference calls, a shared site for secure transfer of data and keeping a queries log. The key difference is we will not, subject to any changes, have a physical on-site presence. We have maintained communication via e-mail, and regular telephone and video conferencing calls and will continue to do so.

### Current Audit Position

At the time of writing this report, we have just completed an intensive period of fieldwork on the audit. We are currently drawing together our findings and conclusions, and these will be reflected in our Audit Completion Report to be presented to the Authority meeting on 23 September 2020.

Members will recall that we experienced significant difficulties during the 2018/19 audit, with a need for the Authority to significantly improve its arrangements in a number of key areas. We are pleased to report that significant improvements were evident this year, and we have not experienced the issues that created the difficulties last year. In particular, the working papers supporting the financial statements were of high quality, we found officers responsive and helpful with our queries and no significant amendments have been identified in relation to the financial statements as a result of officer error.

# 1. AUDIT PROGRESS

## Audit fee pressures arising from increased regulatory requirements

As noted in the Audit Strategy Memorandum, there will be an increased audit fee to reflect the increased level of work that was not considered when the scale fee was set.

We continually strive to maintain high standards of audit quality. One mechanism for doing this is to consider the outcome of independent quality reviews, in particular by the Financial Reporting Council, of our audit work and that of other audit suppliers. In particular we are planning increases in the level of work we do on:

- defined benefit pension schemes; and
- valuation of property, plant and equipment.

The regulatory pressures and consequential upward pressure on audit fees has been recognised by Public Sector Audit Appointments Ltd (PSAA Ltd) in its recent publications, notably as described in item 14 on page 14 of this report.

Our approach will be to assess the additional fee for the 2019/20 audit relating to these regulatory pressures during the audit fieldwork phase and to report the additional fee required to officers and Members when our fieldwork is complete. Any agreed additional fee is also subject to detailed scrutiny by the PSAA as part of the approval process.

We recognise that this is a different approach to previous years when fee levels were relatively certain in advance of the audit taking place, but this reflects the turbulence and change in the audit environment, as described by PSAA Ltd and others.

## 2. SUMMARY OF NATIONAL PUBLICATIONS

This section of our report contains national publications which may be of interest to Members, including recent publications in respect of Covid-19.

There have been many different briefings across different sectors, in respect of the emerging crisis and more are being published on an on-going basis. This summary does not intend to provide an exhaustive list of all recent publications, but to provide an overview of key areas.

Within Mazars, we liaise with the regulators for your sector on a regular basis and this will continue during the coming periods, so that we ensure we are up-to-date with emerging issues; we feed back any messages as part of on-going two-way communications.

	Publication/update	Key points
<b>Financial Reporting Council and other regulators</b>		
1.	<b>Statement in respect of current situation</b>	Highlights the impact for auditors and organisations and also the likelihood of an increase in modified opinions.
<b>Chartered Institute of Public Finance and Accountancy (CIPFA)</b>		
2.	<b>Financial Scrutiny Practice Guide , 25 June 2020</b>	Guidance on financial scrutiny in local government.
3.	<b>CIPFA BULLETIN 05: Closure of the 2019/20 Financial Statements, 30 April 2020</b>	This is technical guidance for those preparing financial statements.
<b>National Audit Office (NAO)</b>		
4.	<b>Guide for audit and risk committees on financial reporting and management during COVID-19, 24 June 2020</b>	NAO Guidance for Audit and Risk committees during the pandemic.
5.	<b>Investigation into remediating dangerous cladding on high-rise buildings, 19 June 2020</b>	NAO report on addressing the issues with building cladding following the Grenfell fire.
6.	<b>Auditor Guidance Note (AGN) 03 – Auditors’ Work on Value for Money Arrangements, June 2020</b>	NAO consultation on the detailed new guidance for auditors in relation to VFM work from the 2020/21 audit.
7.	<b>Readying the NHS and adult social care in England for COVID-19, 12 June 2020</b>	NAO’s second publication considering the Government response to COVID-19.
8.	<b>Managing Private Finance Initiative (PFI) assets and services as contracts end, 5 June 2020</b>	NAO report on managing PFI contracts.
9.	<b>Overview of the UK government’s response to the COVID-19 pandemic, 21 May 2020</b>	NAO’s first publication considering the Government response to COVID-19.
10.	<b>Code of Audit Practice</b>	New Code governing work of auditors, applying from 1 April 2020 for 2020/21 audit year and beyond.

## 2. SUMMARY OF NATIONAL PUBLICATIONS

	Publication/update	Key points
<b>Public Sector Audit Appointments (PSAA)</b>		
11.	<b>PSAA Publishes Findings of Audit Survey, 7 May 2020</b>	PSAA client survey. We are delighted that these results show that Mazars has performed very well in its own right, and also in comparison to the other firms in the sector.
12.	<b>Independent analysis of the outcomes of electors' objections, 15 April 2020</b>	Analysis of objections.
13.	<b>News release: Q&amp;As, 9 April 2020</b>	PSAA seeks to answer questions raised in the 2020/21 scale fee process.
14.	<b>2020/21 audit fee scale, 31 March 2020</b>	Scale fees set for 2020/21 at same level as 2019/20, but PSAA indicates likely upward pressure on audit fees for both years.
15.	<b>Independent review of the sustainability of the local government audit market, 4 March 2020</b>	PSAA publishes an independent review.
<b>Ministry for Housing, Communities and Local Government (MHCLG)</b>		
16.	<b>Comprehensive new funding package for councils to help address coronavirus pressures and cover lost income during the pandemic, 2 July 2020</b>	Latest funding package to assist local government to deal with the impact of the pandemic.
17.	<b>Coronavirus (COVID-19): guidance for local government, 1 July 2020</b>	Summary of all the guidance available for local government and related bodies.
18.	<b>Local authority COVID-19 financial impact monitoring information, 21 June 2020</b>	Summary of information gathered to assess the financial impact of the pandemic on local government.
19.	<b>Addressing cultural and governance failings in local authorities: lessons from recent interventions, 16 June 2020</b>	Lessons to be learned from Government intervention in local authorities.
20.	<b>Local government procurement: fraud and corruption risk review, 8 June 2020</b>	Local government procurement fraud and corruption risk review provides advice on how councils can strengthen their processes and implement prevention measures. The findings are equally relevant to fire authorities.
21.	<b>Emergency funding, 30 March 2020 and 28 April 2020</b>	Two tranches of emergency funding to support local authorities, including fire authorities.
22.	<b>Councils given new powers to hold public meetings remotely, 3 April 2020</b>	Temporary powers to hold remote meetings.
23.	<b>Coronavirus (COVID-19): letter to councils about extending the statutory audit deadlines for 2019/20, 22 April 2020</b>	Extension of accounts and audit timetable.

## 2. SUMMARY OF NATIONAL PUBLICATIONS

	Publication/update	Key points
<b>Local Government Association (LGA)</b>		
24.	<b>Key questions and issues for finance portfolio holders during the COVID-19 pandemic, 14 May 2020</b>	Although this paper is directed at local authorities, the considerations around the financial impact of COVID-19 are equally relevant to fire authorities.
<b>Home Office</b>		
25.	<b>Government urges public to make a Government relaunches Fire Kills campaign, 3 February 2020</b>	New Fire Kills campaign launched.
26.	<b>Fire Safety Bill, 19 March 2020</b>	The Home Office is introducing a new bill to improve fire safety in buildings in England and Wales.
27.	<b>Letter to the National Fire Chiefs Council and the Fire Services Management Committee, 23 April 2020</b>	Government recognition of the work being undertaken by fire and rescue services.
28.	<b>Fire and rescue incident statistics: England, year ending December 2019, 14 May 2020</b>	Latest fire and rescue statistics to end of December 2019.
<b>Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS)</b>		
29.	<b>HMICFRS suspends inspections of police and fire and rescue services, 18 March 2020</b>	Inspections suspended due to COVID-19 pandemic.

## 2. NATIONAL PUBLICATIONS

### 1. Statement on Covid-19, Financial Reporting Council and other Regulators, March 2020

A joint statement was issued by the Financial Reporting Council, the Financial Conduct Authority and Prudential Regulation Authority in response to the current situation.

The statement sets out that:

*“Successful and sustainable businesses underpin our economy and society by providing employment and creating prosperity. Equity and debt capital markets play a vital role providing finance to these businesses and will aid the recovery. Governments and regulators around the world remain focused on keeping capital markets open and orderly.*

*Capital markets rely on timely, accurate information. Investors and other stakeholders rely on financial reporting – backed by high-quality auditing. However, companies and their auditors currently face unprecedented challenges in preparing and auditing financial information”*

This statement highlights:

- highlights likelihood of more modified opinions (where difficulties in obtaining evidence or other issues);
- going concern assumption considerations and uncertainties; and
- guidance for companies and auditors.

<https://www.fca.org.uk/news/statements/joint-statement-fca-frc-pra>

### 2. Financial Scrutiny Practice Guide, CIPFA (with the Centre for Public Scrutiny), 25 June 2020

CIPFA has released its guidance on Financial Scrutiny Practice, which is aimed at councils and councillors in England, and seeks to address how best to integrate an awareness of council finances with overview and scrutiny.

CIPFA reports that the impact of the pandemic means that council budgeting will need to be more focused on priorities and difficult choices for the foreseeable future. Therefore, the guide suggests ways to move budget and finance scrutiny beyond set-piece events that take place in December and quarterly financial performance reported to committees.

CIPFA also notes that effective financial scrutiny is one of the few ways that councils can assure themselves that their budget is robust, sustainable, and takes into account the needs of residents.

<https://www.cipfa.org/policy-and-guidance/reports/financial-scrutiny-practice-guide>

### 3. CIPFA BULLETIN 05: Closure of the 2019/20 Financial Statements, Chartered Institute of Public Finance and Accountancy, 30 April 2020

This is technical guidance for those preparing financial statements. It covers emerging or urgent accounting issues. The bulletin for the 2019/20 financial statements includes guidance on accounting for issues relating to the COVID-19 pandemic.

<https://www.cipfa.org/policy-and-guidance/cipfa-bulletins/cipfa-bulletin-05-closure-of-the-201920-financial-statements>

## 2. NATIONAL PUBLICATIONS

### 4. Guide for audit and risk committees on financial reporting and management during COVID-19, 24 June 2020

The NAO has published a Guide for audit and risk committees on financial reporting and management during COVID-19. This guide aims to help audit and risk committee members support and challenge the organisations they work with in the following areas:

- Annual reports;
- Financial reporting;
- The control environment; and
- Regularity of expenditure.

In each section of the guide the NAO has set out some questions to help audit and risk committee members understand and challenge activities. Each section can be used on its own, although the NAO would recommend that audit and risk committee members consider the whole guide, as the questions in other sections may be interrelated.

The guide may also be used as organisations and audit and risk committees consider reporting in the 2020-21 period when more specific and detailed reporting on the outbreak will be required.

<https://www.nao.org.uk/report/guidance-for-audit-and-risk-committees-on-financial-reporting-and-management-during-covid-19/>

### 5. Investigation into remediating dangerous cladding on high-rise buildings, 19 June 2020

The NAO has published its report on the investigation into remediating dangerous cladding on high-rise buildings.

Following the Grenfell Tower disaster, the Ministry of Housing, Communities and Local Government (MHCLG) established the Building Safety Programme to ensure that residents of high-rise residential buildings are safe and feel safe from the risk of fire. In May 2018, MHCLG announced £400 million to fund the remediation of high-rise residential buildings with unsafe Aluminium Composite Material (ACM) in the social housing sector. In May 2019, a further £200 million was made available for the remediation of equivalent buildings in the private sector.

In May 2020, the Government announced a new £1 billion building safety fund to remove dangerous cladding from high-rise buildings. This brings the total funding for remediation to £1.6 billion.

The investigation examined how MHCLG is:

- assuring itself that it has correctly identified all the buildings which fall within scope of the Programme, and that they are being fully remediated;
- managing the pace of progress of remediation; and
- deciding which buildings qualify for remediation funding, and how it has assessed risks outside the scope of the programme.

Some of the findings from the investigation include:

- as at April 2020, 149 of the 456 buildings, 18 metres and over with unsafe ACM cladding have been fully remediated;
- the pace of remediation has been faster in the student accommodation and social housing sectors, but slower in the private residential sector;
- early signs are that the effect of COVID-19, and public health measures taken to limit its impact, have slowed down the pace of remediation; and
- more than a quarter of buildings yet to be remediated are concentrated in four local authorities.

<https://www.nao.org.uk/report/investigation-into-remediating-dangerous-cladding-from-high-rise-buildings/>



## 2. NATIONAL PUBLICATIONS

### 6. Auditor Guidance Note (AGN) 03 – Auditors' Work on Value for Money Arrangements, June 2020

The new Code of Audit Practice came into force on 1 April 2020, after being approved by Parliament. It was developed following a consultation process in 2019. The most significant changes to the new Code are in relation to auditors' work on value for money arrangements. NAO have decided to consult on the detailed statutory guidance that will support auditors to deliver work under the new Code.

NAO have now published its consultation seeking views on the draft 'Auditor Guidance Note (AGN) 03 – Auditors' Work on Value for Money Arrangements'. The consultation is open for a period of 12 weeks, with a closing date of 5pm on 2 September 2020.

<https://www.nao.org.uk/code-audit-practice/agn-03-vfm-consultation/>

### 7. Readyng the NHS and adult social care in England for COVID-19, 12 June 2020

The NAO published its report Readyng the NHS and adult social care in England for COVID-19 in June 2020.

This report is the second in a programme of work by the NAO to support Parliament's scrutiny of the UK government's response to COVID-19. It sets out the facts about government's progress in preparing the NHS and social care for the COVID-19 outbreak, with a focus on:

- actions set out in the 17 March letter to the NHS, and the 15 April action plan for adult social care. It also describes what is currently known about additional funding for health and adult social care;
- actions taken at a national level by those responsible for coordinating health, adult social care and local government in England; and
- the period from the start of the outbreak to at least the end of April, when the government announced that the UK was "past the peak". Depending on the data available at the time of writing, the NAO has provided information up to mid-May.

The report does not assess the value for money of the measures adopted by government or the effectiveness of its response. It uses a range of published and unpublished data, the latter requested from public bodies under the NAO's statutory audit powers.

<https://www.nao.org.uk/report/readyng-the-nhs-and-adult-social-care-in-england-for-covid-19/>

### 8. Managing Private Finance Initiative (PFI) assets and services as contracts end, 5 June 2020

The NAO has published its report on Managing PFI assets and services as contracts end.

The report considers whether the government is making appropriate preparations to manage the expiry of PFI contracts. The report notes that there are currently 700 operational PFI contracts in the UK with a capital value of £57 billion. However, the study focuses on the 571 PFI contracts in England, excluding those for which responsibility lies with the devolved governments.

The report draws out the challenges and best practice that can most benefit those managing PFI contracts which are ending. Note that the report does not assess the potential impacts of the COVID-19 pandemic on the expiry of PFI contracts, as the fieldwork was conducted before the outbreak.

<https://www.nao.org.uk/report/managing-pfi-assets-and-services-as-contracts-end/>

## 2. NATIONAL PUBLICATIONS

### 9. Overview of the UK government's response to the COVID-19 pandemic, *National Audit Office*, 21 May 2020

Significant outbreaks of disease are among the greatest risks faced by any society, threatening lives and causing significant disruption to public services and the economy. The scale and nature of the current COVID-19 pandemic and government's response is unprecedented in recent history.

This report is the first of a programme of work to be undertaken by the National Audit Office (NAO) to support Parliament in its scrutiny of the UK government's response to COVID-19.

<https://www.nao.org.uk/report/summary-of-uk-governments-response-to-the-covid-19-pandemic/>

### 10. Code of Audit Practice, *National Audit Office*, March 2020

The Code of Audit Practice sets out what local auditors of relevant local public bodies are required to do to fulfil their statutory responsibilities under the Local Audit and Accountability Act 2014. 'Relevant authorities' are set out in Schedule 2 of the Act and include local councils, fire authorities, police and NHS bodies. Schedule 6 of the Act extends this requirement to include NHS Foundation Trusts.

Local auditors must comply with the Code of Audit Practice. The Code must be reviewed at least every five years, so the Code that applies will depend on the financial year being audited.

The final draft of the latest Code has now been approved by Parliament and will come into force on 1 April 2020. The new Code will apply from audits of local bodies' 2020-21 financial statements onwards. The NAO is now developing the detailed statutory Auditor Guidance Notes (AGNs) that will support the new Code. The most significant changes will be made to the guidance on auditor's work on arrangements to secure value for money (AGN 03) and auditor reporting (AGN 07). NAO plan to engage with stakeholders to develop this guidance over the coming months and will consult publicly in the summer/autumn of 2020.

We will brief the Committee on changes as more guidance emerges over the year. Key messages from the new Code are summarised below:

#### Audit of the financial statements

Auditors must still comply with underlying auditing standards.

#### Value for money arrangements

- Removal of 'except for' and 'adverse' conclusions.
- Work based around 3 reporting criteria:
  - Financial sustainability
  - Governance
  - Improving the 3Es – economy, efficiency and effectiveness
- Auditors must report when they are not satisfied that arrangements are in place. Where weaknesses are identified, recommendations are expected at any time of the audit.

#### Auditor reporting

- Auditor's Annual Report introduced:
  - Replaces Annual Audit Letter
  - Includes enhanced commentary against each of the specified VFM reporting criteria
  - To be issued in line with the audit report on the financial statements

<https://www.nao.org.uk/code-audit-practice/code-of-audit-practice-consultation/>

## 2. NATIONAL PUBLICATIONS

### 11. PSAA Publishes Findings of Audit Survey, *Public Sector Audit Appointments*, 7 May 2020

PSAA has published the findings of a survey of audited bodies' feedback on their audits of 2018/19 accounts.

In the past, surveys have been undertaken by the audit firms themselves and have sought the responses of client Chief Finance Officers (CFOs) to a relatively small number of high level questions.

This year, coinciding with the first audits under Appointing Person arrangements, PSAA has introduced a new approach which incorporates a number of important changes.

To assure independence and confidentiality, it has commissioned the LGA's Research & Information team to administer the survey centrally. The views of both CFOs and Audit Committee Chairs have been sought recognising the importance of the auditor's relationships with both Management and Those Charged With Governance. A longer list of survey questions has also been developed to probe more deeply into respondents' experience of different aspects of the audit and the auditor's performance.

PSAA hopes that audited bodies will find the survey results interesting and helpful in terms of stimulating discussion about their audit, identifying areas in which it went well or might have been improved. PSAA is encouraged by the volume of data which its new survey has generated and the opportunity it provides to identify good practice and/or discuss specific areas for improvement with individual audit firms.

We are delighted that these results show that Mazars has performed very well in its own right, and also in comparison to the other firms in the sector.

<https://www.psa.co.uk/2020/05/psaa-publishes-findings-of-audit-survey/>

### 12. Independent analysis of the outcomes of electors' objections, *Public Sector Audit Appointments*, 15 April 2020

A unique element of the local government accountability framework is the long-held rights of local electors to inspect accounts and related documents, and to object to auditors about issues of concern. In recent times electors have been able to access far more data and information than when the right to object was originally enacted, because of developments such as transparency reporting and the Freedom of Information Act.

Publicly available information about objections and their outcomes is limited. The work on them is often mainly confidential correspondence between the auditor, the objector and the local body with the outcome reported to the local body. Although the auditor's decision and detailed statement of reasons is sometimes reported in the public domain, this is not always the case. To help address that gap PSAA has commissioned an independent analysis of the outcomes of objections.

<https://www.psa.co.uk/2020/04/news-item-independent-analysis-of-the-outcomes-of-electors-objections/>

### 13. News release: Q&As, *Public Sector Audit Appointments*, 9 April 2020

PSAA consulted on the 2020/21 scale fees earlier this year and published the 2020/21 scale fees on 31 March 2020. Not surprisingly in these turbulent times for audit the consultation responses contained many questions. Today PSAA have published a 'Q&A', setting out our answers to them.

<https://www.psa.co.uk/2020/04/news-release-qas/>

## 2. NATIONAL PUBLICATIONS

### 14. 2020/21 audit fee scale, *Public Sector Audit Appointments*, 31 March 2020

The consultation set out the proposed scale of fees for the work to be undertaken by appointed auditors in respect of the 2020/21 financial statements at bodies that have opted into PSAA's national auditor appointment scheme. Setting the fee scale for audits of 2020/21 financial statements is challenging. It requires consideration and assessment of the impact of a range of factors, many of which are difficult to quantify at this stage. They include:

- issues which have given rise to additional audit work in relation to the 2018/19 accounts, or are expected to arise and have implications for 2019/20 accounts' audits, and which may or may not have ongoing implications for subsequent years;
- new auditing standards and regulatory requirements, including any decisions taken by Government in response to the reviews being undertaken and referred to in this progress report (see item 7 above); and
- the introduction of the new NAO Code of Audit Practice and related AGNs, the implementation of which may have one-off and/or ongoing implications for the extent of auditors' work.

In PSAA's view, discussions about the impact of the factors outlined needs to take place at local body level between the appointed auditor and an authorised representative of the audited body, such as the chief finance officer. This is the level at which each factor or variable can be considered in the distinctive context of the particular body, having regard to any implications for audit risk and the extent of any additional audit work which may be required to enable an appropriate level of assurance.

The expectation is that such discussions should take place as soon as possible as part of planning discussions for 2019/20 audits, with a specific aim also to look ahead to identify any implications for 2020/21. In some cases it may not be possible to quantify the implications for audit work at this stage or perhaps even until the work is done. Nevertheless early discussions will help to align expectations and mitigate the risk of audited bodies being unaware of the prospect of charges for additional work until very late in the audit process.

Link to the PSAA consultation is set out below:

<https://www.psa.co.uk/audit-fees/consultation-on-2020-21-audit-fee-scale/>

PSAA published its scale fees for 2020/21 on 31 March 2021, and concluded that:

"In current circumstances we do not have sufficient reliable information that would enable us to adjust the scale of fees for 2020/21, and so have maintained the scale fee at the level set for 2019/20 before audit work had started. In practice we recognise that in the event, with so much turbulence and change in the environment, additional fees variations are likely to arise for many bodies."

<https://www.psa.co.uk/audit-fees/2020-21-audit-fee-scale/>

### 15. Independent review of the sustainability of the local government audit market, *Public Sector Audit Appointments*, 4 March 2020

PSAA has recently commissioned an independent review of the sustainability of the local government audit market. The review was undertaken by an independent consultancy, Touchstone Renard (TR).

The TR report draws on the views of audit firms active in the local authority market as well as others that are not. In doing so it identifies a number of distinctive challenges in the current local audit market. In particular it highlights the unprecedented scrutiny and significant regulatory pressure on the auditing profession; the challenges of a demanding timetable which expects publication of audited accounts by 31st July each year; and the impact of austerity on local public bodies and its effect on both the complexity of the issues auditors face and the capacity of local finance teams.

<https://www.psa.co.uk/2020/03/news-item-independent-review-of-the-sustainability-of-the-local-government-audit-market/>

## 2. NATIONAL PUBLICATIONS

### 16. Comprehensive new funding package for councils to help address coronavirus pressures and cover lost income during the pandemic, 2 July 2020

On 2 July 2020, Government announced a major new support package to help councils respond to coronavirus as part of comprehensive plan to ensure councils' financial sustainability for the future.

Key features of the new package include:

- Government announces new comprehensive package of support to address spending pressures and in recognition of lost income;
- Further £500 million brings funding given to support local councils with pressures to £4.3 billion, part of a package of over £27 billion to help councils, businesses and communities; and
- New scheme will also reimburse councils for lost income and allow council and business rates tax deficits to be repaid over 3 years instead of one.

The announcement included statements that:

Recognising that councils are best placed to decide how to meet pressures in their local area, this funding has not been ringfenced.

In addition to this funding, a major new scheme introduced by the government today will help to reimburse lost income during the pandemic and boost cash flow. Where losses are more than 5% of a council's planned income from sales, fees and charges, the government will cover them for 75p in every pound lost.

Additionally, to enable them to get on the front foot and build much-needed breathing space into their budgets, the government is also bringing in changes so that they can spread their tax deficits over 3 years rather than the usual one.

Overall, in the last 6 months, government has worked closely with local authorities to understand their needs and provided more than £27 billion to help councils, businesses and communities through COVID-19.

<https://www.gov.uk/government/news/comprehensive-new-funding-package-for-councils-to-help-address-coronavirus-pressures-and-cover-lost-income-during-the-pandemic>

### 17. Coronavirus (COVID-19): guidance for local government, 1 July 2020

There is a wide range of Government Guidance that relates to local councils during the coronavirus (COVID-19) outbreak. MHCLG provides a comprehensive list of all guidance and keeps this updated at the attached link.

<https://www.gov.uk/guidance/coronavirus-covid-19-guidance-for-local-government>

## 2. NATIONAL PUBLICATIONS

### 18. Local authority COVID-19 financial impact monitoring information, 21 June 2020

MHCLG is collecting data on the impact COVID-19 is having on local authority finances.

The purpose of the data collection is to help provide the government with information on the financial pressures experienced by local authorities as a result of the pandemic. The data collection, which is aimed at Finance Directors in 339 local authorities, is based on best estimates. Fire and rescue authorities and combined authorities are not included in the survey.

Information from local authorities were collected in mid-April and mid-May, and MHCLG plans to run the data collection on a regular basis, as the government continues its response to the pandemic. The data collected so far shows that the combined spending and income pressure at the end of May was £3.24 billion.

The detailed monitoring information (presented in excel format) is available here.

<https://www.gov.uk/government/publications/local-authority-covid-19-financial-impact-monitoring-information>

### 19. Addressing cultural and governance failings in local authorities: lessons from recent interventions, 16 June 2020

MHCLG reports that based on its experience of supporting, and sometimes intervening in local authorities (LAs) experiencing difficulties, culture and governance at LAs are key to their success or failure. To support LAs in these areas, MHCLG has published a short guide which considers the lessons about LA culture and governance that can be learned from recent statutory and non-statutory interventions.

The key areas covered by the guide include:

- recognising indicators of poor culture and weak governance;
- addressing ineffective leadership (corporate and political);
- addressing poor behaviour across an authority; and
- strengthening scrutiny, transparency and whistle-blowing support.

<https://www.gov.uk/government/publications/addressing-cultural-and-governance-failings-in-local-authorities-lessons-from-recent-interventions/addressing-cultural-and-governance-failings-in-local-authorities-lessons-from-recent-interventions>

### 20. Local government procurement: fraud and corruption risk review, 8 June 2020

The government has published the findings from its review of fraud and corruption risks in local government procurement.

The review report focuses on the risks of fraud and corruption when councils procure and commission goods, works and services. The report notes that the effective management of risk in procurement is part of ensuring a well-led and risk-aware council, that manages its resources efficiently to secure value for money outcomes.

The report includes:

- case studies highlighting where fraud and corruption incidents have occurred;
- best practice examples for mitigating fraud and corruption risks; and
- suggested activities to improve the response to fraud and corruption risks in local government.

<https://www.gov.uk/government/publications/local-government-procurement-fraud-and-corruption-risk-review>

## 2. NATIONAL PUBLICATIONS

### 21. Emergency funding, *Ministry for Housing, Communities and Local Government*, 30 March 2020 and 28 April 2020

On 19 March 2020, the [government announced](#) £1.6 billion of additional funding for local government to help them respond to coronavirus (COVID-19) pressures across all the services they deliver.

A further £1.6 billion in additional funding was [announced](#) on 18 April 2020. This extra £1.6 billion takes the total given to councils to help their communities through this crisis to over £3.2 billion.

This document sets out the allocations for local authorities. Leicestershire Fire received a total of £986k from the two tranches.

<https://www.gov.uk/government/publications/covid-19-emergency-funding-for-local-government>

### 22. Councils given new powers to hold public meetings remotely, *Ministry for Housing, Communities and Local Government*, 3 April 2020

The government has temporarily removed the legal requirement for local authorities (including fire authorities) to hold public meetings in person during the coronavirus pandemic. This will enable authorities to make effective and transparent decisions on the delivery of services for residents and ensure that local democracy continues to thrive.

<https://www.gov.uk/government/news/councils-given-new-powers-to-hold-public-meetings-remotely>

### 23. Coronavirus (COVID-19): letter to councils about extending the statutory audit deadlines for 2019 to 2020, *Ministry for Housing, Communities and Local Government*, 22 April 2020

Letter from the Ministry of Housing, Communities and Local Government informing local authority chief executives that:

- the publication date for final, audited, accounts will move from 31 July for Category 1 authorities and 30 September for Category 2 authorities to 30 November 2020 for all local authority bodies
- to give local authorities more flexibility, the requirement for the public inspection period to include the first 10 working days of June (for Category 1 authorities) and July (for Category 2 authorities) has been removed. Instead local authorities must commence the public inspection period on or before the first working day of September 2020.

The same timetable applies to fire authorities.

<https://www.gov.uk/government/publications/coronavirus-covid-19-letter-to-councils-about-extending-the-statutory-audit-deadlines-for-2019-to-2020>

### 24. Key questions and issues for finance portfolio holders during the COVID-19 pandemic, *Local Government Association*, 14 May 2020

The ongoing COVID-19 pandemic has already had a significant impact on local council finances, the effects of which will continue through the current period of lockdown and beyond. This paper seeks to outline and discuss key strategic issues that elected members, particularly those in finance and wider leadership positions, should consider.

Although this paper is directed at local authorities, the considerations around the financial impact of COVID-19 are equally relevant to fire authorities.

<https://www.local.gov.uk/key-questions-and-issues-finance-portfolio-holders-during-covid-19-pandemic>

## 2. NATIONAL PUBLICATIONS

### 25. Government relaunches Fire Kills campaign, *Home Office*, 3 February 2020

Adverts launched from today will highlight everyday fire hazards and urge the public to install smoke alarms on every floor.

<https://www.gov.uk/government/news/government-relaunches-fire-kills-campaign>

### 26. Fire Safety Bill, *Home Office*, 19 March 2020

The Home Office is introducing a new bill to improve fire safety in buildings in England and Wales.

The proposed Fire Safety Bill builds on action already taken to ensure that people feel safe in their homes, and a tragedy like the Grenfell Tower fire never happens again.

The bill will amend the Fire Safety Order 2005 to clarify that the responsible person or duty-holder for multi-occupied, residential buildings must manage and reduce the risk of fire for:

- the structure and external walls of the building, including cladding, balconies and windows
- entrance doors to individual flats that open into common parts

This clarification will empower fire and rescue services to take enforcement action and hold building owners to account if they are not compliant.

<https://www.gov.uk/government/news/fire-safety-bill>

### 27. Letter to the National Fire Chiefs Council and the Fire Services Management Committee, *Home Office*, 23 April 2020

A letter from James Brokenshire to the National Fire Chiefs Council and the Fire Services Management Committee on reducing burdens and supporting the fire sector. This letter supports the work that is being done nationally to deal with coronavirus (COVID-19).

<https://www.gov.uk/government/publications/response-to-the-national-fire-chiefs-council-and-the-fire-services-management-committee>

### 28. Fire and rescue incident statistics: England, year ending December 2019, *Home Office*, 14 May 2020

This publication focuses on incidents and fires attended by fire and rescue services and fire-related fatalities and casualties from those fires.

<https://www.gov.uk/government/statistics/fire-and-rescue-incident-statistics-england-year-ending-december-2019>

### 29. HMICFRS suspends inspections of police and fire and rescue services, *Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services*, 18 March 2020

Public health emergencies, such as the Coronavirus epidemic, put additional strain on the UK's emergency services. As a result, until further notice, HMICFRS has suspended all inspection work requiring contributions from police forces and fire and rescue services, to enable them to focus on their vital work at this time. This includes the joint-agency inspections, which we carry out with other inspectorates.

A letter has been sent to all policing and fire leaders, including chief constables, chief fire officers and the relevant elected bodies.

HMICFRS will keep this suspension under review and continue working with the Home Office and police and fire sector partners throughout.

<https://www.justiceinspectorates.gov.uk/hmicfrs/news/news-feed/hmicfrs-suspends-inspections-of-police-and-frs/>



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**Status of Report: Public**

**Meeting: Corporate Governance Committee**

**Date: 16 September 2020**

**Subject: Financial Monitoring to end July 2020**

**Report by: The Treasurer**

**Author: Amy Oliver (Chief Accountant at Leicester City Council)**

**For: Discussion**

### **Purpose**

1. This budget monitoring report is the first in the budget monitoring cycle and presents the key issues arising from the revenue budget and capital programme as at the end of July 2020 (Financial Period 4).

### **Recommendation**

2. The Committee is asked to
  - a. note the revenue budget and capital programme position as at the end of July 2020; and
  - b. approve the transfer £1,434,000 of unbudgeted additional income to an earmarked reserve to assist with meeting future costs, demands and shortfalls in the budget, some which may result from the Covid-19 pandemic.

### **Executive Summary**

3. This report indicates the current financial position compared to the updated budget for 2020/21 Revenue Budget and the 2020/21 Capital Programme.
4. The revenue position shows an overall forecast underspend of £378,000 mainly due to underspends on expenditure of £450,000 resulting from unfilled establishment vacancies and a shortfall in sundry income of £72,000.
5. The capital position is reporting limited spend of £120,000 in the first four months of the year. Slippage of £765,000 has been identified although the position is being kept under review for the ongoing impact of Covid-19.
6. Unbudgeted grant income mainly for Covid-19 and New Dimensions has been received; it is assumed as part of this report this will be transferred to an earmarked reserve.

## Background

### Revenue Budget

7. The budget figures have been updated to reflect a number of virements within expenditure categories agreed by the service. These have had no impact upon net expenditure. The updated revenue budget position is summarised in Table 1 below. The forecast overall underspend is circa £378,000.

<b>Table 1 - 2020/21 Revenue Budget</b>	<b>Annual Budget</b>	<b>Forecast Outturn</b>	<b>Variance</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>
<b>Employees</b>	28,930	28,480	(450)
<b>Premises</b>	2,359	2,359	0
<b>Transport</b>	983	983	0
<b>Supplies and Services</b>	3,464	3,464	0
<b>Capital Financing</b>	3,906	3,906	0
<b>Total Expenditure</b>	39,643	39,193	(450)
<b>Income</b>	(39,643}	(39,571)	72
<b>(Under)/Over Spend</b>	0	(378)	(378)

8. The following notes relate to issues currently highlighted:

### **Employees**

- i. The support staff pay budget is currently forecasting an underspend of £200,000. This is due to the vacancies within the establishment partially offset by temporary agency cover.
- ii. Retained staff is currently forecasting an underspend of £250,000 due to the reduced level of activity experienced during the Covid-19 pandemic lockdown and being below full establishment.
- iii. Overall, an underspend of circa £450,000 is expected at this stage.

### Other Expenditure

- iv. Other expenditure lines are currently forecast to outturn in line with budget, although could be affected by the on-going impacts of Covid-19.

### Income

- v. Sundry income lines are expected to be below budget by £72,000 reflecting the reduced activity arising from the Covid-19 pandemic. This income primarily comprises occupational health, fire inspection reports and training.
- vi. Unbudgeted grant income has been received in respect of potential Covid-19 costs, pension funding and the New Dimensions S.31 grant (Members will recall that the latter is usually higher than budgeted). The table assumes the income has been transferred directly to reserves in order to ensure that the service can meet any future costs, demands and shortfalls in the budget, including those as a result of the Covid-19 pandemic.

### Capital Programme

9. After inclusion of carry forwards totalling £2,092,000, the capital programme 2020/21 totals £4,887,000. This is summarised in Table 2 below.

<b>Table 2 2020/21 Capital Programme</b>	Programme after Carry Forwards	Actual YTD	Forecast Outturn	Slippage	Forecast (Savings)/ Overspends
	£'000	£'000	£'000	£'000	£'000
Vehicles	2,586	0	1,821	765	0
Property	630	0	630	0	0
IT and Equipment	1,303	120	1,303	0	0
Fire Control	318	0	318	0	0
Life Safety Sprinkler	50	0	50	0	0
<b>TOTAL</b>	<b>4,887</b>	<b>120</b>	<b>4,831</b>	<b>765</b>	<b>0</b>

10. Due to the Covid-19 pandemic and associated lockdown there has been little expenditure in the first four months of the year. At this early stage in the programme projects are progressing and there are limited carry forwards identified. However, a couple of vehicles specification are being reviewed to ensure they are fit for purpose which will delay the purchases until next financial year.

## Report Implications/Impact

### 11. Legal (including crime and disorder)

None.

### 12. Financial (including value for money, benefits and efficiencies)

These are included in the main body of the report.

### 13. Risk (including corporate and operational, health and safety and any impact on the continuity of service delivery)

It is important to be aware of how the budget is progressing as it enables early action to be taken to address any issues that arise.

### 14. Staff, Service Users and Stakeholders (including the Equality Impact Assessment)

None.

### 15. Environmental

None.

### 16. Impact upon "Our Plan" Objectives

The Finance and Resources strategic aim of demonstrating value for money is supported by the effective monitoring and review of the revenue and capital budgets throughout the year.

## Background Papers

Budget Strategy 2020/21 to 2021/22 (CFA 12 February 2020)

<https://leics-fire.gov.uk/wp-content/uploads/2020/02/budget-strategy-2020-21-to-2021-22.pdf>

Revenue and Capital Outturn 2019/20 (CFA 29 July 2020)

<https://leics-fire.gov.uk/wp-content/uploads/2020/07/revenue-and-capital-outturn-2019.pdf>

## Appendices

None.

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**Status of Report: Public**

**Meeting: Corporate Governance Committee**

**Date: 16 September 2020**

**Subject: Head of Internal Audit Service Annual Report 2019-20**

**Report by: The Treasurer**

**Author: Neil Jones (Head of Internal Audit & Assurance Service,  
Leicestershire County Council)**

**For: Information only**

### **Purpose**

1. To provide the Corporate Governance Committee the opportunity to review the Head of Internal Audit Service Annual Report 2019-20.

### **Recommendation**

2. The Committee is asked to receive the report and make any observations.

### **Executive Summary**

3. An effective internal audit function is a mandatory statutory requirement for the Combined Fire Authority (CFA).
4. The internal audit activity for the CFA is currently outsourced to Leicestershire County Council's Internal Audit Service (LCCIAS) led by the Head of Internal Audit Service (HoIAS). The Public Sector Internal Audit Standards (PSIAS), specifically requires that when an external service provider serves as the internal audit activity, the provider (LCCIAS) must make the organisation (CFA) aware that it has the responsibility for maintaining an effective internal audit activity.
5. The CFA Constitution revised and approved at its meeting on 12 December 2018, records that one of the functions of the Corporate Governance Committee (the Committee) is to monitor the adequacy and effectiveness of the internal audit service and to monitor progress against the internal audit plan through the receipt of periodic progress reports and an annual Internal Audit report.
6. The (PSIAS) apply to all internal audit service providers. The PSIAS require the HoIAS to provide an annual report to 'the Board' (for the CFA this is defined as the Committee) timed to support the annual review of the effectiveness of the CFA's governance framework undertaken when compiling the Annual Governance Statement (AGS). The annual report is to include:
  - i. an opinion on the overall adequacy and effectiveness of the CFA's control environment (its framework of governance; risk management; and internal control);
  - ii. a summary of the audit work from which the opinion is derived;

- iii. a comparison of work actually undertaken with work that was planned including a summary of the performance of the internal audit function;
  - iv. a statement on conformance with the PSIAS; and
  - v. any issues the HoIAS judges relevant to the preparation of the AGS.
7. Headlines from the report are: -
- i. The HoIAS was able to conclude a reasonably positive opinion.
  - ii. Four audits received lower assurance ratings. These areas will continue to be subjected to further internal audit scrutiny.
  - iii. One audit is awaiting a response to a re-issued final draft but the outcome will not change the overall opinion.
  - iv. Days provided were as planned.
  - v. The charge was as per budget
  - vi. The HoIAS self-assessed that LCCIAS continues to 'generally conform' (the top rating) to the PSIAS.
  - vii. The team continues to be trained and developed in new and emerging risks, technologies and working practices.

### **Background**

8. The Head of Internal Audit Service Annual Report 2019-20 is included as the Appendix.
9. Detail behind how the opinion was formed is found in Annex 1. For 2019-20 the HoIAS gives reasonable assurance that overall the control environment was adequate and effective. Whilst there were isolated high risk rated weaknesses identified for isolated issues, controls to mitigate key risks are generally operating effectively. The HoIAS is on the whole satisfied with management's response to resolving identified issues.
10. A list of the audit work from which the sub-opinions are derived containing the scope, recommendations and individual assignment opinions is found in Annex 2. The HoIAS will ensure that audits containing high importance (HI) recommendations and/or partial assurance ratings will be followed up with specific retesting and will stay in the Committee's domain until the HoIAS is satisfied the recommendations have been implemented and controls embedded.
11. In April 2018, LCCIAS was graded 'generally conforms', the top rating, following an independent external quality assessment of conformance to the PSIAS. Annex 3 shows the HoIAS' 2020 self-assessment of LCCIAS conformance to the PSIAS.

### **Report Implications/Impact**

12. Legal (including crime and disorder)

Section 112 of the Local Government Finance Act 1988 requires that the CFA '...shall make arrangements for the proper administration of its financial affairs'



and to ensure that ‘...one of its officers has responsibility for the administration of those affairs’. At the CFA this officer is the Treasurer.

Part 2 ‘Internal Control’ of the Accounts and Audit Regulations 2015 require, ‘A relevant authority (including fire authorities) must undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance’.

13. Financial (including value for money, benefits and efficiencies)

Under the current Service Level Agreement LCCIAS is scheduled to provide 85 days of audit time each year at a cost of £25,075.

As a result of the work carried out, assurances regarding the operation of key financial systems are gained and there would be an expectation that implementing Internal Audit recommendations could improve effectiveness, efficiency and economy. - Colin Sharpe, Deputy Director of Finance, Leicester City Council, 0116 454 4081

14. Risk (including corporate and operational, health and safety and any impact on the continuity of service delivery)

Internal audit provides reassurance that effective governance, risk management and internal control procedures are in place. Internal audit reports are used to inform the Treasurer and the Chief Fire and Rescue Officer of the detailed findings of the audit and highlight actions that are required to safeguard the CFA’s interests.

15. Staff, Service Users and Stakeholders (including the Equality Impact Assessment)

None.

16. Environmental

None.

17. Impact upon Our Plan Objectives

Within the CFA’s priority of Finance and Resources is the aim of providing a value for money service. The provision of an internal audit function assists both effective and efficient management and good corporate governance. It also externally validates the CFA’s progress in this area.

## **Background Papers**

Internal Audit Plan 2019-20 (Corporate Governance Committee 13 March 2019)

**Appendices**

- Appendix     The HoIAS Annual Report 2019-20
- Annex 1     The HoIAS Annual Opinion on the overall adequacy and effectiveness of the control environment 2019-20
- Annex 2     Summary of Internal Audit Service work supporting the HoIAS 2019-20 opinion
- Annex 3     Summary self-assessment of conformance with PSIAS

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**Combined Fire Authority  
Head of Internal Audit Service  
Annual Report 2019-20**

**Neil Jones CPFA,  
Head of Internal Audit & Assurance Service, Leicestershire  
County Council**

**26<sup>th</sup> August 2020**

**Combined Fire Authority**  
**Head of Internal Audit Service**  
**Annual Report 2019-20**

**Background**

1. A common set of Public Sector Internal Audit Standards (PSIAS) was adopted in April 2013 and revised from April 2017. The PSIAS encompass the mandatory elements of the Global Institute of Internal Auditors (IIA Global) International Professional Practices Framework (IPPF) as follows: -
  - i. The Mission of Internal Audit
  - ii. Definition of Internal Auditing
  - iii. Core Principles for the Professional Practice of Internal Auditing
  - iv. Code of Ethics
  - v. International Standards for the Professional Practice of Internal Auditing
2. Additional requirements and interpretations for the local government sector have been inserted into the PSIAS and all principal local authorities must make provision for internal audit in accordance with the PSIAS.
3. The objectives of the PSIAS are to: -
  - a. define the nature of internal auditing within the UK public sector
  - b. set principles for carrying out internal audit in the UK public sector
  - c. establish a framework for providing internal audit services, which add value to the organisation, leading to improved organisational processes and operations
  - d. establish the basis for the evaluation of internal audit performance and to drive improvement planning
4. The PSIAS require the Head of Internal Audit Service (HoIAS) to provide an annual report to 'the Board' (for the CFA this is defined as the Corporate Governance Committee) timed to support the annual governance statement.
5. The PSIAS state that the annual report must include:
  - a. an annual internal audit opinion on the overall adequacy and effectiveness of the CFA's governance, risk and control framework (i.e. the control environment) and disclosure of any qualifications to the opinion, together with the reasons for the qualification
  - b. a summary of the audit work from which the opinion is derived (including reliance placed on work by other assurance bodies) and disclosure of any impairments or restriction in scope
  - c. a comparison of the work actually undertaken with the work that was planned, including a summary of the performance of the internal audit function against its performance measures and targets
  - d. a statement on conformance with the PSIAS and the results of the internal audit Quality Assurance and Improvement Programme (QAIP) and progress against any improvement plans resulting from a QAIP external assessment.
  - e. any issues the HoIAS judges particularly relevant to the preparation of the annual governance statement

## **The Annual Internal Audit Opinion on the Adequacy and Effectiveness of the Combined Fire Authority's Control Environment**

6. **Annex 1** provides detail on how the annual internal audit opinion was formed, explains the types of audits undertaken, the components of the control environment and what it is designed to achieve, and provides a caveat on any opinions reached.

Based on an objective assessment of the results of individual audits undertaken and actions by management thereafter; the work of the Corporate Governance Committee; the professional judgement of the HoIAS based on his knowledge, experience and evaluation of other related activities and assurances given from other functions, the results of the above, when combined, **for 2019-20 the HoIAS gives reasonable assurance that overall the control environment was adequate and effective. Whilst there were isolated high risk rated weaknesses identified for isolated issues, controls to mitigate key risks are generally operating effectively. The HoIAS is on the whole satisfied with management's response to resolving identified issues.**

### **A summary of the audit work from which the opinion is derived**

7. **Annex 2** lists the audits and other work undertaken during the year and where appropriate contains the individual audit opinion.
8. Eleven audits were originally planned, the majority of them being 'assurance' audits defined as '*An objective examination of evidence for the purpose of providing an independent assessment*'. Eight audits were undertaken. Testing for the key financial systems payroll audit was conducted over two separate quarters. Of the eight, two returned substantial assurance ratings meaning the controls in place to reduce exposure to risks to achieving the system's objectives were well designed and were being operated effectively. On the occasions when there were recommendation(s) to bring about improvements, they did not have a high importance (HI) rating signifying a particularly serious control weakness had been identified.
9. Four audits were graded 'partial assurance' rating. This was because either individual HI recommendations were reported, or the combined number of recommendations was sufficient to warrant further follow up. HI recommendations stay in the Committee's domain until the HoIAS has confirmed (by specific re-testing or other evidence) that action has been implemented. Whilst the HoIAS is satisfied that senior management and Members pay rigorous attention to implementing the recommendations, he will actively monitor and report slippage in implementation which might indicate increasing pressures and strains on the control environment.
10. Work on the National Fraud Initiative was completed. Advisory work was provided on contract compliance.
11. An additional piece of work provided advice on acceptable usage of IT devices, and system governance policies and procedures

12. Three audits were not started. The rationale for these is explained in Annex 2 on pages 11 and 12.
13. The PSIAS require that the HoIAS should disclose where reliance is placed on work by other assurance bodies. For 2019-20 no reliance was obtained.

**A comparison of work undertaken with work planned, including a summary of the performance of the internal audit function**

14. The tables below show performance both in terms of number of audits and days allocated.

**Table 1: Overall performance against 2019-20 internal audit plan**

<b>Audit type</b>	<b>Planned</b>	<b>Postponed or Cancelled</b>	<b>Added</b>	<b>Complete</b>
Governance	2	-	1	3
Risk management	3	2	-	1
Internal control	6	1	-	5
Follow up HI recs	-	-	-	-
<b>Total</b>	<b>11</b>	<b>-</b>	<b>-</b>	<b>9</b>

15. Internal audit plans are increasingly short-term statements of intent rather than guaranteed coverage and need to be flexible and retain contingency to adapt to changes in risk and priorities. The 2019-20 plan contained a number of potential areas for audit that for a variety of reasons didn't come to fruition.
16. Total 'productive' days spent on work relating to the CFA (and the annual charge) were as planned. There was an increase in client management because of chasing closure of reports.

Results were: -

<b>Function</b>	<b>19-20 days</b>	<b>Change to previous</b>
Audits (assurance, consulting, investigations)	71	-1
Client management – includes committees	14	+1
<b>Total</b>	<b>85</b>	<b>0</b>

**A statement on conformance with the PSIAS and the results of the internal audit Quality Assurance and Improvement Programme (QAIP)**

17. Following a positive independent external quality assessment in April 2018, the HoIAS undertook a further self-assessment of LCCIAS's conformance to the PSIAS. The outcome is summarised in **Annex 3**. In line with PSIAS Standard 1321, the HoIAS considers that LCCIAS' internal audit activity continues to conform with the International Standards for the Professional Practice of Internal Auditing.
18. PSIAS Standard 1322 requires the HoIAS to confirm that (based on the results of the self-assessment) there were not any significant deviations from the PSIAS.

**Any issues the HoIAS judges particularly relevant to the preparation of the Annual Governance Statement (AGS)**

19. For the year 2019-20, nothing has been brought to the HoIAS' attention that he considers relevant to the preparation of the AGS.

Neil Jones CPFA  
Head of Internal Audit & Assurance Service  
LCCIAS

26<sup>th</sup> August 2020.

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**Leicester, Leicestershire and Rutland Combined Fire Authority  
The Head of Internal Audit Service's Annual Opinion  
on the overall adequacy and effectiveness  
of the control environment  
2019-20**

**Neil Jones CPFA, Head of Internal Audit & Assurance Service,  
Leicestershire County Council**

**26<sup>th</sup> August 2020**

## Background

Leicestershire County Council's Internal Audit Service (LCCIAS) provides the internal audit function for the Leicester, Leicestershire and Rutland Combined Fire Authority (the CFA). LCCIAS was externally independently assessed in April 2018 as generally conforming (the top rating) to the Public Sector Internal Audit Standards (the PSIAS) revised from April 2017. The PSIAS require the Head of Internal Audit Service (HoIAS) to give an annual opinion on the overall adequacy and effectiveness of the CFA's control environment i.e. its framework of governance, risk management and control. The PSIAS definition of the control environment is to be found at the end of this document, along with further explanation from the Institute of Internal Auditors about what an effective system of internal control facilitates.

The HoIAS annual opinion is macro-assurance over a defined period of time (financial year 2019-20) and combines: -

- an objective assessment based on the results of individual audits undertaken and actions taken by management thereafter. Individual opinions on what level of assurance can be given as to whether risk is being identified and adequately managed are formed by applying systematic grading to remove any elements of subjectivity. An explanation of the ratings applied is also to be found in the definitions at the end of this document. **Annex 2** lists the audits undertaken during the year in the respective control environment components (governance, risk management and internal control). The list also contains the individual audit opinion (where applicable) and whether there were any high importance recommendations. Individual audit engagements provide targeted micro-assurance.
- The HoIAS' role in preparing for, attending, reporting to and his observations of the work of the Corporate Governance Committee including its engagement in specific training provided by officers
- Professional judgement of the HoIAS based on his knowledge, experience and evaluation of other related activities. This provides a holistic, strategic insight into the CFA's control environment.

The results of the above, when combined, form the basis for the overall opinion on the CFA's control environment. Individual audits are assigned a rating because it is possible to gather and test evidence for a specific audit topic. The overall opinion reflects that it isn't possible to provide audit coverage over all systems and processes. The caveat at the very end of this document explains what internal control cannot do. i.e., no system of internal control can provide absolute assurance against material misstatement or loss, nor can LCCIAS give absolute assurance, especially given its limited resource. The work of LCCIAS is intended only to provide assurance on the adequacy of the control environment based on the work undertaken and known facts.

## **Governance related internal audit work**

Two planned governance themed audits were completed (GDPR compliance and contract compliance advisory) Further governance related advice on acceptable use of IT equipment was provided.

The HoIAS (or the Audit Manager) attended Corporate Governance Committee and CFA meetings to present internal audit plans and reports. This enabled him to gauge 'good governance' at Member and senior management level at first hand. At its meeting on 11<sup>th</sup> March 2020, the Corporate Governance Committee approved the revised Internal Audit Plan for 2020-21 after a good discussion around there may need to be changes made due to the Coronavirus pandemic. The Auditors would agree with the Treasurer where their work should be focussed.

The Audit Manager holds regular discussions with the LFRS Senior Management Team, and the Treasurer (and her representatives) and the Monitoring Officer (MO) on governance issues and related audit aspects.

### **Risk management related internal audit work**

In general terms, internal audits planned and conducted are 'risk based' i.e. ensuring that the CFA's management identifies, evaluates and manages risk to achieving its objectives i.e. ensuring sufficient and adequate controls are in place to reduce risk exposure.

One risk management themed audit (on implementation of revised contract procedure rules) was completed. Three high importance recommendations were made.

Management of ICT risk by LFRS was covered within the annual audit of ICT controls.

### **Financial (and ICT) Controls related internal audit work**

Five internal control themed audits were undertaken. Those on pensions and outputs from the National Fraud Initiative were positive, however those on reconciliations and balances, payroll and ICT controls contained some high importance recommendations leading to partial assurance ratings.

The ICT Auditor sought information on the necessary changes to the ICT control environment to cope with lockdown and additional working from home

### **Head of Internal Audit Service Opinion**

For 2019-20 the HoIAS gives reasonable assurance that overall the control environment was adequate and effective. Whilst there were isolated high risk rated weaknesses identified for isolated issues, controls to mitigate key risks are generally operating effectively. The HoIAS is on the whole satisfied with management's response to resolving identified issues.

## Definitions

The revised 2017 Public Sector Internal Audit Standards (the PSIAS) define the following: -

### Assurance audit

An objective examination of evidence for the purpose of providing an independent assessment on governance, risk management and control processes for the organisation. Examples may include financial, performance, compliance, system security and due diligence engagements.

Assurance audits have four gradings: -

#### Outcome of the audit

#### Assurance rating

No (or only a few minor) recommendations

**Full assurance**

A number of recommendations made but none considered to have sufficient significance to be denoted as **HI** (high importance)

**Substantial assurance**

Includes at least one **HI** recommendation, denoting that (based upon a combination of probability and impact) a significant weakness either exists or potentially could arise and therefore the system's objectives are seriously compromised. Management should quickly address **HI** recommendations and implement an agreed action plan without delay.

**Partial assurance**

Alternatively, whilst individually none of the recommendations scored a HI rating, collectively they indicate that the level of risk to is sufficient to emphasise that prompt management action is required.

The number and content of the **HI** recommendations made are sufficient to seriously undermine any confidence in the controls that are currently operating.

**Little or no assurance**

### Consulting audit

Advisory and related client service activities, the nature and scope of which are agreed with the client, are intended to add value and improve an organisation's governance, risk management and control processes without the internal auditor assuming management responsibility. Examples include counsel, advice, facilitation and training.

## **Control**

Any action taken by management, the board and other parties to manage risk and increase the likelihood that established objectives and goals will be achieved. Management plans, organises and directs the performance of sufficient actions to provide reasonable assurance that objectives and goals will be achieved.

## **Control Environment**

The attitude and actions of the board and management regarding the importance of control within the organisation. The control environment provides the discipline and structure for the achievement of the primary objectives of the system of internal control. Elements are: -

- Integrity and ethical values
- Management's philosophy and operating style
- Organisational structure.
- Assignment of authority and responsibility.
- Human resource policies and practices.
- Competence of personnel.

The Institute of Internal Auditors further explains that the control environment is the foundation on which an effective system of internal control is built and operated in an organisation that strives to achieve its strategic objectives, provide reliable financial reporting to internal and external stakeholders, operate its business efficiently and effectively, comply with all applicable laws and regulations, and safeguard its assets.

## **Caveat**

The Financial Reporting Council in an Auditing Practices Board briefing paper, 'Providing Assurance on the Effectiveness of Internal Control' explains what internal control cannot do, namely: -

'A sound system of internal control reduces, but cannot eliminate, the possibility of poor judgement in decision making, human error, control processes being deliberately circumvented by employees or others, management overriding controls and the occurrence of unforeseen circumstances. A sound system of internal control therefore provides reasonable, but not absolute assurance that an organisation will not be hindered in achieving its objectives, or in the orderly and legitimate conduct of its business, by circumstances which may reasonably be foreseen. A system of internal control cannot, however, provide protection with certainty against an organisation failing to meet its objectives, or all material errors, losses, fraud or breaches of laws and regulations'.

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## Annex 2 – Summary of work undertaken supporting the HoIAS opinion 2019-20

*Audits marked (\*) may be utilised by the external auditor in their annual assessment of the likelihood of material misstatement in the Authority's financial accounts so the detailed scope will be subject to the External Auditor's (EA's) approach*

*ToE – terms of engagement*

*HI – high importance recommendation*

### **Institute of Internal Auditors definitions: -**

- The first line of defence – functions that own and manage risk
- The second line of defence – functions that oversee or specialise in risk management, compliance
- The third line of defence – functions that provide independent assurance, including internal audit.

**Work completed**

No.	Category	Auditable area	Potential assurance requirements....	Position	Summary recommendations	Assurance
20/1	Governance	General Data Protection Regulation/Data Protection Act Compliance	<p>Control measures defined in the Corporate Risk Register have been/will be implemented in a timely manner</p> <p>Areas being: GDPR Compliance Project, Vulnerable persons Case management software, Automated document and records management software and process.</p>	Final Report Issued	<ul style="list-style-type: none"> <li>• Consider a post implementation review</li> <li>• Continued staff training</li> <li>• Information Governance solution.</li> <li>• Data Protection Impact Assessments</li> <li>• Completion of outstanding tasks</li> <li>• Completion of remaining Fair Processing Notices</li> <li>• Data Protection Clauses within contracts</li> <li>• Embedding of technical controls within systems to ensure compliance.</li> <li>• Subject Access Request logging and associated performance indicators.</li> <li>• Appointment of a Data Protection Officer</li> </ul>	Substantial Assurance



20/4	Risk Management	Contract Procedure Rules	<p>The revised Contract Procedure Rules (approved by the Combined Fire Authority on 12 December 2018) are being complied with.</p> <p><i>(Note: If relevant this audit will also address any outstanding areas from a previous partial assurance procurement audit)</i></p>	Awaiting final responses on draft.	<ul style="list-style-type: none"> <li>• Processes and procedures still need devolving to budget holders (<b>High</b>)</li> <li>• Three of 10 contracts couldn't be located (<b>High</b>)</li> <li>• Duplication of effort between two sets of records (contracts database &amp; blue light contracts database)</li> <li>• Records kept don't align with contract procedure rules re who signed/is responsible for the contract</li> <li>• Samples revealed potential gaps in recording and also significant payments to individual suppliers without contracts (<b>High</b>)</li> </ul>	Partial Assurance
20/5	Internal Control	Key financial systems – Reconciliations and Balances (*)	<p>Key reconciliations and other agreed in scope processes are undertaken accurately and promptly</p> <p><i>(Note, where applicable this will include follow up</i></p>	Final Report Issued	<ul style="list-style-type: none"> <li>• Monthly reconciliation of salaries control account (signed and dated)</li> <li>• Variances investigated and corrected promptly (<b>HI</b>)</li> <li>• Regular confirmation of investment balances held by</li> </ul>	Partial Assurance

			<i>of any material internal control weaknesses defined in the International Standard on Auditing (ISA260) report).</i>		<p>City Council</p> <ul style="list-style-type: none"> <li>• Managers reminded of the importance of prompt payment</li> <li>• Constitutional Debt write off approval processes followed</li> <li>• Review of two differences in opening and closing balances</li> <li>• Evidence retained of timely upload of reconciled pensions and payroll data (<b>HI</b>)</li> </ul>	
20/6 A	Internal Control	Key Financials Payroll (*)	<p>Payroll Starters, leavers and variations to pay are valid and accurately accounted for</p> <p><i>(Note: We will test to provide assurance in respect of prior year findings in the first quarter of 19/20 in addition to the work in the final quarter).</i></p>	Final Report Issued	<ul style="list-style-type: none"> <li>• LFRS staff should summarise the continuing errors (including assessing proportionality and materiality) in order to discuss at the next contractual compliance meeting with EMSS.</li> <li>• Dependent on proportionality and materiality, consideration should be given to more regular contract compliance meetings</li> </ul> <p><i>Note: A time virement was approved to allow further testing to be completed in quarter 4. (See job 20/6B below)</i></p>	Partial Assurance
20/6 B	Internal Control	Key Financials Payroll (*)	Payroll Starters, leavers and variations to pay are valid	Final Report Issued	Remains partial due to the number of instances of error.	Partial Assurance

			<p>and accurately accounted for</p> <p><i>(Note: We will test to provide assurance in respect of prior year findings in the first quarter of 19/20 in addition to the work in the final quarter).</i></p>		<p>Recommendations relate to:</p> <ul style="list-style-type: none"> <li>• Recovery of overpayments identified</li> <li>• Agreeing the pension contribution rates of active members to substantive pay.</li> </ul> <p>Note: The contract has now been awarded to a new payroll provider with an anticipated live implementation by the Summer 2020</p>	
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20/7	Internal Control	Key Financials Pensions (*)	<p>To provide assurance regarding operational processes for Fire Fighter Pensions. Topic area(s) will be risk assessed and then selected from the following:</p> <ul style="list-style-type: none"> <li>• Starters, leavers and variations to pension are accurately accounted for in respect of pensionable adjustments required.</li> <li>• Contribution banding, pensions increases, and dependants' pension requirements are correctly applied.</li> <li>• To review the validity and accuracy of calculations with regard to payments for new pensions and lump sums</li> </ul>	Final Report Issued	No recommendations – only one non-material error found	Substantial Assurance
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20/8	Internal Control	ICT controls (*)	Robustness and integrity of the ICT infrastructure and associated applications that either directly or indirectly contribute to the production of the financial statements or associated management decision making	Final Report Issued	<p>One high importance recommendation from our 17/18 &amp; 18/19 coverage that it still to be fully addressed in relation to implementing a Change Control process through a new IT Service Desk Management Tool due to be implemented in September 2020.</p> <p>Proposed Recommendations from 19-20:</p> <ul style="list-style-type: none"> <li>• Report IT performance/IT Operational Risk logs to Senior Management</li> <li>• Obtaining Cyber Essentials Plus accreditation</li> <li>• Consider an information security risk assessment process for new solutions, changes etc.</li> <li>• Review and update of key ICT Policies</li> <li>• Make suggested improvements to the Southern Fire Station server room</li> </ul>	Partial Assurance
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					<ul style="list-style-type: none"> <li>• Implement new solutions for currently unsupported operating systems</li> <li>• Action the recommendations from the March 2019 and May 2020 penetration tests</li> <li>• Monitor and resolve potential server capacity issues</li> <li>• Investigate and resolve backup failures</li> <li>• Complete of Business Impact Assessments</li> <li>• Remove leavers from the financials application</li> <li>• Review and resolve dormant user accounts</li> <li>• Review supplier access accounts with no password expiry date</li> <li>• Review generic accounts set up for the Active Directory and Unit</li> </ul>	
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					<p>4 Business World and delete where no longer required</p> <ul style="list-style-type: none"> <li>• Produce and report against a timetable for implementation of the new service desk management tool</li> <li>• Develop and embed an IT change and control process– to be incorporated into the service management tool above <b>(HI)</b></li> </ul> <p>Note final point remains in the Committee arena from previous years due to delays in implementing the service desk solution.</p>	
20/9	Internal Control	National Fraud Initiative	To ensure that matches identified as part of the 2018/19 NFI submission have all been adequately investigated and concluded and action taken where appropriate.	Draft report issued		N/A
20/11 A	Governance	Emerging Issues - Contract	To ensure key areas of the contract are complied with and adequate monitoring	Advisory work for 19/20	N/A	N/A

		Compliance	and remedial action takes place	completed  Work will continue into 20/21  Note: work was always due to straddle two financial years		
N/A	Governance	Ad-hoc Advice	Advice issued in respect of an Acceptable Usage Policy	Advice Issued	Advice issued covered constraints and practices that a user must agree to for areas such as email, intranet (including personal use), use of storage devices, mobile & flexible working and access control.  Advice also issued in relation to System Governance Policies and Procedures.	N/A



**Areas of the original plan that were not undertaken and associated rationale**

No.	Category	Auditable area	Potential assurance requirements....	Position	Rationale	Assurance
20/2	Risk Management	Risk Management	Risk Management procedures at an operational level (within Team Plans) are sufficiently robust	Terms of engagement issued	Testing did not commence due to COVID restrictions on access – work to be completed from 20/21 contingency subject to risk assessment and discussion with the service	N/A
20/3	Risk Management	HMICFRS Audit	To ensure that work is being undertaken to address areas identified internally as needing additional actions as part of the initial assessment process (this work to be undertaken prior to Tranche 2 results being made public in June 2019)	Not started as the results were known to the service at a very early stage and therefore a re-scoping and re timetabling of any audit work will be partially dependent on the report tabled as a separate agenda item at this meeting.	Senior Management, Committee Scrutiny and Her Majesty's Inspectorate fulfilling first, second and third lines of defence respectively.	N/A

20/10	Internal Control	HMICFRS Audit – Key Assurance Areas	<ul style="list-style-type: none"> <li>• Assurance that key activities and processes are operating correctly and in accordance with best practice.</li> <li>• Area(s) of assurance will be in respect of a selection from the following: <ul style="list-style-type: none"> <li>• Fire Prevention and Detection Activities</li> <li>• Learning from Incidents</li> <li>• Joint Emergency Services Interoperability Principles</li> <li>• Competency based training and associated reporting</li> <li>• Talent Management &amp; Promotion Processes</li> </ul> </li> </ul>	Not started as the results were known to the service at a very early stage and therefore a re-scoping and re timetabling of any audit work will be partially dependent on the report tabled as a separate agenda item at this meeting.	Senior Management, Committee Scrutiny and Her Majesty's Inspectorate fulfilling first, second and third lines of defence respectively.	N/A
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			<ul style="list-style-type: none"><li>Welfare &amp; Wellbeing</li></ul> <p>(Further discussions will determine subject areas, scope and approach)</p>			
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<b>Requirement</b>	<b>GC</b>	<b>PC</b>	<b>DNC</b>	<b>Notes supporting assessment at 29<sup>th</sup> May 2020</b>
<b>Mission of internal audit</b>	Y			
<b>Definition of Internal Auditing</b>	Y			
<b>Core Principles</b>	Y			QAIP records the need to better demonstrate quality and continuous improvement
<b>Code of Ethics</b>	Y			Review of self-assessments to be undertaken to reflect remote working practices developed under covid-19
<b>1000 Purpose, Authority and Responsibility</b>	Y			All Charters will need to be reviewed in terms of access to records, building and staff and build in remote auditing protocols
<b>1100 Independence and Objectivity</b>	Y			
1110 Organisational Independence	Y			6 auditors have been re-deployed so there will need to be safeguards built in to ensure they do not audit areas they have been involved in
1111 Direct Interaction with the Board	Y			
1120 Individual Objectivity	Y			
1130 Impairment to Independence or Objectivity	Y			
<b>1200 Proficiency and Due Professional Care</b>	Y			
1210 Proficiency	Y			ICT audit resource is being trained up internally
1220 Due Professional Care	Y			
1230 Continuing Professional Development	Y			
<b>1300 Quality Assurance and Improvement Programme</b>	Y			Designed & implemented but needs updates on actions
<b>1310 Requirements of the Quality Assurance and Improvement</b>	Y			

<b>Programme</b>				
1311 Internal Assessments	Y			
1312 External Assessments	Y			EQA was completed in April 2018 'generally conforms'.
1320 Reporting on the Quality Assurance and Improvement Programme	Y			Needs to be re-imagined in terms of new normal
<b>1321 Use of 'Conforms with the International Standards for the Professional Practice of Internal Auditing'</b>	Y			
<b>1322 Disclosure of Non-conformance</b>	Y			
<b>4 Performance Standards</b>	Y			
<b>2000 Managing the Internal Audit Activity</b>	Y			
<b>2010 Planning</b>	Y			Planning for 2020-21 has been disrupted by the coronavirus. Investigating alternative planning approaches.
2020 Communication and Approval	Y			
2030 Resource Management	Y			Openly reported resource issues and plans during year
2040 Policies and Procedures	Y			Audit manual needs updating to incorporate remote working procedures
2050 Coordination	Y			
2060 Reporting to Senior Management and the Board	Y			
2070 External Service Provider and Organisational Responsibility for Internal Auditing	Y			I always inform City and Fire

2100 Nature of Work	Y			
2110 Governance	Y			
2120 Risk Management	Y			
2130 Control	Y			
2200 Engagement Planning	Y			
2210 Engagement Objectives	Y			Need a further understanding of Value for money criteria
2220 Engagement Scope	Y			Need a further understanding of significant consulting opportunities requirements especially in light of the change to 'quick response' audits
2240 Engagement Work Programme	Y			
2300 Performing the Engagement	Y			Adopting IIA principles and guidance on remote working
2310 Identifying Information	Y			
2320 Analysis and Evaluation	Y			Training on data analytics quarter 1 – should see more rollout
2330 Documenting Information	Y			
2340 Engagement Supervision	Y			
2400 Communicating Results	Y			
2410 Criteria for Communicating	Y			
2420 Quality of Communications	Y			
2421 Errors and Omissions	Y			

2430 Use of 'Conducted in Conformance with the International Standards for the Professional Practice of Internal Auditing'	Y			
2431 Engagement Disclosure of Non-conformance	Y			
2440 Disseminating Results	Y			
2450 Overall Opinion	Y			
2500 Monitoring Progress	Y			
2600 Communicating the Acceptance of Risks	Y			

#### Explanations of 'conformance'

**GC – “Generally Conforms”** means the assessor has concluded that the relevant structures, policies, and procedures of the activity, as well as the processes by which they are applied, comply with the requirements of the individual *Standard* or element of the Code of Ethics in all material respects. For the sections and major categories, this means that there is general conformity to a majority of the individual *Standards* or elements of the Code of Ethics, and at least partial conformity to the others, within the section/category. There may be significant opportunities for improvement, but these should not represent situations where the activity has not implemented the *Standards* or the Code of Ethics, has not applied them effectively, or has not achieved their stated objectives. As indicated above, general conformance does not require complete/perfect conformance, the ideal situation, “successful practice,” etc.

**PC – “Partially Conforms”** means the evaluator has concluded that the activity is making good-faith efforts to comply with the requirements of the individual *Standard* or element of the Code of Ethics, section, or major category, but falls short of achieving some major objectives. These will usually represent significant opportunities for improvement in effectively applying the *Standards* or Code of Ethics and/or achieving their objectives. Some deficiencies may be beyond the control of the activity and may result in recommendations to senior management or the board of the organisation.

**DNC – “Does Not Conform”** means the evaluator has concluded that the activity is not aware of, is not making good-faith efforts to comply with, or is failing to achieve many/all of the objectives of the individual *Standard* or element of the Code of Ethics, section, or major category. These deficiencies will usually have a significant negative impact on the activity’s effectiveness and its potential to add value to the organisation. These may also represent significant opportunities for improvement, including actions by senior management or the board.

Neil Jones, Head of Internal Audit Service, Leicestershire County Council 29<sup>th</sup> May 2020



**Status of Report: Public**

**Meeting: Corporate Governance Committee**

**Date: 16 September 2020**

**Subject: Progress against the Internal Audit Plan 2020-21**

**Report by: The Treasurer**

**Author: Neil Jones, Head of Internal Audit Service Leicestershire County Council**

**For: Information Only**

### **Purpose**

1. To provide the Corporate Governance Committee (the Committee) with an update of progress against the Internal Audit Plan for 2020-21.

### **Recommendation**

2. The Committee is asked to note the report and to refer any observations to the Combined Fire Authority, Chief Fire Officer (CFO) or Treasurer as they see fit.

### **Executive Summary**

3. One of the functions of the Corporate Governance Committee is to monitor the adequacy and effectiveness of the internal audit function and, specifically, to monitor progress against the internal audit plan through the receipt of periodic progress reports. Background information on the statutory and constitutional requirements for internal audit, working arrangements and information on assurance gradings is contained in Appendix 2.
4. The Internal Audit Plan for 2020/21 was approved by the Committee at its meeting on 11 March 2020. Progress against planned work is summarised below and is then reported in more detail in Appendix 1.
5. The approved plan identified 10 potential auditable areas, which also included follow-up on the implementation of high importance recommendations, and an allowance for 'client' management activity (report to committees, planning, advisory etc.). The number of days purchased is 85 days.
6. There were 10 potential auditable areas that were approved (plus the follow up of High Importance Recommendations) i.e. 11 areas in total. Of these:
  - 1 audit has been completed to final stage;
  - 0 audit has been completed to draft report stage;
  - 7 are work in progress (see paragraph 7 below);
  - 3 jobs have not yet commenced
  - 0 have been cancelled

7. It is important to note that 6 of the 7 audits that are classified as work in progress are at the appropriate stage in their timetable for delivery i.e. three audits cannot be completed yet as they rely on testing which will cover the first three quarters of the financial year (audits 3, 4 and 8) and three have progressed as far as they at this stage in the financial year (audits 7, 9 and 10). In addition the final audit (audit 2) requires further discussion with the incoming Acting Chief Fire and Rescue Officer regarding the approach.
8. Four legacy (2019/20) partial assurance reports and associated high importance recommendations remain within the domain of this Committee. There are no new partial assurance/high importance recommendations in our 2020/21 coverage to date.

### Background

9. The Committee is provided with a summary report of internal audit work undertaken in the period prior to the meeting. Where applicable, an individual 'opinion' on each audit assignment is reported i.e. to what extent risk is being managed. The four levels of assurance are: full; substantial; partial and little. Further details explaining the levels of assurance are included at Appendix 2.
10. An assurance type audit report containing at least one high importance recommendation (see Appendix 2) would normally be classified as 'partial' assurance. Consulting type audits might also result in high importance recommendations.
11. The current position as at 26 August 2020 (and any outcomes) has been mapped onto the plan agreed by the Committee at its meeting on 11 March 2020. This forms Appendix 1 and is summarised as:

<u>Status of work</u>	<u>Additional Commentary</u>
1 to final report issued	<ul style="list-style-type: none"> <li>• Payroll Replacement - 21/5</li> </ul>
0 to draft report	<ul style="list-style-type: none"> <li>• N/A</li> </ul>
7 areas of work in progress	<ul style="list-style-type: none"> <li>• Contract Compliance – Systel - Fire Control Mobilising System - 21/2</li> <li>• Key Financial Systems – Reconciliations and Balances (*) - 21/3</li> <li>• Key Financials Payroll (*) - 21/4</li> <li>• Pensions Replacement - 21/7</li> <li>• ICT controls (*) – 21/8</li> <li>• National Fraud Initiative – 21/9</li> </ul>

	<ul style="list-style-type: none"> <li>• High Importance Recs – N/A</li> </ul>
3 not started	<ul style="list-style-type: none"> <li>• Workshop Services – 21/1</li> <li>• Key Financials Pensions – 21/6</li> <li>• Emerging Issues 21/10</li> </ul>
0 cancelled audits	<ul style="list-style-type: none"> <li>• N/A</li> </ul>

*\* = may be utilised by the external auditor.*

12. The approved plan was a statement of intent and whilst every effort will be made to deliver it, the Treasurer recognises that it needs to be flexible and be prepared to revise activities in response to changing circumstances or emerging risks. Therefore, during the year, Leicestershire County Council Internal Audit Service (LCCIAS) will report to the Committee any audits that will not be undertaken as part of the 85-day coverage and the rationale for such decisions including where other lines of defence are deemed sufficient. We will also report any additional jobs that have been requested.

#### High Importance Recommendations

13. A total of four partial assurance reports and associated high importance recommendations) are currently requiring progress to be being reported back this Committee in order to provide assurance that they have been adequately addressed. All the work relates to our coverage in 2019/20 and there have been no additional partial assurance/high importance recommendations in 2020/21 to date. Updates as to how it is proposed progress will be reported back to the Committee is detailed below:

<u>Job Name/Date</u>	<u>Ref</u>	<u>Area of focus/Date for review/date to report back to committee</u>
Contract Procedure Rules	N/A - Original Job 20-4	Focus on: <ul style="list-style-type: none"> <li>• Roll out of procurement policies and procedures to budget holders</li> <li>• Storage and accessibility of (signed) contracts</li> <li>• Review of significant payments to individual suppliers to ensure that best prices are being obtained and appropriate frameworks already in place are being used or new</li> </ul>

		contracts are set up if required – Subject to final sign off of the original draft report, an update on progress will be given to the November 2020 Corporate Governance Committee
Change Control – Follow up of High Recommendation	N/A - Original Job 20-8	Change Control through a new Service Desk Management tool – an update on progress will be given at November 2020 Corporate Governance Committee

14. Subject to comment by this Committee, coverage of two further legacy 2019/20 partial assurance ratings (in respect of Key Controls Payroll and Key Financial Controls) are to be addressed and contained within the following two jobs detailed in the 2020/21 plan:

<u>Job Name</u>	<u>Ref</u>	<u>Area of focus</u>
Key Financials	Job 20/3	Focus on prompt independent reconciliations – to be followed up in November work for efficiency.
Key Controls Payroll	Job 21/4	Accurate processing of payroll – particularly amendments and pensionable affect – to be followed up in November to allow a sufficient testing sample through the new payroll provider.

### Report Implications/Impact

15. Legal (including crime and disorder)

Section 112 of the Local Government Finance Act 1988 requires that the CFA ‘...shall make arrangements for the proper administration of its financial affairs’ and to ensure that ‘...one of its officers has responsibility for the administration of those affairs’. Within the CFA this officer is the Treasurer, and this is reflected in the CFA’s Constitution.

The Accounts and Audit Regulations 2015 require under Part 2 ‘Internal Control’ at Regulation 5(1) that, ‘A relevant authority (including fire authorities) must undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance’.

16. Financial (including value for money, benefits and efficiencies)

There are no direct financial implications arising from this report. However, as a result of the work carried out, assurance regarding the operation of key financial systems is gained and there would be an expectation that implementing internal audit recommendations could improve effectiveness, efficiency and economy. - Colin Sharpe, Deputy Director of Finance, Leicester City Council, 0116 454 4081

17. Risk (including corporate and operational, health and safety and any impact on the continuity of service delivery)

Internal audit provides reassurance that effective governance, risk management and internal control procedures are in place. Internal audit reports are used to inform the Treasurer and the Chief Fire and Rescue Officer of the detailed findings of the audit and highlight actions that are required to safeguard the CFA's interests.

18. Staff, Service Users and Stakeholders (including the Equality Impact Assessment)

None.

19. Environmental

None.

20. Impact upon Our Plan Objectives

The provision of a robust internal audit function assists both effective and efficient management and good corporate governance. This should assist with meeting the challenges outlined in the CFA's Finance and Resources and Governance Strategies.

## **Background Papers**

Internal Audit Plan 2019-20 (Corporate Governance Committee - 11 March 2020)

<https://leics-fire.gov.uk/wp-content/uploads/2020/03/internal-audit-plan.pdf>

<https://leics-fire.gov.uk/wp-content/uploads/2020/03/appendix-ia-plan.pdf>

Internal Audit Charter (Corporate Governance Committee - 13th March 2019)

<https://leics-fire.gov.uk/wp-content/uploads/2019/03/the-internal-audit-charter-for-the-cfa-february-2019-1.pdf>

<https://leics-fire.gov.uk/wp-content/uploads/2019/03/appendix-1-the-internal-audit-charter-for-the-cfa-february-2019-1.pdf>

## **Appendices**

Appendix 1 - Progress against the Internal Audit Plan 2020/21 as at 26 August 2020

Appendix 2 - Statutory and constitutional requirements and working arrangements

## **Officers to Contact**

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## Appendix 1 – Progress against the Internal Audit Plan 2020-21 at 26<sup>th</sup> August 2020

*Audits marked (\*) may be utilised by the external auditor in their annual assessment of the likelihood of material misstatement in the Authority's financial accounts so the detailed scope will be subject to the External Auditor's (EA's) approach*

*ToE – terms of engagement*

*HI – high importance recommendation*

### **Institute of Internal Auditors definitions: -**

- The first line of defence – functions that own and manage risk
- The second line of defence – functions that oversee or specialise in risk management, compliance
- The third line of defence – functions that provide independent assurance, including internal audit.

**Work completed (to at least draft report issued stage)**

No.	Category	Auditable area	Potential assurance requirements....	Position at 26/08	Summary recommendations	Opinion
21/5	Governance	Payroll Replacement	<ul style="list-style-type: none"> <li>To provide on-going advice throughout the project lifecycle especially data migration plans</li> </ul>	Final Report Issued	<p>Areas raised and areas for future consideration:</p> <ul style="list-style-type: none"> <li>Need for review of 'As is' processes</li> <li>Issue with Segregation of Duties identified – resolved at the close of the audit (e.g. an officer had HR input rights and Authoriser rights)</li> <li>Need for documenting of User Acceptance Testing</li> <li>Need for documenting of Project meetings</li> <li>Update and sign off of the Business Continuity Plan</li> <li>General Ledger interface file issue (resolved at the close of the audit)</li> <li>Process to be developed on maintaining consistency between information on Firewatch and ITrent in relation to Occupancy Post</li> </ul>	N/A



					Reference Numbers	
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Work in progress

No.	Category	Auditable area	Potential assurance requirements....	Position at 26/08	Summary recommendations	Opinion
21/2	Risk Management	Contract Compliance – Systel - Fire Control Mobilising System	<ul style="list-style-type: none"> <li>Robust contract management and compliance is in place to mitigate risk to an acceptable level</li> </ul>	<ul style="list-style-type: none"> <li>Work started in 19/20 – Will need further discussions with Interim Chief Fire &amp; Rescue Officer re approach dependent on the current status of the contract</li> </ul>	N/A	N/A
21/3	Internal Control	Key Financial Systems – Reconciliations and Balances (*)	<ul style="list-style-type: none"> <li>Key reconciliations and other agreed in scope processes are undertaken accurately and promptly</li> </ul> <p><i>(Note, where applicable this will include follow up of any material internal control weaknesses defined in the International Standard on Auditing (ISA260) report).</i></p>	<p>Draft Terms of Engagement currently being produced for Client for agreement and will incorporate follow up of partial assurance in 19/20.</p> <p><i>Note: Work cannot commence until November 2020 to allow enough testing periods from the current financial year</i></p>	N/A	N/A

				<i>in order to provide a representative 20/21 sample.</i>		
21/4	Internal Control	Key Financials Payroll (*)	<ul style="list-style-type: none"> <li>• Payroll Starters, leavers and variations to pay are valid and accurately accounted for</li> </ul>	<p>Draft Terms of Engagement currently being produced for Client for agreement and will include follow up of partial assurance issues identified previously in 19/20 with the new payroll provider.</p> <p><i>Note: Work cannot commence until November 2020 to allow enough testing periods from the current financial year in order to provide a representative 20/21 sample.</i></p>	N/A	N/A
21/7	Governance	Pensions Replacement	<ul style="list-style-type: none"> <li>• To provide on-going advice through the project lifecycle especially data migration plans</li> </ul>	<p>Work completed to date has involved reviewing:</p> <ul style="list-style-type: none"> <li>• Project Initiation Document (PID)</li> </ul>	N/A	N/A

				<ul style="list-style-type: none"> <li>• Data Questionnaire <i>(review document and provide wording for the audit section)</i></li> <li>• Data <u>Transfer</u> Questionnaire</li> <li>• Risks and Issues log</li> <li>• Project Plan</li> <li>• Stakeholder Analysis document</li> </ul> <p>In addition, advice re retention of Project Board minutes and evidence of testing undertaken</p>		
21/8	Internal Control	ICT controls (*)	<ul style="list-style-type: none"> <li>• Robustness and integrity of the ICT infrastructure and associated applications that either directly or indirectly contribute to the production of the financial statements or associated management decision making</li> </ul>	<p>Draft Terms of Engagement sent to Client for agreement</p> <p>Note: Work cannot commence until November 2020 to allow enough testing periods from the current financial year in order to provide a representative 20/21 sample.</p>	N/A	N/A

21/9	Internal Control	National Fraud Initiative	<ul style="list-style-type: none"> <li>To ensure that data requirements and matches identified as part of the 2020/21 NFI submission have all been adequately investigated and concluded and action taken where appropriate.</li> </ul>	<p>Details and specifications for each required report have been discussed with the client together with associated delivery deadlines (end of September 2020) and the fact that some of the reports will be required from the new payroll provider.</p> <p>Once this part of the work is complete (i.e. reports successfully delivered to the Cabinet Office for data matching purposes) there will be a lull in activity until matched reports are received back in February 2021.</p>	N/A	N/A
N/A	Various	High Importance Recs	<ul style="list-style-type: none"> <li>Follow up testing of any high importance recommendations within our 19/20 coverage (and any in year high importance</li> </ul>	<p><u>Key ICT Controls</u></p> <p>On-going advice has been given in respect of the implementation of the Service Desk</p>	N/A	N/A

			<p>recommendations during 20/21) to ensure they have been addressed in a timely manner in order to mitigate risk to an acceptable level.</p>	<p>Management tool (addressing the high importance recommendation in respect of change control).</p> <p>Note this recommendation was due for implementation in August 2020 but the go live date for the project has been delayed until September 2020 due to competing COVID related priorities.</p> <p><u>Key Controls Payroll</u></p> <p>Follow up of partial assurance to be part of our 20/21 testing (ref 21/4).</p> <p><u>Key Financials</u></p> <p>Follow up of partial assurance to be part of our 20/21 testing (ref</p>		
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				<p>21/4).</p> <p><u>Contract Procedure Rules</u></p> <p>The date of follow up for this partial assurance report is still to be agreed with the client and therefore the committee will be updated at the November meeting of this Committee.</p>		
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**Jobs not started**

No.	Category	Auditable area	Potential assurance requirements....	Position at 26/08	Summary recommendations	Opinion
21/1	Governance	Workshop Services	<ul style="list-style-type: none"> <li>• Work undertaken delivers value for money and is undertaken by suitably qualified staff.</li> </ul>	Deferred to allow further discussions re potential COVID-19 effects on this audit	N/A	N/A

21/6	Internal Control	Key Financials Pensions (*)	<p>To provide assurance regarding operational processes for Fire Fighter Pensions. Topic area(s) will be risk assessed and then selected from the following:</p> <ul style="list-style-type: none"> <li>• Starters, leavers and variations to pension are accurately accounted for in respect of pensionable adjustments required.</li> <li>• Contribution banding, pensions increases, and dependants' pension requirements are correctly applied.</li> <li>• To review the validity and accuracy of calculations with regard to payments for new pensions and lump sums</li> </ul>	<p>Draft Terms of Engagement deliberately NOT produced yet as scope will be dependent on the outcome of the Pensions replacement project.</p> <p>Note: Work cannot commence until January 2020 both to allow enough testing periods from the current financial year in order to provide a representative 21/21 sample and to be undertaken in conjunction with the new providers.</p>		
21/10		Emerging Issues	<ul style="list-style-type: none"> <li>• Emerging issues affecting the service e.g. Brexit, Climate Change, Grenfell,</li> </ul>	<p>Approach will be dependent on further discussions with the Interim Chief Fire &amp;</p>		



			Legislation/Taxation Changes (e.g. blue light personal use) etc	Rescue Officer.		
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**Areas of the original plan that will not be undertaken and associated rationale**

None specified as yet

**Potential Substitute Jobs**

None specified as yet

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**Statutory & constitutional requirements and working arrangements**

Section 112 of the Local Government Finance Act 1988 requires that any combined fire authority ‘...shall make arrangements for the proper administration of its financial affairs’ and to ensure that ‘...one of its officers has responsibility for the administration of those affairs’. Within the Constitution of the CFA (the Constitution) approved by the CFA at its meeting on 20<sup>th</sup> June 2018, Part 2 - The Constitutional Framework sets out under Article 9.4(f) – Functions of the Treasurer, that ‘The Treasurer will ensure an efficient and effective internal audit of the CFA's activities is maintained’. Further detail is contained in Financial Procedure Rule 23.1.

A further statutory requirement for the CFA to have an effective internal audit function is contained within the Accounts and Audit Regulations 2015.

Article 5 of the Constitution explains the composition and functions of the Corporate Governance Committee (the Committee) including at 5(f) that the Committee has a function to ‘Monitor the adequacy and effectiveness of the Internal Audit Service’, and specifically to ‘Monitor progress against the (Internal Audit) plan through the receipt of periodic progress reports...consider major internal audit findings and recommendations and monitor the response to implementation of (those) recommendations.’

The CFA's internal audit function is outsourced to Leicestershire County Council's Internal Audit Service (LCCIAS) led by the Head of Internal Audit Service (HoIAS). Additionally, in November 2017, Leicester City Council delegated its internal audit function to the County Council.

LCCIAS plans and undertakes audits and provides reports to the Treasurer. Most planned audits undertaken are ‘assurance’ type, which requires undertaking an objective examination of evidence to reach an independent opinion on whether risk is being mitigated. Other planned audits are ‘consulting’ type, which are primarily advisory and guidance to management. These add value, for example, by commenting on the effectiveness of controls designed before implementing a new system. An opinion isn't formed in these circumstances. Unplanned ‘investigation’ type audits may be undertaken.

To enable it to fulfil its monitoring function, the HoIAS provides the Committee with a summary report of work undertaken in the period prior to the meeting. Each audit has a designated reference number to assist with tracking progress from planned to complete. Audits are categorised so that the HoIAS can meet a requirement of the Public Sector Internal Audit Standards to form an opinion on the overall adequacy and effectiveness of the CFA's control environment (the framework of governance, risk management and internal control). The HoIAS opinion informs the Annual Governance Statement.

Where applicable an individual ‘opinion’ on each audit assignment is also reported i.e. based on the answers and evidence provided during the audit and the testing undertaken, what assurance can be given that the internal controls in place to reduce exposure to those risks currently material to the system's objectives are both adequate and are being managed effectively (see table overleaf). There are usually four levels of assurance: full; substantial; partial; and little/no. An assurance type audit report containing at least one high importance (HI) recommendation would normally be classified as ‘partial’ assurance. Consulting type audits might also result in high

importance recommendations.

All internal audit recommendations are assessed in terms of risk exposure using the CFA's Risk Management Framework. If audit testing revealed either an absence or poor application of a key control, judgement is applied as to where the risk would fall (in terms of impact and likelihood), if recommendations to either install or improve control were not implemented. If material risk exposure is identified, then a high importance (HI) recommendation is likely. It is important that management quickly addresses those recommendations denoted as HI and implements an agreed action plan without delay.

The Committee is tasked with considering major internal audit findings and (HI) recommendations and monitoring the response to implementation of (those) recommendations. Progress against implementing HI recommendations will be reported to the Committee and will remain in its domain until the HoIAS is satisfied, based on the results of specific re-testing, that the HI recommendation has been implemented.

### **LEVELS OF ASSURANCE**

<b><u>OUTCOME OF THE AUDIT</u></b>	<b><u>ASSURANCE RATING</u></b>
No recommendations or only a few minor recommendations	<b>Full assurance</b>
A number of recommendations made but none considered to have sufficient significance to be denoted as <b>HI</b> (high importance)	<b>Substantial assurance</b>
Recommendations include at least one <b>HI</b> recommendation, denoting that (based upon a combination of probability and impact) in our opinion a significant weakness either exists or potentially could arise and therefore the system's objectives are seriously compromised.	<p><b>Partial assurance</b></p> <p>A HI recommendation denotes that there is either an absence of control or evidence that a designated control is <u>not</u> being operated and as such the system is open to material risk exposure. It is important that management quickly addresses those recommendations denoted as <b>HI</b> and implements an agreed action plan without delay.</p> <p>Alternatively, whilst individually none of the recommendations scored a HI rating, collectively they indicate that the level of risk to is sufficient to emphasise that prompt management action is required.</p>
The number and content of the <b>HI</b> recommendations made are sufficient to seriously undermine any confidence in the controls that are currently operating.	<b>Little or no assurance</b>

**Status of Report: Public**

**Meeting: Corporate Governance Committee**

**Date: 16 September 2020**

**Subject: Performance Monitoring April to July 2020**

**Report by: Chief Fire and Rescue Officer**

**Author: Chris Moir, Planning Manager**

**For: Information Only**

### **Purpose**

1. The purpose of this report and the accompanying appendix is to present the Corporate Governance Committee (CGC) with an update on the performance of the Leicestershire Fire and Rescue Service for the period April to July 2020.

### **Recommendation**

2. The CFA Corporate Governance Committee is asked to note the performance of the Leicestershire Fire and Rescue Service for the period April to July 2020.

### **Executive Summary**

3. A comprehensive performance update is attached at the Appendix to this report. It contains full details of the key performance indicators and provides further analysis and comparison information.
4. Service performance is measured through corporate performance indicators. Where the data is available, each indicator is monitored against an average of the previous three years.
5. The reporting period mirrors the height of the Covid-19 pandemic and as such some figures e.g. 'total incidents' may be smaller than would normally be expected. Others figures, for example, 'On-Call appliance availability' are higher due to more On-Call staff being available due to being furloughed from their primary employment.

### **Background**

6. The detailed appendix has been created following consultation with Corporate Governance Committee members at a Performance Reporting Workshop held on 20 November 2019. The agreed changes became effective from April 2020.
7. One report is now published for the CGC, the Senior Management Team (SMT) and the Tactical Management Team (TMT). The report is more detailed and easier to understand. Targets and the Red, Amber, Green (RAG) status methodology is removed as requested, with performance now being compared against the last three-year average.
8. Life risk incident attendance times are now measured against a 10-minute average as agreed in the Integrated Risk Management Plan (IRMP). To ensure

consistency with the Home Office and the reporting mechanisms of Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS) the average response time to primary fires is also included.

### **Report Implications/Impact**

9. Legal (including crime and disorder)

The timely production of relevant performance information and the achievement of continuous improvement is a statutory duty as described in the Local Government Act 1999.

10. Financial (including value for money, benefits and efficiencies)

There are no financial implications arising from this report.

11. Risk (including corporate and operational, health and safety and any impact on the continuity of service delivery)

Effective performance management including the reporting, monitoring and analysis of performance indicators enables proactive control measures to be implemented to reduce risk and demand.

12. Staff, Service Users and Stakeholders (including the Equality Impact Assessment)

Any identified action plans will be developed and delivered by relevant managers and staff.

13. Environmental

There are no environmental implications arising from this report.

14. Impact upon Our Plan Objectives

Active monitoring of performance indicators allows the Service to assess the effectiveness of delivering corporate objectives, influencing changes to strategies and policies where necessary. It also meets the Governance Strategy outcomes of well-informed communities and well-informed staff and the objective of 'monitor and report on our performance so everyone knows how we are doing'.

### **Background Papers**

None.

### **Appendix**

Performance Update – April to July 2020.

**Officers to Contact**

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## Performance Update: April to July 2020

Ref	Key Corporate Indicator	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Actual	3-Year Average	Differ
<b>KCI 1 Incidents Attended</b>																
<b>I.1</b>	<b>Total incidents</b>	<b>580</b>	<b>741</b>	<b>643</b>	<b>605</b>									<b>2569</b>	<b>2906</b>	<b>-337</b>
I.2	Fire incidents	172	248	191	178									789	947	-158
a	Primary fire incidents	76	106	94	79									355	456	-101
b	Secondary fire incidents	90	140	96	96									422	476	-54
c	Chimney fire incidents	6	2	1	3									12	15	-3
I.3	Fire false alarms	218	261	231	193									903	946	-43
a	Due to apparatus	98	101	117	87									403	544	-141
b	Good intent	114	151	111	104									480	361	119
c	Malicious attended	6	9	3	2									20	41	-21
I.4	Non-fire incidents	190	232	221	234									877	1013	-136
a	Non-fire false alarms	7	7	6	7									27	42	-15
b	Special service	183	225	215	227									850	971	-121
-	Road traffic collision (RTC)	31	41	44	52									168	239	-71
-	Assist other agencies	68	82	77	67									294	190	104
-	Medical incident - co-responder/first responder	12	12	8	15									47	170	-123
-	Effecting entry / exit	18	14	15	14									61	96	-35
<b>KCI 2 Fatalities and casualties</b>																
2.1	Fatalities in fires	0	0	0	0									0	3	-3
2.2	Non-fatal casualties in fires	2	3	3	1									9	21	-12
2.3	Fatalities in non-fire incidents	9	3	4	4									20	15	5
2.4	Non-fatal casualties in non-fire incidents	37	53	56	61									207	317	-110
2.5	Number of TRIM (Trauma Risk Management):															
a	Notifications	10	4	6	5									25	N/A	N/A
b	Interventions	5	3	2	0									10	N/A	N/A
c	I to I's	0	0	1	0									1	N/A	N/A

Ref	Key Corporate Indicator	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Actual	3-Year Average	Differ
2.6	Number of LFRS employees injured whilst attending incidents	0	0	0	0									0	0	0
<b>KCI 3 Level of emergency response service provision</b>																
3.1	Number of emergency calls received	1327	1569	1430	1338									5664	6352	-688
3.2	The total average response times of life threatening incidents (mins)	9:18	9.13	10.10	10.25									9:52	10.16	-0:24
a	Average call handling time	2:03	1.51	1.53	1.57									1:56	2:02	-0:06
b	Average appliance mobilisation time	1:23	1.28	1.30	1.32									1:32	1.57	-0:25
c	Average time to drive to the incident	5:52	5.54	6.47	6.56									6:24	6.17	0:07
d	Number of life threatening incidents attended	54	54	59	73									240	482	-242
3.3	The total average response times of non-life threatening incidents (mins)	10.09	9.41	10.13	9.48									9:57	9.44	0.13
a	Average call handling time	2.27	2.01	2.24	2.04									2.14	2.10	0.04
b	Average appliance mobilisation time	1.47	1.39	1.44	1.36									1.41	1.38	0.03
c	Average time to drive to the incident	5.55	6.01	6.05	6.08									6.02	5.56	0.06
d	Number of non-life risk incidents attended	518	672	573	525									2288	2412	-124
3.4	The total average response times to primary fires (as recorded by Home Office)	9.01	9.07	10.00	10.10									9.33	9.43	-0.10
a	Average call handling time	1.34	1.32	1.38	1.39									1.36	1.43	-0.07
b	Average appliance mobilisation time	1.53	1.30	1.26	1.37									1.35	1.39	-0.04
c	Average time to drive to the incident	5.34	6.05	6.56	6.54									6.22	6.21	0.01
d	Number of primary fire incidents attended	70	95	86	69									320	372	-52
3.5	The % availability of Wholetime fire appliances	99.8%	99.5%	99.1%	99.0%									99.3%	98.2%	1.1%
3.6	The % availability of On-Call fire appliances	87.5%	85.2%	83.1%	75.3%									82.7%	61.4%	21.3%
3.7	The % of people satisfied with our overall response	100%	100%	100%	100%									100%	100%	0%
a	The % of people satisfied with their initial contact with the service	100%	100%	100%	100%									100%	100%	0%
b	The % of people satisfied with the service they received at the scene	100%	100%	100%	100%									100%	100%	0%
<b>KCI 4 Home Fire Safety Checks and Smoke Alarms</b>																
4.1	Home safety checks	446	277	483	507									1713	2455	-742

Ref	Key Corporate Indicator	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Actual	3-Year Average	Differ
4.2	Home safety feedback surveys	245	135	161	136									677	New Indicator	
a	Percentage satisfied	100%	100%	99%	100%									99.8%	New Indicator	
<b>KCI 5 Fire Protection and Enforcement</b>																
5.1	The % of fire safety audits that result in action plans and enforcement notices	0.0%	0.0%	0.0%	13.2%									8.6%	29.6%	-21.0%
a	Fire safety audits	1	6	13	38									58	133	-75
b	Action plans and enforcement notices	0	0	0	5									5	39	-34
5.2	Fire protection survey – Overall how satisfied were you with the service received	100%	100%	100%	100%									100%	100%	0%
<b>KCI 6 Capacity, staff and availability</b>																
6.1	Average number of days/shifts lost to sickness by operational staff per person (inc COVID 19)	1.07 (1.77)				-			-					1.07 (1.77)	1.25	-0.18
a	Days/shifts lost to short-term sickness	90.94				-			-					90.94	133.82	-42.88
b	Days/shifts lost to long-term sickness	313.02												313.02	331.86	-18.84
c	Total days/shifts lost to sickness (COVID 19)	403.96 (263.86)				-			-					403.96 (263.86)	465.68	-61.72
6.2	Average number of days/shifts lost to sickness by support staff per person (inc COVID 19)	1.44 (2.44)				-			-					1.44 (2.44)	1.95	-0.51
a	Days/shifts lost to short-term sickness	8.84				-			-					8.84	64.82	-55.98
b	Days/shifts lost to long-term sickness	145.27				-			-					145.27	148.58	-3.31
c	Total days/shifts lost to sickness (COVID 19)	154.11 (107.47)												154.11 (107.47)	213.40	-59.29
6.3	Average number of staff on modified duties for the entire month	5	4	5	9									5.75	9.41	-3.66
a	Wholetime	1	2	2	5									2.50	4.58	-2.08
b	On-Call	3	2	3	4									3.00	4.58	-1.58
c	Support	1	0	0	0									0.25	0.25	0.00
6.3	Average number of staff on modified duties at some point throughout the month	14	13	15	3									11.25	12.66	-1.41
a	Wholetime	10	10	12	1									8.25	8.33	-0.08
b	On-Call	3	2	3	2									2.50	3.17	-0.67
c	Support	1	1	0	0									0.50	1.16	-0.66

Please note figures are subject to change as outstanding fire reports may be completed after this report has been issued.

3.2 The total average response times of life threatening incidents (mins) is based on incidents categorised by control as being life risk when the emergency call is received. Comparisons for all response indicators is based on previous year, as data not available on IRS due to change of system.

### **1.1 Total incidents – April to July 2020**

Of the 2569 incidents April to July 2020, 903 (35%) were fire false alarms, 877 (34%) were non-fire incidents and 789 (31%) were fire incidents. Most incidents occurred in Western, followed by Charnwood and Eastern. The 3-year average is 2906, so in comparison to this, there are 337 fewer incidents. The effects of COVID 19 had a considerable impact on the number of incidents attended in April. The numbers increased significantly in May and now June and July has seen the number of incidents reduce back down. This again can be partly due to the impact of the lockdown imposed in the City in July. Interesting to see more incidents located in North West Leicester (NWL) than in Central.

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	Apr to Jul 2020
<b>1.1</b>	<b>Total incidents</b>	226	337	428	191	125	99	107	177	390	223	266	2569

Looking at the 3 areas:

Fire incidents – reduction of 158 incidents compared to 3-year average.

False alarms – reduction of 43 incidents compared to the 3-year average.

Non-fire incidents – reduction of 136 incidents compared to 3-year average.

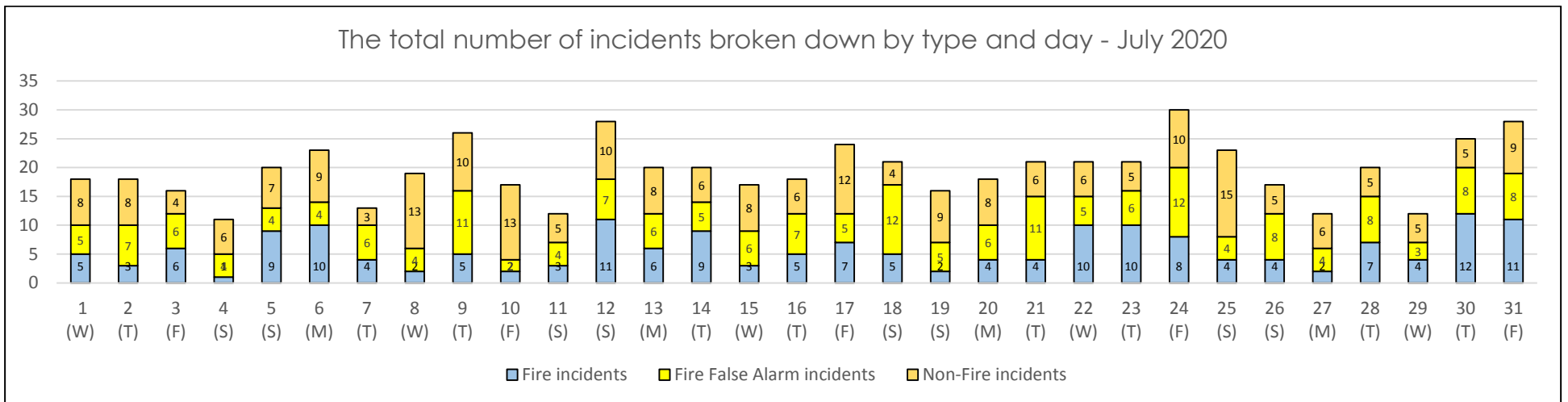
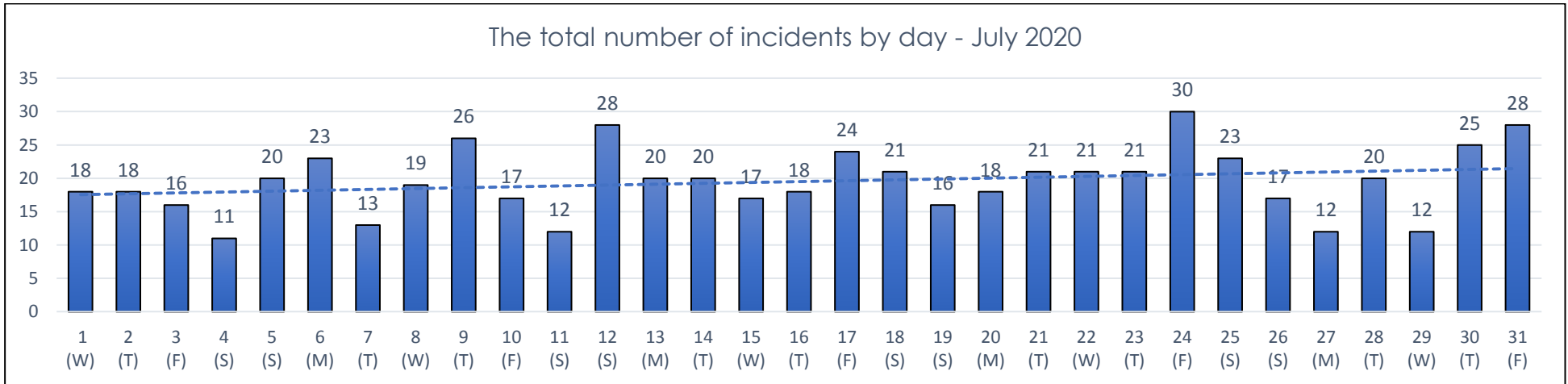
The number of fire related incidents and non-fire related incidents would normally be a lot higher, especially in what has been one of the driest summers on record. The number of special service incidents attended has decreased, which in some ways is a result of our reduced capability this year to carry out emergency co-responder/first responder incidents and also the considerable reduction in RTC's over the period. The reduction in special service incidents would have been larger, but the number of assist other agencies incidents has increased significantly.

### **July 2020**

Of the 605 incidents in July, 234 (39%) were non-fire incidents, 193 (32%) were fire false alarms and 178 (29%) were fire incidents. Most incidents occurred in Western, followed by Charnwood and Eastern. The decrease in incidents in July are due in most to a reduction in primary fires and fire false alarms.

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	July 2020
I.1	Total incidents	52	81	104	41	40	23	21	46	88	46	63	605

The total number of incidents by day ranged from 11 at its lowest in a day, to 30 incidents at its peak. After a quiet start to the month, the number of incidents steadily increased during the month. Friday appeared twice as one of the busiest days and Sunday once. On average, there were 19.52 incidents attended each day. The 605 incidents include fires, fire false alarms and non-fire related incidents.



## 1.2 Fire incidents – April to July 2020

Of the 789 fire incidents April to July, 355 were primary fires, 422 were secondary fires and 12 were chimney fires. Most incidents occurred in Charnwood, Western and NWL. The 3-year average is 947, so to have less at this point is pleasing. However, we are now entering the time of year when sustained drier spells can result in a spike in secondary fires, so it remains important to continue to monitor activity. It was only July 2018 when there were 303 secondary fires in one month alone.

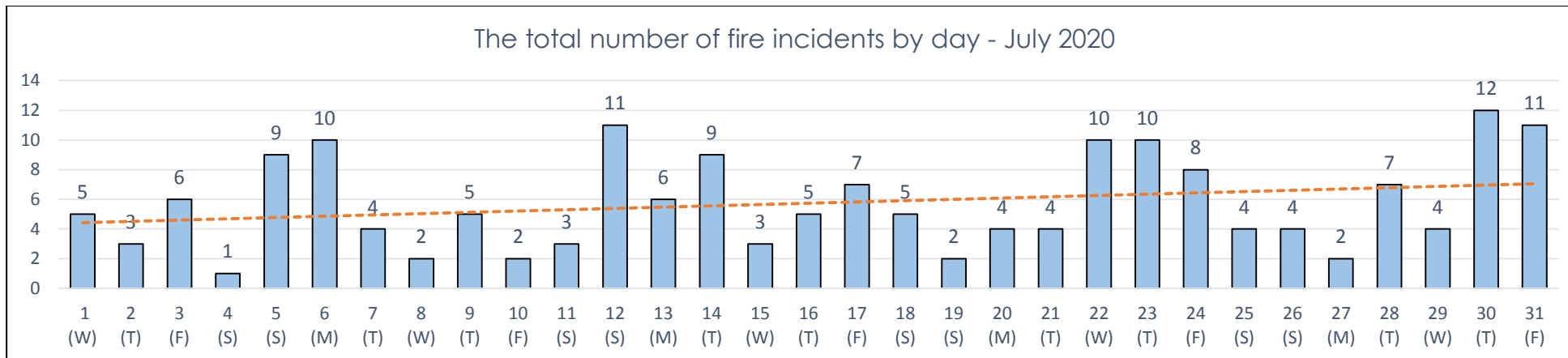
Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	Apr to Jul 2020
1.2	Fire incidents	49	79	127	75	46	21	23	67	132	74	96	789
a	Primary fire incidents	22	38	59	38	21	6	9	26	56	39	41	355
b	Secondary fire incidents	27	41	68	35	24	14	10	41	74	35	53	422
c	Chimney fire incidents	0	0	0	2	1	1	4	0	2	0	2	12

### July 2020

Of the 178 incidents in July 2020, 79 (44%) were primary fires, 96 (54%) were secondary fires and 3 (2%) were chimney fires. Most incidents occurred in Charnwood, Western and NWL. This is a decrease of 13 incidents from June (191).

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	July 2020
1.2	Fire incidents	11	14	32	17	11	5	6	17	33	13	19	178
a	Primary fire incidents	5	4	11	12	4	3	3	5	11	10	11	79
b	Secondary fire incidents	6	10	21	5	6	2	2	12	21	3	8	96
c	Chimney fire incidents	0	0	0	0	1	0	1	0	1	0	0	3

The total number of fire incidents by day ranged from 1 at its lowest in a day, to 12 incidents at its peak. After a quiet start to the month, the numbers of incidents increased steadily towards the end of the month. On average, there were 5.74 fire incidents attended each day.



### **1.2a Primary fire incidents**

There were 79 primary fire incidents in July, a decrease of 15 from June (94). Of these, 61 were accidental fires, 16 were deliberate fires and 2 were not known. Harborough had the most incidents with 12, followed by Charnwood, Western and NWL with 11 each.

Of the 61 accidental fires, there were 29 dwelling, 17 road vehicle, 6 non-residential, 4 outdoor structure, 3 outdoor and 2 were other-residential. The main fire cause shows there were 8 combustible articles too close to heat source (or fire), 8 other cooking and 7 were faulty fuel supply - electricity. The main ignition source shows cooking appliance with 19 incidents, 10 were vehicles only and 8 electricity supply. The main times of the incidents show 12 of the incidents occurring between the hours of 5.00pm – 6.00pm.

Of the 16 deliberate fires, there were 8 road vehicle, 3 dwelling, 2 non-residential, 2 outdoor and 1 was an outdoor structure. Of the main property types, there were 5 buildings, 4 cars, 2 grassland, woodland and crops, 2 motorcycles and 2 were van's. The main source of ignition shows there were 6 not known and 5 were naked flame. The main times of the incidents show 3 incidents occurring between 11.00pm and 12.00pm. Harborough, NWL and Western had 3 of the 16 deliberate fires.

### **1.2b Secondary fire incidents**

There were 96 secondary fire incidents in July, which is the same as June (96). Of these, 54 were accidental fires and 42 were deliberate fires. Charnwood and Western had the most incidents with 21, followed by Blaby with 12.

Of the 54 accidental fires, the main types of property were loose refuse (incl in garden) 12, private/domestic garden/allotment 9 and tree scrub (includes single trees not in garden) 8. The main times of the incidents show 7 of the incidents occurring between the hours of 5.00pm – 6.00pm.

Of the 42 deliberate fires, the main types of property were loose refuse (incl in garden) 13, tree scrub (includes single trees not in garden) 9 and park 3. The main times of the incidents show 6 of the incidents occurring between the hours of 10.00pm – 11.00pm. Western had 10 out of the 42 deliberate fires.

### **1.2c Chimney fire incidents**

There were 3 chimney fire incidents in July. They occurred in Charnwood, Melton and Rutland.

### **1.3 Fire false alarms – April to July 2020**

Of the 903 fire false alarm incidents April to July, 403 were due to apparatus, 480 were good intent and 20 were malicious. Most incidents occurred in Western, Eastern and Charnwood. The 3-year average is 946, so compared to the average, figures have decreased by 43.

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	Apr to Jul 2020
I.3	Fire false alarms	99	132	161	54	39	40	62	52	111	69	84	903
a	Due to apparatus	69	55	75	28	17	16	39	16	39	23	26	403
b	Good intent	26	75	79	26	22	24	20	36	71	45	56	480
c	Malicious attended	4	2	7	0	0	0	3	0	1	1	2	20

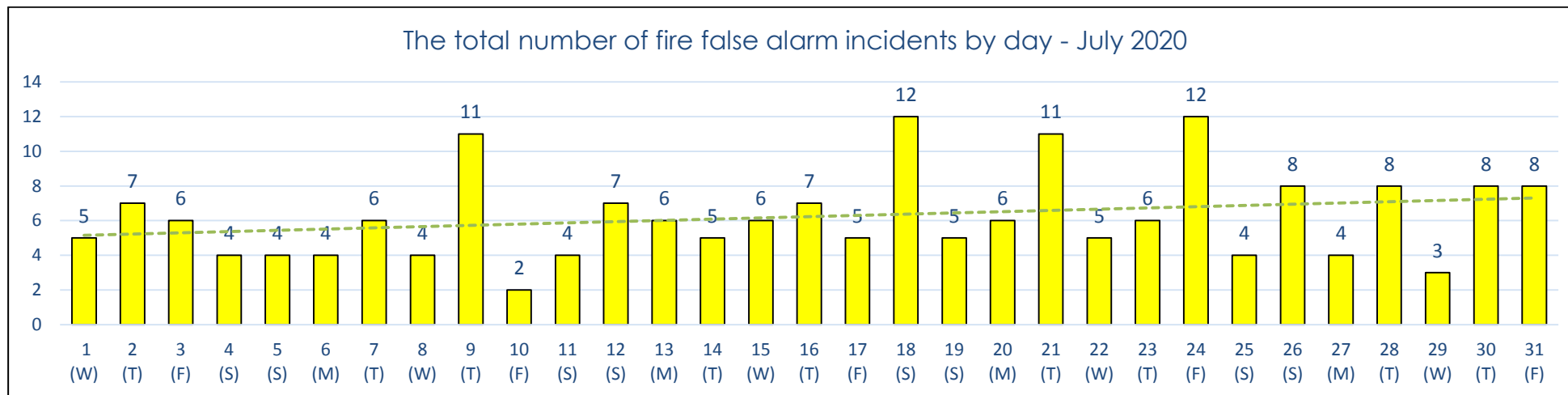
### **July 2020**

Of the 193 fire false alarm incidents in July, 87 were due to apparatus, 104 were good intent and 2 were malicious. Most incidents occurred in Western, Eastern and NWL. There were 231 in June, so July has seen a decrease of 38.

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	July 2020
I.3	Fire false alarms	19	27	33	8	13	9	9	16	22	13	24	193
A	Due to apparatus	14	13	18	2	8	3	4	4	9	5	7	87
B	Good intent	5	14	14	6	5	6	4	12	13	8	17	104
C	Malicious attended	0	0	1	0	0	0	1	0	0	0	0	2



The total number of fire false alarm incidents by day ranged from 2 at its lowest in a day, to 12 incidents at its peak. On average, there were 6.22 fire false alarm incidents attended each day and it has increased steadily towards the end of the month.



### **1.3a Due to apparatus**

There were 87 false alarms due to apparatus in July, a decrease of 30 from June (117). Of these, 58 were dwelling, 19 were non-residential and 10 were other residential.

Of the false alarms due to apparatus in dwellings, the main causes were cooking burnt/toast 17, faulty equipment 15 and unknown 7. The main times of the incidents show 8 of the incidents occurring between the hours of 7.00pm – 8.00pm. Brown Court, Mowbray Court and Glenfield Road were visited 3 times each.

Of the false alarms due to apparatus in non-residential, the main causes were faulty 3, other 3, testing 3 and unknown 3. Glenfield Hospital was visited 3 times.

Of the false alarms due to apparatus in other residential, the main causes were cooking burnt/toast 3, accidentally/carelessly set off 2 and faulty 2. Tudor Studios on Tudor Road was visited twice.

### **1.3b Good intent**

There were 104 good intent false alarms in July, a decrease of 7 from June (111). Of these, 45 were outdoor, dwelling 43, road vehicle 7, non-residential 5, other residential 2 and outdoor structures 2.

Of the good intent false alarms, the main causes were due to controlled burning 32, bonfire 19 and other 12. The main times of the incidents show 19 of the incidents occurring between the hours of 9.00pm – 11.00pm. Berry Hill Lane and Brownlow Crescent Melton had 2 incidents each.

### **1.3c Malicious attended**

There were 2 malicious false alarms in July, a decrease of 1 from June (3). Of these, 1 was in Rutland 1 was in Western. They were at different times and at various locations.

### **1.4 Non-fire incidents – April to July 2020**

Of the 877 non-fire incidents April to July, 27 were non-fire false alarms and 850 were special service. Looking at the table below the most incidents occurred in Charnwood, Western and Eastern. The 3-year average is 1013, so compared to the average, figures have decreased by 136.

Data is provided for road traffic collision, assist other agencies, medical Incident - co-responder/first responder and effecting entry / exit, which are the main categories in special service. There are many other categories in special service and analysis will be provided if figures spike. Suicide was one category along with flooding that was highlighted last year. So far this year, we have attended 18 suicide attempts.

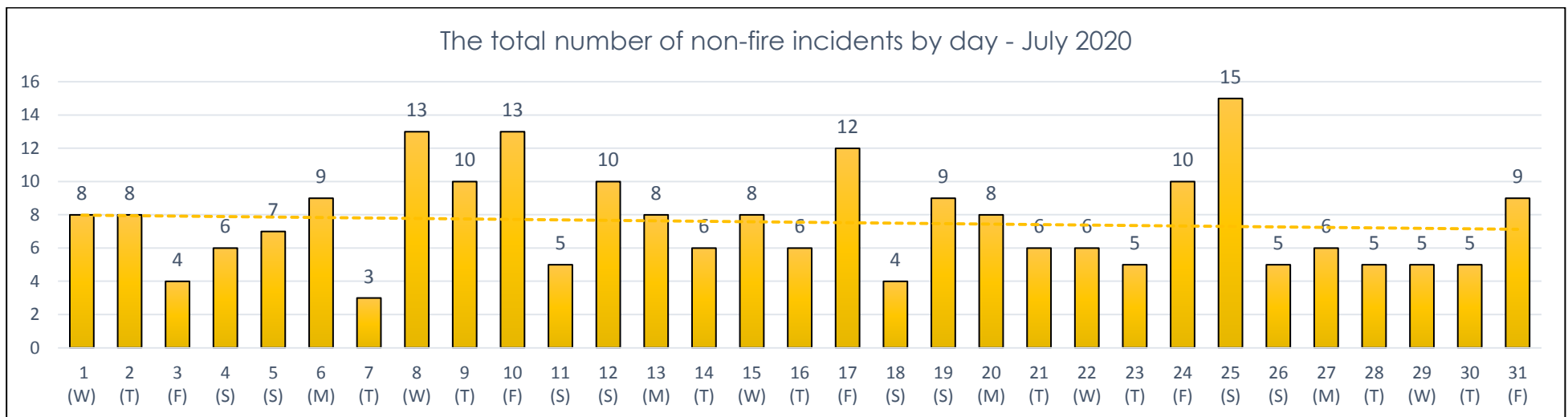
Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	Apr to Jul 2020
1.4	Non-fire incidents	78	126	140	62	40	38	22	58	147	80	86	877
a	Non-fire false alarms	4	2	6	2	1	1	0	0	6	4	1	27
b	Special service	74	124	134	60	39	37	22	58	141	76	85	850
-	Road traffic collision (RTC)	8	16	14	21	7	5	6	21	31	22	17	168
-	Assist other agencies	31	49	45	21	14	13	6	19	53	19	24	294
-	Medical incident - co-responder/first responder	3	5	10	0	3	6	0	0	5	4	11	47
-	Effecting entry / exit	4	8	24	2	2	3	1	2	4	6	5	61

### **July 2020**

Of the 234 incidents in July, 7 were non-fire false alarms and 227 were special service. Looking at the table below the most incidents occurred in Eastern, Western and Charnwood. There were 221 in June, so July has seen an increase of 13.

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	July 2020
I.4	Non-fire incidents	22	40	39	16	16	9	6	13	33	20	20	234
a	Non-fire false alarms	1	0	2	0	0	0	0	0	2	2	0	7
B	Special service	21	40	37	16	16	9	6	13	31	18	20	227
-	Road traffic collision (RTC)	2	7	2	5	4	4	1	4	9	7	7	52
-	Assist other agencies	7	12	14	5	6	2	2	4	11	3	1	67
-	Medical incident - co-responder/first responder	2	3	4	0	0	0	0	0	0	2	4	15
-	Effecting entry / exit	0	2	6	0	0	1	1	1	2	0	1	14

The total number of non-fire incidents ranged from 3 at its lowest in a day, to 15 incidents at its peak. The number of incidents have steadily decreased as we have gone through the month, despite the odd peak. On average, there were 7.54 non-fire incidents attended each day.



**1.4a Non-fire false alarms**

Of the 7 non-fire false alarms in July, 2 were in Charnwood, Hinckley 2, Western 2 and Central 1. This is one more than the number in June (6).

### **1.4b Special service**

There were 227 special service incidents in July, an increase of 12 from June (215). Of these, there were 67 assist other agencies, RTCs 52, medical Incident - co-responder/first responder 15 and effecting entry / exit 14. Eastern had the most incidents with 40, followed by Western 37 and Charnwood 31.

Assist other agencies has had 67 incidents in July, which is a decrease of 10 from June (77) and this type of incident has increased substantially over the past few years. From April to July there have now been 294 assist other agencies, compared to the 3-year average of (190). RTCs remains extremely low and this can be related to the significant reduction in traffic on the roads during lockdown. Medical incident - co-responder/first responder also continues to be extremely low with 15 incidents attended in July and a total of 47 so far this year, compared to the 3 year-average (170). This is due to first responding being suspended.

### **2.1 Fatalities in fires – April to July 2020**

No fatalities to report.

### **2.2 Non-fatal casualties in fires – April to July 2020**

There have been 9 non-fatal casualties in fires April to July. This is 12 less than the 3-year average of 21. All 9 non-fatal casualties in fires have occurred in the City.

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	Apr to Jul 2020
2.2	Non-fatal casualties in fires	1	3	5	0	0	0	0	0	0	0	0	9

### **July 2020**

There were 1 non-fatal casualty in July, a decrease of 2 from June (3).

The non-fatal casualty occurred on a Thursday afternoon in the Western Ward in the City. Crews attended an accidental dwelling fire at a property. The occupant had put some rice into the microwave for a time longer than they had thought and had sat in the communal lounge on the same floor. The smoke alarm activated and the occupant went back and tried to ascertain where the smoke was coming from and in the process suffered smoke inhalation. The nature of the injuries appeared to be slight and the victim went to hospital.

### **2.3 Fatalities in non-fire incidents – April to July 2020**

There have been 20 fatal casualties in non-fire incidents April to July. This is 5 more than the 3-year average of 15.

Of the 20 fatalities, 12 were attended to assist other agencies, 3 were effecting entry / exit for a medical case, 2 were other rescue/release of persons, 1 was making safe (not RTC) removal/retrieval of dead body, 1 was a RTC and 1 was a suicide. When looking at the circumstances, 13 were thought to be already dead when firefighters arrived, 5 were unable to resuscitate, confirmed dead at scene, 1 was unable to resuscitate at scene, confirmed dead at hospital and 1 was not known. There were 18 male fatalities and 2 female fatalities, aged 25, 27, 30, 40, 45, 49, 50, 50, 52, 57, 63, 67, 67, 71, 72, 75, 76, 78, 79, and 90 years of age. The cause of death shows 12 were not known, 2 chest pain/heart condition/cardiac arrest, 2 other medical condition, 1 chest/abdominal injury, 1 drowning, 1 head injury and 1 other.

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	Apr to Jul 2020
2.3	Fatalities in non-fire incidents	2	3	2	2	1	1	0	3	3	3	0	20

### **July 2020**

There were 4 fatalities in non-fire incidents in July, compared to 4 in June.

Of the 4 fatalities, 2 were assist other agencies and 2 were effecting entry / exit for a medical case. When looking at the circumstances, 2 were thought to be already dead when firefighter arrived, 1 was unable to resuscitate, confirmed dead at scene and 1 was not known. There were 4 male fatalities, aged 50, 71, 76 and 78 years of age. The cause of death shows 4 were not known. There was 1 fatality in Blaby, 1 in Eastern, 1 in Oadby & Wigston and 1 in Western.

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	July 2020
2.3	Fatalities in non-fire incidents	0	1	1	0	0	1	0	1	0	0	0	4

### **2.4 Non-fatal casualties in non-fire incidents – April to July 2020**

There have been 207 non-fatal casualties in non-fire incidents April to July. This is 110 below the 3-year average of 317.

Of the 207 non-fatal casualties in non-fire incidents, 116 were in road vehicles, 77 in buildings, 13 in the outdoors and 1 on a train. The main types of injury attended, show back/neck injury 40, bruising 20 and fracture 19. There were 127 male non-fatal casualties, 77 female

non-fatal casualties and 3 not known. The ages of the non-fatal casualties show 8 casualties aged between 0 – 9, 14 between 10 – 19, 34 between 20 – 29, 34 between 30 – 39, 25 between 40 – 49, 20 between 50 – 59, 27 between 60 - 69, 22 between 70 – 79, 17 between 80 – 89, 5 between 90 – 99 years of age and 1 not known. Charnwood has had most non-fatal casualties with 47. These can be related somewhat to the high number of special service incidents and road traffic collisions.

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	Apr to Jul 2020
2.4	Non-fatal casualties in non-fire incidents	15	16	22	13	14	5	4	22	47	24	25	207

### July 2020

There were 61 non-fatal casualties in non-fire incidents in July, compared to 56 in June.

Of the 61 non-fatal casualties in non-fire incidents, 40 were in road vehicles, 17 in buildings and 4 outdoors. The main types of injury attended, show back/neck injury 13, bruising 7, cuts/lacerations 7 and other 7. There were 42 male non-fatal casualties, 18 female non-fatal casualties and 1 not known. The ages of the non-fatal casualties show 5 casualties aged between 0 – 9, 5 between 10 – 19, 8 between 20 – 29, 11 between 30 – 39, 10 between 40 – 49, 6 between 50 – 59, 5 between 60 - 69, 5 between 70 – 79 and 4 between 80 – 89 and 2 between 90 – 99 years of age. The district with the most non-fatal casualties in non-fire incidents in July was Charnwood with 14. Looking into this, 10 were in road vehicles and this can be related to the number of road traffic collisions in July in Charnwood (9).

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	July 2020
2.4	Non-fatal casualties in non-fire incidents	3	5	3	3	8	4	1	5	14	6	9	61

### 2.5 Number of TRiM (Trauma Risk Management) – April to July 2020

The indicator Trauma Risk Management is a new indicator and looks at the number of notifications, interventions and 1 to 1's.

There have been 25 TRiM notifications April to July.

### July 2020

There were 5 TRiM notifications in July, compared to 6 in June.

The 5 incidents that were reported, include 4 of which were to gain entry for EMAS or carers, with all occupiers that were deceased and one incident was a road traffic collision where the driver was trapped and operated on at the road side. Continuous professional development dates were being planned for practitioners as lockdown eased. However, this has been placed back on hold due to the second lockdown. The annual operating license and lead coordinator continuous professional development event is being planned for October.

## **2.6 Number of LFRS employees injured whilst attending incidents – April to July 2020**

No injuries to report.

## **3.1 Number of emergency calls received – April to July 2020**

There have been 5664 emergency calls received April to July. This is 688 below the 3-year average of 6352.

### **July 2020**

There were 1338 emergency calls received in July, which is 92 less than June (1430). Emergency calls are dealt with by our Control Centre at Southern Fire and Rescue Station. Not all of these calls would have led to mobilisations and there will have been multiple calls for one incident. On average emergency calls were answered in 4.18 seconds in July.

## **3.2 The total average response times of life threatening incidents – April to July 2020**

There have been 240 incidents classed as life risk by Control April to July. This is 242 below last year's total of 482. The total average response time for the 240 incidents was 9 minutes 52 seconds, compared to 10 minutes 16 seconds last year.

The 9 minutes 52 seconds can be broken down further:

Average call handling was 1 minute 56 seconds, a reduction of 6 seconds on last year's time (2 minutes 2 seconds).

Average mobilisation time was 1 minute 32 seconds, a reduction of 25 seconds on last year's time (1 minute 57 seconds).

Average drive time was 6 minutes 24 seconds, an increase of 7 seconds on last year's time (6 minutes 17 seconds).

The reason for the big reduction in the number of life risk incidents attended is mainly due to the fact that we are not currently attending first responder incidents, due to it being suspended. This will have also contributed to the reduction in mobilisation time as well. The majority of emergency first responder incidents are classed as life risk by Control and looking at the data are mainly attended by Coalville On-Call. Once we resume attending these types of incidents, it is likely that total response times will increase.

Any incidents that take over 3 minutes in call handling, 3 minutes in mobilisation time for Wholetime, 7 minutes in mobilisation time for On-Call and 10 minutes in drive time, get investigated. During April to July there have been 26 investigations carried out by Control, 10 mobilisation investigations and 32 drive time investigations. This picks up any anomalies with the system and highlights any possible areas of concern.

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	Apr to Jul 2020
3.2	The total average response times of life threatening incidents (mins)	7.27	7.07	8.33	12.13	12.39	8.07	12.11	12.31	9.44	11.28	9.39	9.52
a	Average call handling time	1.46	1.53	1.53	1.36	2.06	1.50	2.07	2.12	1.57	2.14	1.51	1.56
b	Average appliance mobilisation time	1.11	1.07	1.33	1.51	2.27	1.21	0.50	1.33	1.26	1.50	1.31	1.32
c	Average time to drive to the incident	4.30	4.07	5.07	8.46	8.06	4.56	9.14	8.46	6.21	7.24	6.17	6.24
d	Number of life threatening incidents attended	10	27	43	21	11	8	7	20	45	21	27	240

## July 2020

There have been 73 incidents classed as life risk by Control in July. This is 14 more than June (59). The total average response time for the 73 incidents was 10 minutes 25 seconds, compared to 10 minutes 10 seconds in June.

The 10 minutes 25 seconds can be broken down further:

Average call handling was 1 minute 57 seconds, an increase of 4 seconds on the time in June (1 minutes 53 seconds).

Average mobilisation time was 1 minute 32 seconds, an increase of 2 seconds on the time in June (1 minute 30 seconds).

Average drive time was 6 minutes 56 seconds, an increase of 9 seconds on the time in June (6 minutes 47 seconds).

During July there have been 8 investigations carried out by Control, 1 mobilisation investigations and 12 drive time investigations. This picks up any anomalies with the system and highlights any possible areas of concern.

Please note that small numbers are being analysed here.

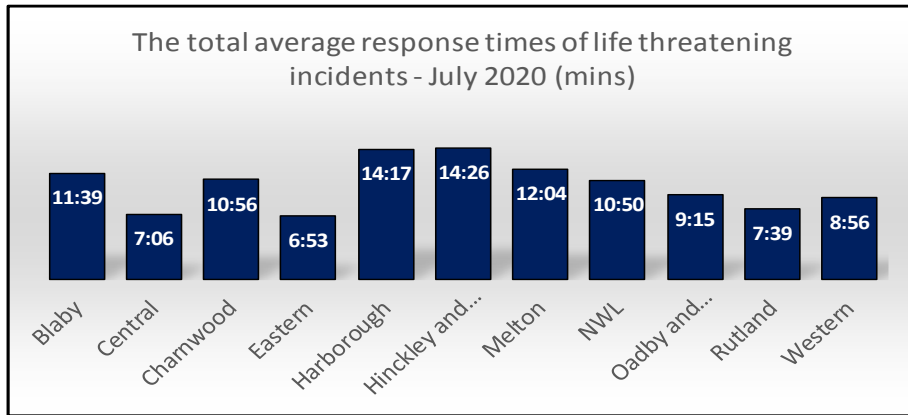
Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	July 2020
3.2	The total average response times of life threatening incidents (mins)	7.06	6.53	8.56	14.17	12.04	9.15	7.39	11.39	10.56	14.26	10.50	10.25
a	Average call handling time	1.50	1.48	1.52	1.35	2.12	2.03	2.01	2.34	1.29	1.59	2.17	1.57
b	Average appliance mobilisation time	0.59	0.54	1.15	2.07	2.17	1.37	0.56	1.20	1.29	2.29	1.35	1.32



c	Average time to drive to the incident	4.17	4.11	5.49	10.35	7.35	5.35	4.42	7.45	7.58	9.58	6.58	6.56
d	Number of life threatening incidents attended	3	7	13	5	7	5	3	7	10	5	8	73

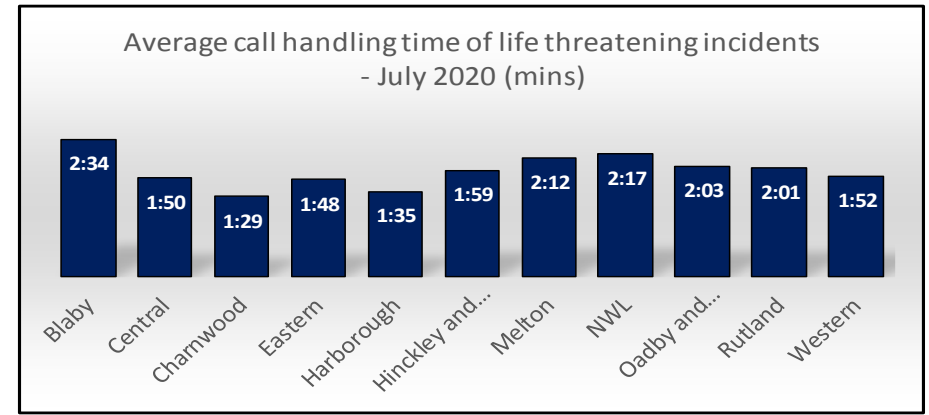
### Average response times of life threatening incidents

For July, the total average response time to life threatening incidents was 10 minutes 25 seconds.



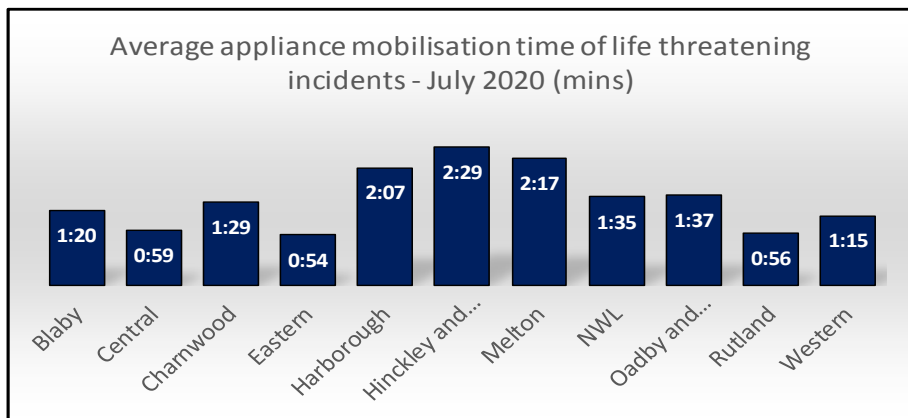
### Average call handling time

For July, the total average call handling time to life threatening incidents was 1 minute 57 seconds.



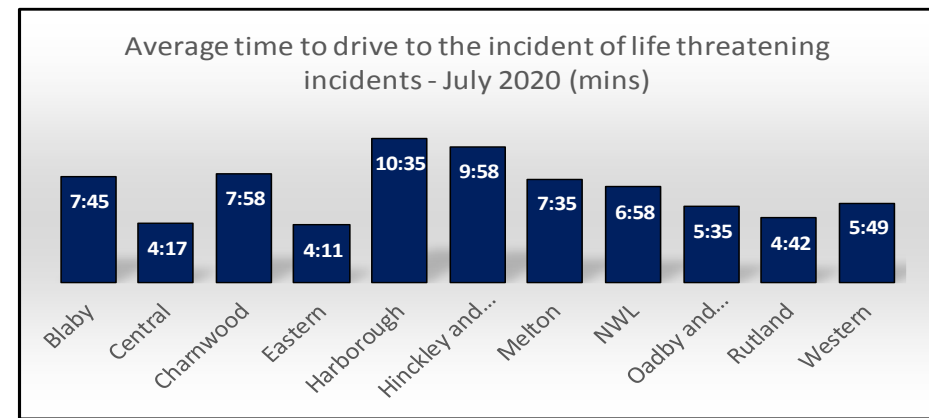
### Average appliance mobilisation times

For July, the total average appliance mobilisation time to life threatening incidents was 1 minute 32 seconds.



### Average time to drive

For July, the total average time to drive to life threatening incidents was 6 minutes 56 seconds.



### **3.3 The total average response times of non-life threatening incidents – April to July 2020**

There have been 2288 incidents classed as non-life risk by Control April to July. This is 124 below last year’s total of 2412. The total average response time for the 2288 incidents was 9 minutes 57 seconds, compared to 9 minutes 44 seconds last year.

The 9 minutes 57 seconds can be broken down further:

Average call handling was 2 minutes 14 seconds, an increase of 4 seconds on last year’s time (2 minutes 10 seconds).

Average mobilisation time was 1 minute 41 seconds, an increase of 3 seconds on last year’s time (1 minute 38 seconds).

Average drive time was 6 minutes 2 seconds, an increase of 6 seconds on last year’s time (5 minutes 56 seconds).

Please note: There were a total of 2329 non-life risk incidents attended April to July, but 41 incidents have been excluded as per Home Office guidelines. Some examples of exclusions, are incidents with a total response time of less than a minute, or over an hour and any incident where any call handling, mobilisation time or drive time has a null value.

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	Apr to Jul 2020
3.3	The total average response times of non-life threatening incidents (mins)	8.53	7.53	8.43	12.19	11.24	8.45	10.59	10.58	9.40	11.25	11.42	9.57
a	Average call handling time	2.36	1.55	2.12	2.11	1.55	2.25	2.15	2.07	2.08	2.38	2.17	2.14
b	Average appliance mobilisation time	1.29	1.13	1.17	2.28	2.33	1.31	1.56	1.33	1.33	1.53	2.12	1.41
c	Average time to drive to the incident	4.48	4.45	5.14	7.40	6.56	4.49	6.48	7.18	5.59	6.54	7.13	6.02
d	Number of non-life threatening incidents attended	214	303	378	170	111	88	100	153	340	199	232	2288

#### **July 2020**

There have been 525 incidents classed as non-life risk by Control in July. This is 48 less than June (573).

The total average response time for the 525 incidents was 9 minutes 48 seconds, compared to 10 minutes 13 seconds in June.

The 9 minutes 48 seconds can be broken down further:

Average call handling was 2 minutes 4 seconds, a decrease of 20 seconds on the time in June (2 minutes 24 seconds).

Average mobilisation time was 1 minute 36 seconds, a decrease of 8 seconds on the time in June (1 minute 44 seconds).

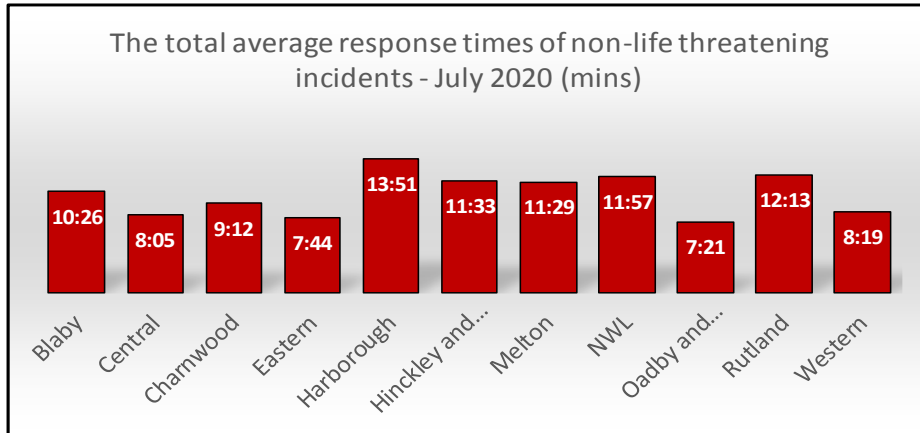
Average drive time was 6 minutes 8 seconds, an increase of 3 seconds on the time in June (6 minutes 5 seconds).

Currently no investigations are carried out.

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	July 2020
3.3	The total average response times of non-life threatening incidents (mins)	8.05	7.44	8.19	13.51	11.29	7.21	12.13	10.26	9.12	11.33	11.57	9.48
a	Average call handling time	1.56	1.44	2.00	2.47	1.59	1.40	2.24	1.48	1.46	2.57	2.19	2.04
b	Average appliance mobilisation time	1.15	1.15	1.13	2.36	2.21	1.23	2.17	1.27	1.24	1.35	2.04	1.36
c	Average time to drive to the incident	4.54	4.45	5.06	8.28	7.09	4.18	7.32	7.11	6.02	7.01	7.34	6.08
d	Number of non-life threatening incidents attended	48	72	90	36	32	18	18	38	77	41	55	525

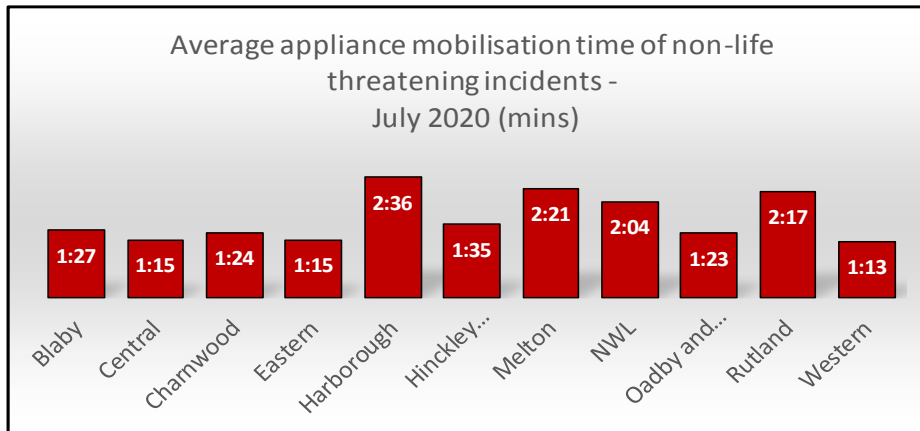
### Average response times of non-life threatening incidents

For July, the total average response time to non-life threatening incidents was 9 minutes 48 seconds.



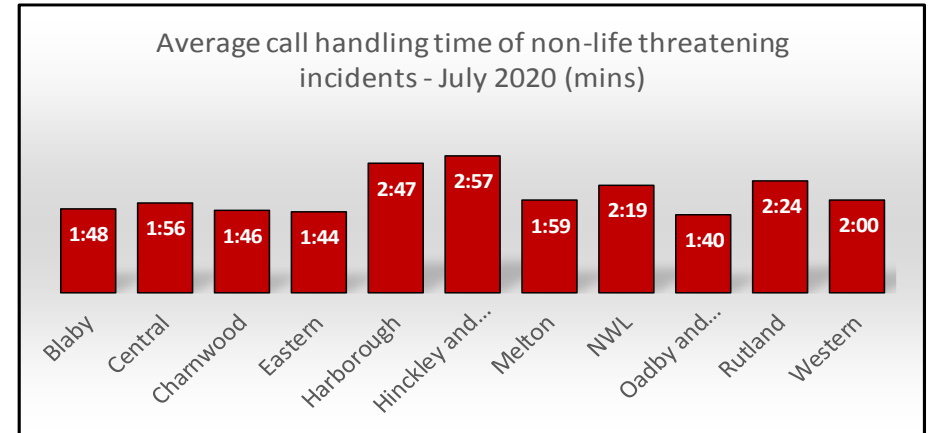
### Average appliance mobilisation times

For July, the total average appliance mobilisation time to non-life threatening incidents was 1 minute 36 seconds.



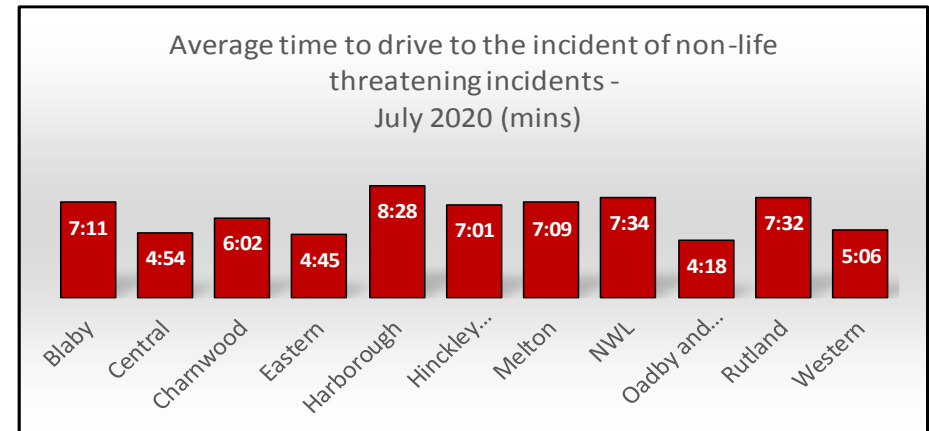
### Average call handling time

For July, the total average call handling time to non-life threatening incidents was 2 minutes 4 seconds.



### Average time to drive

For July, the total average time to drive to non-life threatening incidents was 6 minutes 8 seconds.



### **3.4 The total average response times to primary fires (as recorded by Home Office) – April to July 2020**

There were a total of 355 primary fires attended April to July, but 35 incidents have been excluded as per Home Office guidelines. So, the response time calculations for primary fires are based on 320 primary fires April to July. The total average response time for the 320 primary fires is 9 minutes 33 seconds, compared to 9 minutes 43 seconds last year.

The 9 minutes 33 seconds can be broken down further:

Average call handling was 1 minute 36 seconds, a reduction of 7 seconds on last year's time (1 minutes 43 seconds).

Average mobilisation time was 1 minute 35 seconds, a reduction of 4 seconds on last year's time (1 minute 39 seconds).

Average drive time was 6 minutes 22 seconds, an increase of 1 second on last year's time (6 minutes 21 seconds).

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	Apr to Jul 2020
3.3	The total average response times of primary fire incidents (mins)	8.56	7.00	7.53	13.48	12.23	7.51	10.35	8.40	8.18	10.07	11.06	9.33
a	Average call handling time	1.37	1.24	1.28	2.00	1.48	1.13	1.43	1.20	1.22	1.57	1.41	1.36
b	Average appliance mobilisation time	1.36	1.12	1.21	1.56	2.01	1.31	3.13	1.21	1.14	1.39	1.56	1.35
c	Average time to drive to the incident	5.43	4.24	5.04	9.52	8.34	5.07	5.39	5.59	5.42	6.31	7.29	6.22
d	Number of primary fire incidents attended	20	36	52	33	20	6	9	24	48	34	38	320

#### **July 2020**

There have been 69 primary fires in July. This is 17 less than June (86).

The total average response time for the 69 incidents was 10 minutes 10 seconds, compared to 10 minutes 0 seconds in June.

This 10 minutes 10 seconds can be broken down further:

Average call handling was 1 minute 39 seconds, an increase of 1 second on the time in June (1 minute 38 seconds).

Average mobilisation time was 1 minute 37 seconds, an increase of 11 seconds on the time in June (1 minute 26 seconds).

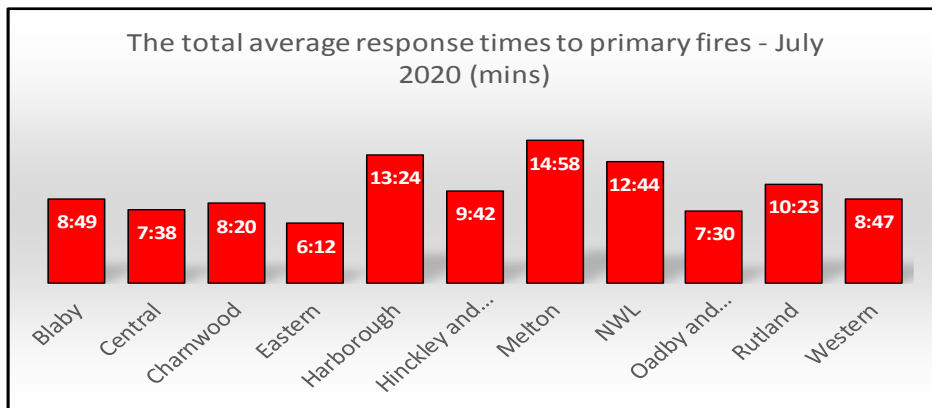
Average drive time was 6 minutes 54 seconds, a reduction of 2 seconds on the time in June (6 minutes 56 seconds).

Ref	Key Corporate Indicator	Cen	Eas	Wes	Har	Mel	Oad	Rut	Bla	Cha	Hin	NWL	July 2020
3.3	The total average response times of primary fire incidents (mins)	7.38	6.12	8.47	13.24	14.58	7.30	10.23	8.49	8.20	9.42	12.44	10.10
a	Average call handling time	1.26	1.17	1.28	2.16	1.36	1.07	1.10	1.16	1.03	2.17	2.05	1.39

b	Average appliance mobilisation time	1.15	1.02	1.39	2.07	2.09	0.56	1.47	0.59	1.04	1.35	2.20	1.37
c	Average time to drive to the incident	4.57	3.53	5.40	9.01	11.13	5.27	7.26	6.34	6.13	5.50	8.19	6.54
d	Number of primary fire incidents attended	4	4	10	10	4	3	3	4	10	8	9	69

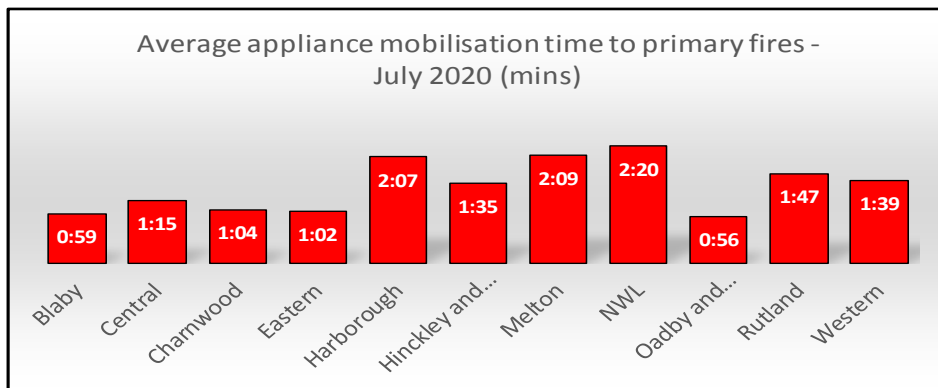
### Average response times to primary fires

For July, the total average response time to primary fires was 10 minutes 10 seconds.



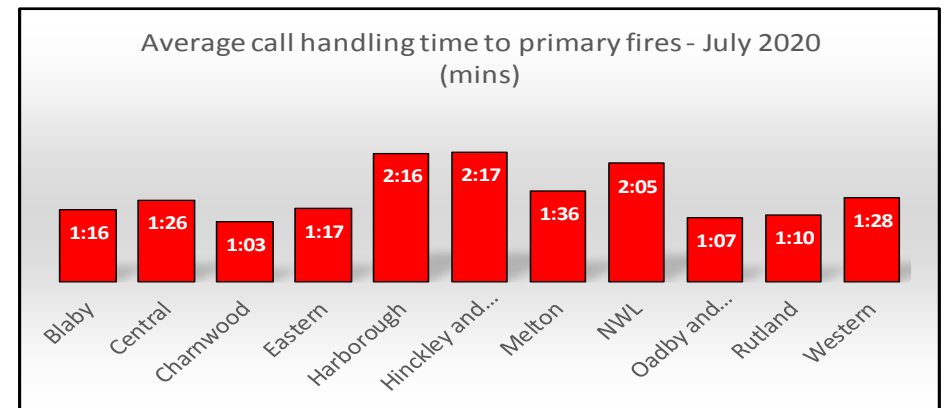
### Average appliance mobilisation times

For July, the total average appliance mobilisation time to primary fires was 1 minute 37 seconds.



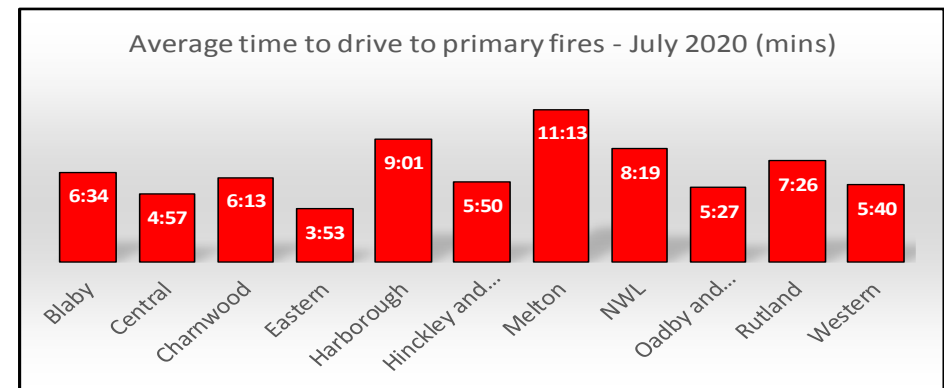
### Average call handling time

For July, the total average call handling time to primary fires was 1 minute 39 seconds.



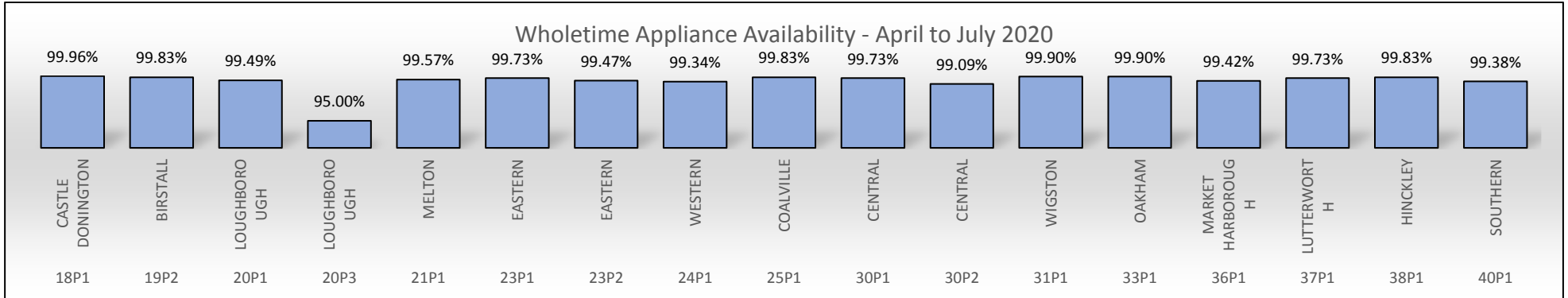
### Average time to drive

For July, the total average time to drive to primary fires was 6 minutes 54 seconds.



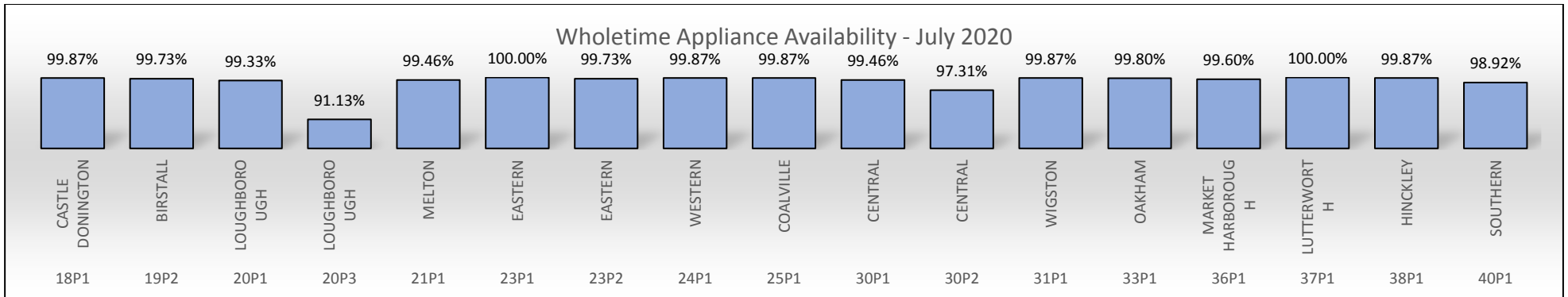
### 3.5 The % availability of Wholetime fire appliances – April to July 2020

For April to July, Wholetime fire appliances have been available 99.3% of the time due to crewing, an increase of 1.1% compared to the 3-year average (98.2%). Please note these figures are calculated based purely on the crew/skill availability held on the Systel Data Warehouse. Any unavailability due to mechanical reasons are not included.



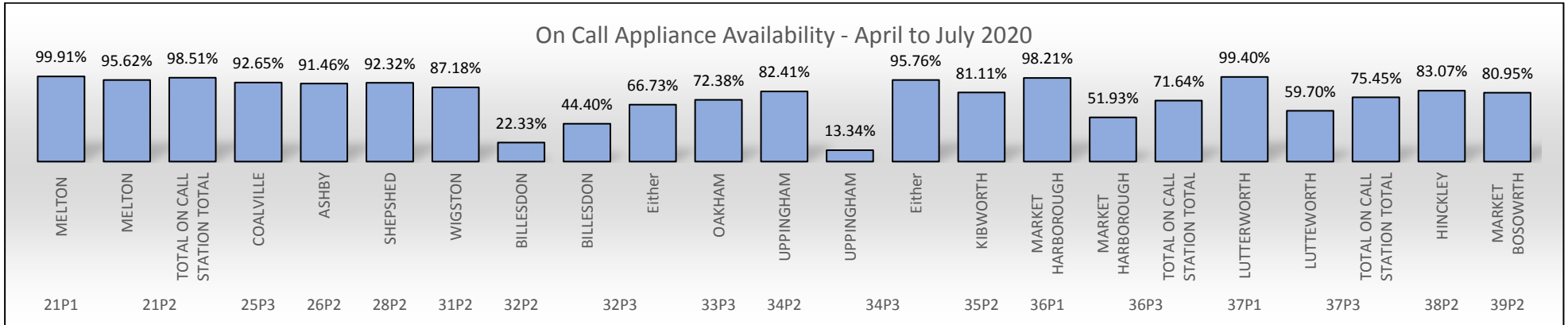
### July 2020

For July, Wholetime fire appliances have been available 99.0% of the time due to crewing, a decrease of 0.1% compared to June (99.1%).



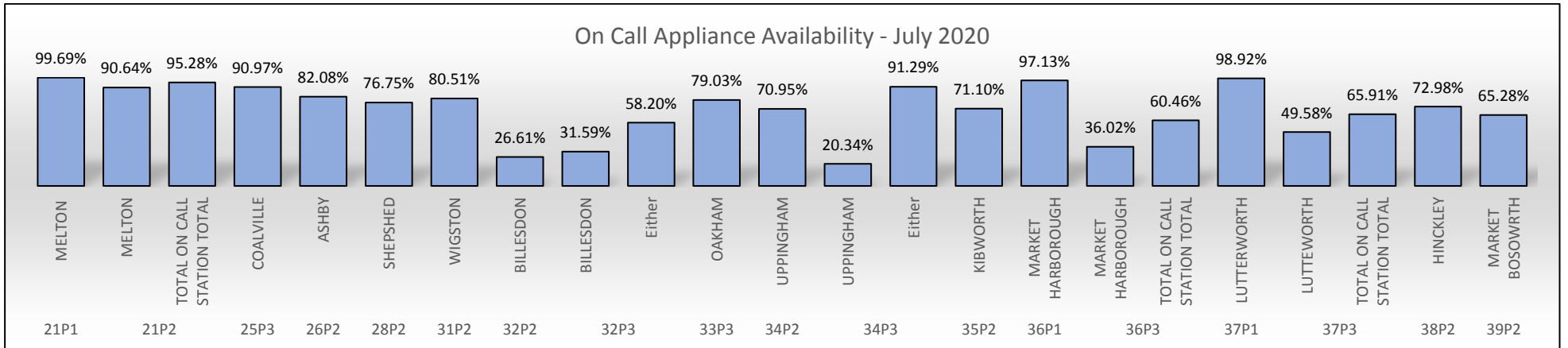
### 3.6 The % availability of On-Call fire appliances – April to July 2020

For April to July, On-Call fire appliances have been available 82.7% of the time due to crewing, an increase of 21.3% compared to the 3-year average (61.4%). Please note these figures are calculated based purely on the crew/skill availability held on the Systel Data Warehouse. Any unavailability due to mechanical reasons are not included. The effects of COVID 19 have had a dramatic increase on the availability of On-Call appliances for April to July 2020.



### July 2020

For July, On-Call fire appliances have been available 75.3% of the time due to crewing, a decrease of 7.8% compared to June (83.1%).





### **3.7 The % of people overall satisfied with our response – April to July 2020**

We have received 65 public responses to our After the Incident Survey April to July. 100% of people responding to the survey stated that they are 'satisfied' with the overall service they received from Leicestershire Fire and Rescue Service. This is exactly the same as the previous year figure of 100%. The survey in this format is new and has only been running for the past year.

#### **July 2020**

For July, we have received 18 responses to our After the Incident Survey, which is 5 more than we have received in June (13).

### **3.7a The % of people satisfied with their initial contact with the service – April to July 2020**

We have received 35 public responses to this question in our After the Incident Survey April to July. 100% of people responding to the survey stated that they are 'satisfied' with the initial contact when they called Leicestershire Fire and Rescue Service. This is exactly the same as the previous year figure of 100%.

#### **July 2020**

For July, we have received 11 responses to this question in our After the Incident Survey, which is 5 more than we have received in June (6).

### **3.7b The % of people satisfied with the service they received at the scene – April to July 2020**

We have received 64 public responses to this question in our After the Incident Survey for April to July. 100% of people responding to the survey have stated that they are 'satisfied' with the service they received at the scene from Leicestershire Fire and Rescue Service. This is exactly the same as the previous year figure of 100%.

#### **July 2020**

For July, we have received 18 responses to this question in our After the Incident Survey, which is 5 more than we have received in June (13).

#### 4.1 Home safety checks – April to July 2020

The reduction in the current numbers has again been impacted by COVID 19 and have resulted in new ways of working, as the service has not been able to carry out home safety checks as it has done previously. The number of home safety checks include the number of successful gain entry, successful advice no entry and follow ups.

There have been 1713 home safety checks April to July. This is 742 less than the 3-year average of 2455. The previous year shows there were 2263 home safety checks completed during the same period.

The 1713 home safety checks can be broken down further:

Successful gain entry 184, a decrease of 1874 home safety checks on last year's (2058).

Successful advice no entry 1219, an increase of 1065 home safety checks on last year's (154).

Follow ups 310, an increase of 259 home safety checks on last year's (51).

Ref	Key Corporate Indicator	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr to Jul 2020
4.1	Home safety checks	446	277	483	507									1713
a	Successful gain entry	32	42	55	55									184
b	Successful advice no entry	328	196	347	348									1219
c	Follow ups	86	39	81	104									310

The number of home safety checks are carried out by stations, community safety educators and partners.

The 1713 home safety checks can be broken down further:

Stations 417, a decrease of 555 home safety checks on last year's (972).

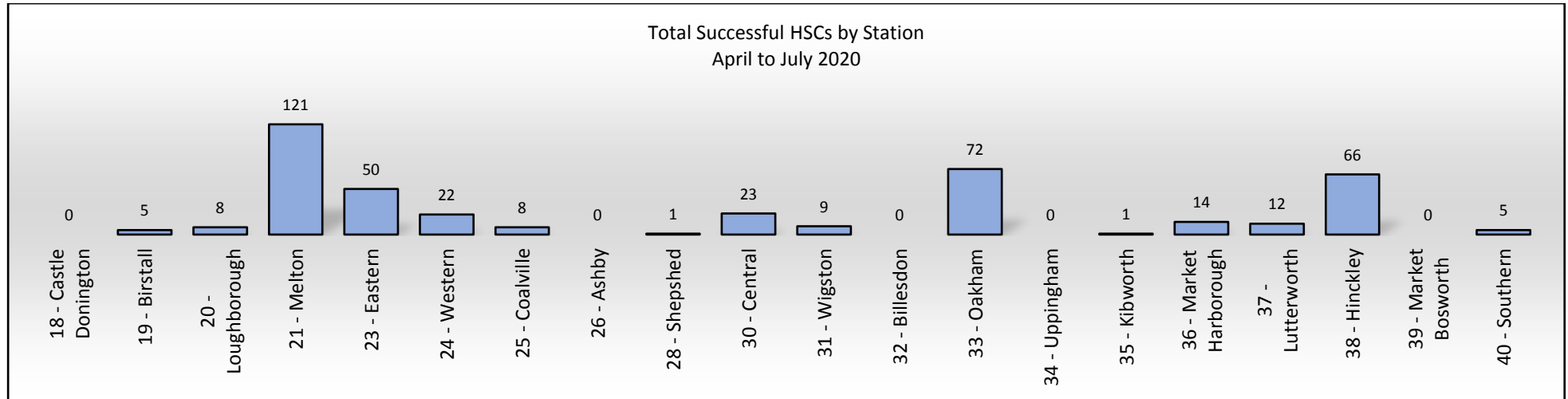
Community safety educators 1283, an increase of 147 home safety checks on last year's (1136).

Partners 13, a decrease of 142 home safety checks on last year's (155).

Ref	Key Corporate Indicator	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr to Jul 2020
4.1	Home safety checks	446	277	483	507									1713
a	Stations	39	38	176	164									417
b	CSE	407	237	296	343									1283

c	Partners data	0	2	11	0									13
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The 417 home safety checks carried out April to July 2020 by stations are shown below.



### July 2020

For July, there were 507 home safety checks, which is 24 more than June (483).

Of the 507, there were 55 successful gain entry. 348 successful advice no entry and 104 follow ups. There were 164 carried out by stations, 343 carried out by community safety educators and none by partners.

### 4.2 Home safety feedback surveys – April to July 2020

There have been 677 home safety feedback surveys April to July. This is a new indicator, which has only very recently started.

Of the 677 surveys, 569 were first visits and 108 were repeat visits. Of the 569 first visits, 99.8% were satisfied (1 person wasn't satisfied) and of the 108 repeat visits, 100% were satisfied.

## July 2020

For July, we have received 136 home safety feedback surveys, which is 25 less than in June (161). Of this, 84 were first visits in July, which is 61 less than in June (145) and 52 were repeat visits in July, which is 36 more than in June (16). 100% were satisfied.

### **5.1 The % of fire safety audits that result in action plans and enforcement notices – April to July 2020**

There have been 58 fire safety audits carried out April to July and there have been 5 action plans or enforcement notices. The number of fire safety audits carried out is 75 less than the 3-year average of 133 and the number of action plans or enforcement notices is 34 less than the 3-year average of 39. This has been as a result of COVID 19. For this reason, the Fire Protection Department continue to progress enforcement activity by contacting the responsible person for the premise via telephone to discuss and offer guidance to resolve any previously identified issues.

The Fire Protection Department are conducting 'virtual audits' by contacting the most 'high risk' premise via telephone to offer advice and guidance. The responsible person for the premise is asked to submit relevant documentation electronically if possible to support the virtual audit. There will also be a date booked to carry out a confirmation audit in the future in person, arranged at the time of the virtual audit.

## July 2020

For July, there were 38 fire safety audits carried out, which is 25 more than in June (13). There were 5 action plans or enforcement notices, which are the first action plans and enforcement notices of the year.

### **5.2 Fire protection Survey – Overall how satisfied were you with the service received – April to July 2020**

There have been 14 surveys received April to July and they were all satisfied with the service they have received. As mentioned previously, at present, we only send the survey form to people after a fire safety audit has been completed and as such, there are very few returns at present due to audits not being carried out due to COVID 19. We will be looking in the future to move to the new snap survey rather than survey monkey, which will hopefully give a greater number of returns and will be available to a wider selection of the community to whom we have engagement with.

## July 2020

For July, there were 9 surveys received and they were all satisfied with the service they have received, which is 7 more than in June (2).

## **6.1 Average number of days/shifts lost to sickness by operational staff per person – April to June 2020**

An average of 1.07 days/shifts per person were lost to sickness by operational staff during April to June, compared to the 3-year average of 1.25 days/shifts lost per person. In total, there have been 403.96 days/shifts lost to sickness, compared to the 3-year average of 465.68 days/shifts lost.

The 403.96 days/shifts lost April to June can be broken down further:

90.94 short term days/shifts lost, a reduction of 42.88 days/shifts lost compared to the 3-year average of 133.82 days/shifts lost.

313.02 long term days/shifts lost, a reduction of 18.84 days/shifts lost compared the 3-year average of 331.86 days/shifts lost.

The result of COVID 19 has also had an impact on sickness. If you include this data, an average of 1.77 days/shifts would be lost by operational staff during April to June. In total, there have been 263.86 days/shifts lost to COVID 19 during this period. In respect of operational staff, although the ability to work from home has been significantly more challenging, a number of personnel have been able to do so, and as such it would be impossible to consider the COVID 19 information as lost shifts in its purest sense. It would however, be pertinent to view this figure as the amount of operational shifts impacted, which does have a direct correlation with crewing/resilience requirements during the period. A full detailed report on sickness and reasons for sickness has been produced.

## April to June 2020

Location	Wholetime Sickness - Apr - Jun 2020					Wholetime Sickness including COVID 19 - Apr - Jun 2020				
	Short Term Sickness Days/Shifts Lost	Long Term Sickness Days/Shifts Lost	Total Sickness Days/Shifts Lost	Average FTE	Average No of Days/Shifts Lost per person	Total Sickness Days/Shifts Lost	Total Sickness Days/Shifts Lost to COVID 19	Total Sickness Days/Shifts Lost	Average FTE	Average No of Days/Shifts Lost per person
20 - Loughborough	18.00	48.00	66.00	34.00	1.94	66.00	18.00	84.00	34.00	2.47
23 - Eastern	19.50	28.00	47.50	42.33	1.12	47.50	13.50	61.00	42.33	1.44
24 - Western	3.00	35.00	38.00	23.00	1.65	38.00	23.00	61.00	23.00	2.65
30 - Central	3.00	0.00	3.00	39.33	0.08	3.00	38.50	41.50	39.33	1.06
40 - Southern	10.00	10.00	20.00	28.00	0.71	20.00	45.00	65.00	28.00	2.32
<b>Total</b>	<b>53.50</b>	<b>121.00</b>	<b>174.50</b>	<b>166.67</b>	<b>1.05</b>	<b>174.50</b>	<b>138.00</b>	<b>312.50</b>	<b>166.67</b>	<b>1.88</b>
<b>DC</b>										
21 - Melton	0.00	29.89	29.89	11.00	2.72	29.89	0.00	29.89	11.00	2.72
36 - Market Harborough	4.50	22.72	27.22	11.50	2.37	27.22	1.89	29.11	11.50	2.53
37 - Lutterworth	0.64	0.00	0.64	11.00	0.06	0.64	10.34	10.98	11.00	1.00
<b>Total</b>	<b>5.14</b>	<b>52.61</b>	<b>57.75</b>	<b>33.50</b>	<b>1.72</b>	<b>57.75</b>	<b>12.23</b>	<b>69.98</b>	<b>33.50</b>	<b>2.09</b>
<b>DCP</b>										
18 - Castle Donington	0.00	0.00	0.00	12.00	0.00	0.00	4.41	4.41	12.00	0.37
19 - Birstall	2.67	0.00	2.67	12.00	0.22	2.67	33.47	36.14	12.00	3.01
25 - Coalville	0.00	0.00	0.00	11.67	0.00	0.00	16.39	16.39	11.67	1.40
31 - Wigston	0.90	19.05	19.95	11.00	1.81	19.95	25.68	45.63	11.00	4.15
33 - Oakham	9.14	29.20	38.34	14.00	2.74	38.34	0.00	38.34	14.00	2.74
38 - Hinckley	1.59	22.66	24.25	12.00	2.02	24.25	1.18	25.43	12.00	2.12
<b>Total</b>	<b>14.30</b>	<b>70.91</b>	<b>85.21</b>	<b>72.67</b>	<b>1.17</b>	<b>85.21</b>	<b>81.13</b>	<b>166.34</b>	<b>72.67</b>	<b>2.29</b>
<b>Control</b>	<b>14.00</b>	<b>44.00</b>	<b>58.00</b>	<b>26.00</b>	<b>2.23</b>	<b>58.00</b>	<b>24.50</b>	<b>82.50</b>	<b>26.00</b>	<b>3.17</b>
<b>Non Station</b>	<b>4.00</b>	<b>24.50</b>	<b>28.50</b>	<b>78.00</b>	<b>0.37</b>	<b>28.50</b>	<b>8.00</b>	<b>36.50</b>	<b>78.00</b>	<b>0.47</b>
<b>Total Operational</b>	<b>90.94</b>	<b>313.02</b>	<b>403.96</b>	<b>376.83</b>	<b>1.07</b>	<b>403.96</b>	<b>263.86</b>	<b>667.82</b>	<b>376.83</b>	<b>1.77</b>

### **6.2 Average number of days/shifts lost to sickness by support staff per person – April to June 2020**

An average of 1.44 days/shifts per person were lost to sickness by support staff during April to June, compared to the 3-year average of 1.95 days/shifts lost per person. In total, there have been 154.11 days/shifts lost to sickness, compared to the 3-year average of 213.40 days/shifts lost.

The 154.11 days/shifts lost April to June can be broken down further:

8.84 short term days/shifts lost, a reduction of 55.98 days/shifts lost compared to the 3-year average of 64.82 days/shifts lost.

145.27 long term days/shifts lost, a reduction of 3.31 days/shifts lost compared to the 3-year average of 148.58 days/shifts lost.

The result of COVID 19 has also had an impact on sickness. If you include this data, an average of 2.44 days/shifts would be lost by support staff during April to June. In total, there have been 107.47 days/shifts lost to COVID 19 during this period. However, for the most

part we know that support staff have maintained working from home when self-isolating. As such, COVID 19 should not be considered as part of lost shifts, more the impact of COVID on Service support staff, is simply identified by the total shifts affected. The loss (in productivity) would likely be minimal in comparison to natural 'shifts lost' data. A full detailed report on sickness and reasons for sickness has been produced.

### April to June 2020

Location	Support Sickness - Apr - Jun 2020					Support Sickness including COVID 19 - Apr - Jun 2020				
	Short Term Days/Shifts Lost	Long Term Days/Shifts Lost	Total Days Shifts/Lost	Average FTE	Average No of Days/Shifts Lost per person	Total Days Shifts/Lost	Total Sickness Days/Shifts Lost to COVID 19	Total Days Shifts/Lost	Average FTE	Average No of Days/Shifts Lost per person
<b>Business Support</b>						<small>Average No of Days/Shifts Lost per person</small>				
Area Manager	0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	1.00	0.00
Estates and Facilities	0.00	0.00	0.00	4.00	0.00	0.00	0.00	0.00	4.00	0.00
Finance	2.84	0.00	2.84	6.89	0.41	2.84	1.89	4.73	6.89	0.69
Information and Communication Technology	0.00	30.50	30.50	10.95	2.79	30.50	0.00	30.50	10.95	2.79
Service Support	0.00	0.00	0.00	12.29	0.00	0.00	14.00	14.00	12.29	1.14
<b>Total</b>	<b>2.84</b>	<b>30.50</b>	<b>33.34</b>	<b>35.13</b>	<b>0.95</b>	<b>33.34</b>	<b>15.89</b>	<b>49.23</b>	<b>35.13</b>	<b>1.40</b>
<b>People and Organisational Development</b>										
Area Manager *	0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	1.00	0.00
Human Resources	0.00	0.00	0.00	8.14	0.00	0.00	0.00	0.00	8.14	0.00
Learning and Development	0.00	36.27	36.27	10.07	3.60	36.27	2.50	38.77	10.07	3.85
Occupational Health	0.00	0.00	0.00	2.92	0.00	0.00	0.00	0.00	2.92	0.00
<b>Total</b>	<b>0.00</b>	<b>36.27</b>	<b>36.27</b>	<b>22.13</b>	<b>1.64</b>	<b>36.27</b>	<b>2.50</b>	<b>38.77</b>	<b>22.13</b>	<b>1.75</b>
<b>Community Risk</b>										
Emergency Planning and Resilience	0.00	0.00	0.00	2.00	0.00	0.00	0.00	0.00	2.00	0.00
Operational Risk	2.00	0.00	2.00	5.81	0.34	2.00	0.00	2.00	5.81	0.34
Safer Communities	2.00	78.50	80.50	17.99	4.47	80.50	82.00	162.50	17.99	9.03
<b>Total</b>	<b>4.00</b>	<b>78.50</b>	<b>82.50</b>	<b>25.80</b>	<b>3.20</b>	<b>82.50</b>	<b>82.00</b>	<b>164.50</b>	<b>25.80</b>	<b>6.38</b>
<b>Directors</b>										
Emergency Services Network Project Coordinator	0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	1.00	0.00
<b>Total</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>1.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>1.00</b>	<b>0.00</b>
<b>Operational Response</b>										
Station Support Staff	0.00	0.00	0.00	5.89	0.00	0.00	1.08	1.08	5.89	0.18
<b>Total</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>5.89</b>	<b>0.00</b>	<b>0.00</b>	<b>1.08</b>	<b>1.08</b>	<b>5.89</b>	<b>0.18</b>
<b>Service Assurance</b>										
Business Assurance	1.00	0.00	1.00	1.00	1.00	1.00	0.00	1.00	1.00	1.00
Corporate Communications	1.00	0.00	1.00	3.00	0.33	1.00	0.00	1.00	3.00	0.33
Information Governance	0.00	0.00	0.00	9.07	0.00	0.00	0.00	0.00	9.07	0.00
Planning and Performance Management	0.00	0.00	0.00	4.00	0.00	0.00	6.00	6.00	4.00	1.50
<b>Total</b>	<b>2.00</b>	<b>0.00</b>	<b>2.00</b>	<b>17.07</b>	<b>0.12</b>	<b>2.00</b>	<b>6.00</b>	<b>8.00</b>	<b>17.07</b>	<b>0.47</b>
<b>Service Delivery</b>										
Service Delivery - Fire Control	0.00	0.00	0.00	0.33	0.00	0.00	0.00	0.00	0.33	0.00
<b>Total</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.33</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.33</b>	<b>0.00</b>
<b>Total</b>	<b>8.84</b>	<b>145.27</b>	<b>154.11</b>	<b>107.34</b>	<b>1.44</b>	<b>154.11</b>	<b>107.47</b>	<b>261.58</b>	<b>107.34</b>	<b>2.44</b>

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### **6.3 Average number of staff on modified duties for the entire month – April to July 2020**

There have been on average, 5.75 members of staff that have been on modified duties for the entire month, per month April to July. This is 3.66 less than the 3-year average of 9.41.

The breakdown includes 2.50 from Wholetime, 3.00 from On-Call and 0.25 from Support.

#### **July 2020**

The breakdown of 9 members of staff on modified duties for the entire month in July:

- Wholetime – 5 – 2 Loughborough, 1 Control, 1 Western and 1 Market Harborough.
- On-Call – 4 - 3 Billesdon and 1 Melton.
- Support – 0.

### **6.4 Average number of staff on modified duties at some point throughout the month – April to July 2020**

There have been on average, 11.25 members of staff that have been on modified duties at some point throughout the month, per month April to July. This is 1.41 less than the 3-year average of 12.66.

The breakdown includes 8.25 from Wholetime, 2.50 from On-Call and 0.50 from Support.

#### **July 2020**

The breakdown of 3 members of staff on modified duties at some point throughout the month in July:

- Wholetime – 1 – Southern.
- On-Call – 2 - 1 Ashby and 1 Kibworth.
- Support – 0.



Status of Report: **Public**

Meeting: **Corporate Governance Committee**

Date: **16 September 2020**

Subject: **Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services Improvement Plan**

Report by: **The Chief Fire and Rescue Officer**

Author: **Station Manager Steve Kisby, Business Assurance**

For: **Information**

### **Purpose**

1. The purpose of this report is to inform the Corporate Governance Committee (CGC) of how the Service is progressing with the implementation of the Improvement Plan which was developed in response to the inspection report by Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS), following the report to the Committee at its meeting in March 2020.

### **Recommendation**

2. The Committee is recommended to note the progress of the Improvement Plan (attached as an appendix to the report).

### **Executive Summary**

3. The HMICFRS inspection was completed in November 2018, with the inspection report issued in June 2019 identifying 24 Areas for Improvement. In response, the Service has produced an Improvement Plan addressing these areas and 20 other identifiable comments from within the report that required attention. This Improvement Plan consists of a total of 88 actions for the Service to progress.
4. A report was presented to the CGC in March 2020 showing progress made against the Improvement Plan, in which 17 actions were completed. This report details progress to August 2020 and shows that 37 actions are complete. Work continues to complete the outstanding actions, with timelines being introduced to assist with monitoring progress. A further report to update on progress will be produced in March 2021.

### **Background**

5. Following the inspection in November 2018, HMICFRS produced a report in June 2019 detailing their findings which were focussed on 3 areas – effectiveness, efficiency and people. The Leicestershire Fire and Rescue Service was graded as 'Requires Improvement' in all 3 areas.

6. Within the report, HMICFRS have recommended that 24 'Areas for Improvement' (AFI) are considered. In addition to these, the Service found 20 other comments or observations contained within the report which require consideration. The Improvement Plan was produced to put in place actions to address the areas highlighted within the report. There are 88 actions in total.
7. The table below indicates the number of areas for improvement for each pillar and the number of actions within the Improvement Plan that require attention in total:

<b>Table showing Areas for Improvement and Actions to be Undertaken</b>		
<b>HMICFRS Pillar</b>	<b>Areas for Improvement</b>	<b>Actions to be undertaken</b>
Effectiveness	10	29
Efficiency	4	8
People	10	31
Other comments	N/A	20
<b>TOTAL</b>	<b>24</b>	<b>88</b>

8. Since the Improvement Plan was published in August 2019, the Service has been working hard to improve. The table below shows the position reported to CGC in **March 2020**:

<b>Table showing progress made by March 2020</b>				
<b>HMICFRS Pillar</b>	<b>Total actions</b>	<b>Actions in progress</b>	<b>Actions complete</b>	<b>Actions not started</b>
Effectiveness	29	26	3	0
Efficiency	8	6	2	0
People	31	22	6	3
Other comments	20	11	6	3
<b>TOTAL</b>	<b>88</b>	<b>65</b>	<b>17</b>	<b>6</b>

This compares to progress made as of **August 2020**:

<b>Table showing progress made by August 2020</b>				
<b>HMICFRS Pillar</b>	<b>Total actions</b>	<b>Actions in progress</b>	<b>Actions complete</b>	<b>Actions not started</b>
<b>Effectiveness</b>	<b>29</b>	<b>12</b>	<b>17</b>	<b>0</b>
<b>Efficiency</b>	<b>8</b>	<b>5</b>	<b>3</b>	<b>0</b>
<b>People</b>	<b>31</b>	<b>19</b>	<b>11</b>	<b>1</b>
<b>Other comments</b>	<b>20</b>	<b>12</b>	<b>6</b>	<b>2</b>
<b>TOTAL</b>	<b>88</b>	<b>48</b>	<b>37</b>	<b>3</b>

9. As the table for August 2020 shows, an additional 20 actions are complete. Please see below for a brief overview of how the Improvement Plan has progressed since March 2020:
- i. Training has taken place to ensure consistency in the delivery of Home Safety Checks (HSCs). How HSCs are prioritised has been reviewed.
  - ii. The Fire Safety department has carried out a review of how they will meet future demands. They have also trained operational crews to increase fire safety awareness.
  - iii. Operational crews understand the capacity of the Tactical Response Vehicles and how they are mobilised.
  - iv. All fire engines are now fitted with a demountable tablet that enhances the Service's capabilities to understand risk and assist incident commanders.
  - v. The understanding of Joint Emergency Services Interoperability Principles (JESIP) is now fully integrated throughout the Service.
  - vi. There has been a national review of Marauding Terror Attacks. This has culminated in the training of operational staff by specialist Service National Interagency Liaison Officers (NILOs).
  - vii. There has been a review of the allocation of resources and capacity of the Response, Prevention and Protection departments.
  - viii. There has been a Service-wide roll out of agreed Values and Behaviours. These are now widely embedded and understood by staff.

- ix. A review of the Health and Safety Department by Cambridgeshire Fire and Rescue Service has taken place. Plans are in place to adopt their recommendations.
  - x. There is a 5-year Equality, Diversity and Inclusion Plan now in place.
  - xi. A new promotions procedure has been implemented following engagement with staff and representative bodies. The Watch Manager process has been viewed as 'open, transparent and fair' by those who took part.
  - xii. The Operational Degradation procedure (the management of reduced number of fire engines) has been updated.
  - xiii. Representative bodies have stated that they are happy with their level of involvement in decision making.
10. There are many other areas of work in progress. Examples of actions near to completion include:
- i. The imminent publication of a health and wellbeing procedure. Staff are now trained to provide support to operational crews involved in traumatic incidents. Support for wellbeing is also readily available for all staff.
  - ii. A Learning Management System project is underway. This will see the introduction of a system that will record and view staff competence, training and appraisals.
  - iii. Work is underway on a Dignity at Work procedure. This is being undertaken in conjunction with Leicester City Council and is due for completion soon.
  - iv. Business Continuity Plans are being developed for all departments within the Service.
  - v. Collaboration activities with partners and other agencies is now being reviewed and evaluated.
11. The Service Liaison Officer (SLO) appointed by the Service is continuing to monitor overall progress. A timeline is currently being established for completion of all outstanding actions. This will be reported to the Senior Management Team (SMT) when complete.
12. The Improvement Plan Update was made available on the Service website in July 2020 and has been subject to widespread engagement with Service staff. Progress mentioned within this report has been made available to Service staff via presentations, social media and the internal magazine 'Service Matters'.

## Report Implications/Impact

### 13. Legal (including crime and disorder)

The HMICFRS inspection programme is the Governmental check that fire and rescue services are carrying out their statutory duties as laid out in the Fire and Rescue Services National Framework contained within the Fire and Rescue Services Act 2004. By embracing the inspection process and by detailing an Improvement Plan, we are committed to showing progress and diligence in its function in carrying out these duties.

### 14. Financial (including value for money, benefits and efficiencies)

The costs of delivering the Improvement Plan is factored into the agreed 2020-21 budget. Senior officers are responsible for improvements within their specific areas and any requirements for additional resources to deliver the Improvement Plan will need a business case to be created and approved by SMT.

### 15. Risk (including corporate and operational, health and safety and any impact on the continuity of service delivery)

There is reputational risk to the Service if it fails to achieve improvement in areas that are identified in the Improvement Plan. This could lead to negative media reporting and lower community confidence in the Service.

### 16. Staff, Service Users and Stakeholders (including the Equality Impact Assessment)

The actions contained within the Improvement Plan may require prioritisation against other work-streams. In some areas, it may increase workload for departments.

### 17. Environmental

None.

### 18. Impact upon Our Plan Objective

Delivery of the Improvement Plan will positively contribute towards the aims and objectives of Our Plan 2020-24.

## **Background Papers**

Report to the Corporate Governance Committee March 2020 - HMICFRS  
Improvement Action Plan.

<https://leics-fire.gov.uk/your-fire-service/decision-making/cfa-meetings/>

## **Appendix**

Improvement Plan Update August 2020

## **Officers to Contact**

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# HMICFRS Improvement Plan

## Progress Update - August 2020



# HMICFRS Improvement Plan

## Effectiveness: Preventing fires and other risks

Area for improvement:		Background information:
Ref No.E1		The report identified that only our Community Educators are trained to carry out 'Safe and Well' checks in people's homes. These checks include social welfare, wellbeing and advice on security, as well as fire safety in the home. HMICFRS would like all staff who carry out Home Safety Checks to now be trained in, and deliver 'Safe & Well' checks.
'The Service should make sure it appropriately trains staff to undertake prevention activity'		
Ref:	Action:	Achievements:
E1.1	There will be a review of the Home Safety Check (HSC) policy and associated procedures.	<ul style="list-style-type: none"> <li>Vulnerable person module established</li> <li>Draft HSC procedure ready for approval</li> </ul>
E1.2	'Maximising capacity' training has taken place with the majority of crews. However, a continuing training programme to ensure all staff have the skills to deliver 'Safe and Well' Home Safety Checks is needed. All relevant staff will be trained by the end of 2019.	<ul style="list-style-type: none"> <li>Max Cap training delivered to all Whole-time and On Call firefighters</li> <li>Training presentation delivered to non station staff</li> </ul>
E1.3	The database that we use to prioritise our HSCs will be reviewed to ensure that it is 'fit for purpose' for the Safe and Well visits. Once reviewed, any changes will be adopted and appropriate training will be given. It is expected that this work will be completed by November 2019.	<ul style="list-style-type: none"> <li>Principles to prioritise HSC agreed</li> <li>Revised HSC questionnaire established</li> </ul>
E1.4	An assurance process will be put in place that demonstrates continued and consistent outcomes are maintained by all staff who deliver HSCs.	<ul style="list-style-type: none"> <li>Quality Assurance (QA) form created supporting Community Educators to assess crews</li> <li>Commenced QA of telephone based HSC</li> </ul>
E1.5	A review of the approach of Disclosure and Barring Service (DBS) checks on our staff will ensure that our Service, staff members and vulnerable people are offered an appropriate level of protection.	<ul style="list-style-type: none"> <li>New employees are subject to DBS checks</li> <li>Staff working with vulnerable people are subject to enhanced checks</li> <li>Awaiting NFCC guidance</li> </ul>

**Strategic Lead:** Area Manager Community Risk



# HMICFRS Improvement Plan

## Effectiveness: Preventing fires and other risks

Area for improvement:	Background information:
<p><b>Ref No.E2</b></p> <p>'The Service should better evaluate its prevention work, so it has a clearer understanding of the benefits'</p>	<p>The report from HMICFRS recognises the valuable prevention work that we carry out. They mention many prevention activities that our staff are involved with on a regular basis. These include initiatives like Fatal 4, Biker Down, and Fire-Beat and also includes the work we do with our diverse communities. They would like us to evaluate our prevention work more, to help us to understand how effective these activities are.</p>

Ref	Action:	Achievements:
E2.1	A team will be established to identify a preferred option for a tool that allows us to evaluate our Community Safety activities. This will be a survey tool that allows the Service to monitor public opinion at all community events and Home Safety Checks. Staff will be trained to use this tool and it will be embedded in all Community Safety activities.	<ul style="list-style-type: none"> <li>• Survey project complete</li> <li>• Evaluation work commenced using identified survey tool</li> </ul>
E2.2	The Service will review how it evaluates its Community Safety activities by looking at behaviour change, targeting risk and service user satisfaction. This information will be used for future plans.	<ul style="list-style-type: none"> <li>• Staff shown how to use survey to evaluate HSC activities</li> </ul>

**Strategic Lead:** Area Manager Community Risk

# HMICFRS Improvement Plan

## Effectiveness: Protecting the public through fire regulation

### Area for improvement:

### Background information:

#### Ref No.E3

'The Service should ensure it allocates enough resources to a prioritised and risk based inspection programme'

HMICFRS recognised that we take a targeted, risk based approach to inspect high risk premises within the Service area. Examples of high risk premises includes sleeping risks such as care homes, hotels and high rise flats. The Service is not on schedule to meet all those premises it has targeted. HMICFRS have asked that we ensure we allocate resources to address this.

Ref	Action:	Achievements:
E3.1	Policies and procedures affecting this area will be reviewed and updated. This includes such items as the Fire Safety Audit procedure and the Enforcement procedure.	<ul style="list-style-type: none"> <li>Draft Fire Safety Policy and Licencing Procedure awaiting approval</li> </ul>
E3.2	<p>Concluding in October 2019 there will be a review of work activities of the Fire Protection (FP) team to ensure they are working effectively and efficiently. This will include a review of how we manage:</p> <ul style="list-style-type: none"> <li>Building regulations</li> <li>Fire Safety audits</li> <li>Primary Authority scheme</li> <li>Day duty officer roles</li> </ul> <p>Following evaluation, any changes will be embedded within the FP department.</p>	<ul style="list-style-type: none"> <li>Review of Fire Protection work activities complete</li> <li>Identified improvements established</li> </ul>
E3.3	There will be a review of the size of the Fire Protection team with a clear rationale on what resources are required.	<ul style="list-style-type: none"> <li>Risk and Resource Methodology produced and agreed by senior management</li> </ul>
E3.4	We will develop an approach to train relevant staff outside of the Fire Protection department. This will allow us to maintain an appropriate risk based inspection programme and this work will also support the departmental succession plan.	<ul style="list-style-type: none"> <li>All operational staff have received Fire Protection input</li> <li>Level 3 Fire Protection course being delivered to station based staff</li> </ul>

**Strategic Lead:** Area Manager Community Risk

# HMICFRS Improvement Plan

## Effectiveness: Protecting the public through fire regulation

### Area for improvement:

### Background information:

#### Ref No.E4

'The Service should ensure its staff work with local businesses to share information and expectations on compliance with fire safety regulations'

At present, the Service works with local businesses and organisations to help educate in fire regulations compliance. It does this through, for example, the Better Business for All, fire safety education following Grenfell and the Leicester and Leicestershire Enterprise Partnership. The report states that HMICFRS would like us to extend our work in this area, taking a more pro-active approach to educate businesses.

Ref	Action:	Achievements:
E4.1	<p>We will develop an engagement approach to interact with businesses. This approach will consider:</p> <ul style="list-style-type: none"> <li>Planned events calendar</li> <li>Business seminars</li> <li>Social media interaction which will include promotion of fire safety along with encouraging economic growth</li> </ul>	<ul style="list-style-type: none"> <li>Success of Fire Protection social media output examined using Facebook and twitter analytics</li> </ul>
E4.2	<p>We will look at 'maximising capacity' with specific fire crews, training them to enable them to give advice on compliance with appropriate fire safety regulations for businesses.</p>	<ul style="list-style-type: none"> <li>Operational staff have received Fire Protection input</li> <li>Level 3 Fire Protection course being delivered to station based staff</li> </ul>

**Strategic Lead:** Area Manager Community Risk

# HMICFRS Improvement Plan

## Effectiveness: Protecting the public through fire regulation

### Area for improvement:

### Background information:

#### Ref No.E5

'The Service should ensure it has an effective system in place to address repeat false alarms'

The report from HMICFRS recognises the burden on the Service caused by false alarms. Currently, the Service has seen a 48% reduction of false alarms since 2011/12 which is the third best percentage reduction in the country. The report has asked that we continue to try to identify ways to further challenge and reduce false alarms.

Ref	Action:	Achievements:
E5.1	The procedure that is currently in place for addressing repeat false alarms will be reviewed to ensure that they are fit for purpose. This will indicate areas of responsibility for identifying repeat offenders and monitoring them. It will also ensure that appropriate actions to tackle repeat 'offenders' are delegated accordingly to departments (Operational Risk, Response).	<ul style="list-style-type: none"> <li>Review shows the effectiveness of call challenging by Fire Control</li> </ul>
E5.2	Response teams (fire crews) will also receive training which will allow them to give suitable fire safety advice to help reduce unwanted fire signals.	<ul style="list-style-type: none"> <li>Operational staff have received Fire Protection input</li> </ul>

**Strategic Lead:** Area Manager Community Risk

# HMICFRS Improvement Plan

## Effectiveness: Responding to fires and other emergencies

Area for improvement:	Background information:
<b>Ref No.E6</b> 'The Service should have a clear policy around the deployment of its Tactical Response Vehicles'	The report recognised that the Service has new Tactical Response Vehicles (TRVs) available. These can be crewed with two firefighters and can be sent by the Fire Control Operators to deal with smaller incidents or as an additional resource at larger incidents. HMICFRS state that some staff may be unsure of when it is appropriate to send a TRV and have asked that we ensure our staff are aware at what incidents TRVs are appropriate.

Ref	Action:	Achievements:
E6.1	Revise the mobilising protocols and Service procedure for Tactical Response Vehicles and communicate across the Service.	<ul style="list-style-type: none"> <li>• TRV mobilising protocols reviewed</li> <li>• Revised TRV mobilising protocols communicated to staff</li> </ul>
E6.2	An online presentation is being prepared to re-familiarise all staff with these vehicles. It will be necessary for all operational staff to view this. The presentation will also cover how the TRV is mobilised and it will detail the type of incidents that it attends. The newer TRVs will then be on request to visit each Watch/Station, for refresher training on the vehicles. The presentation will be available on SharePoint (Service Intranet) and Service Matters (Service Newsletter). Crews will then submit a training return (TNG2) as proof that they have received the information.	<ul style="list-style-type: none"> <li>• On line presentation created and delivered</li> <li>• Presentation delivered to staff through internal communication channels</li> </ul>
E6.3	The training return will be evaluated after six months, to ensure understanding.	<ul style="list-style-type: none"> <li>• Training return produced to show completion of training in February 2020</li> <li>• District Managers tasked to check understanding</li> </ul>

**Strategic Lead:** Area Manager Operational Response

# HMICFRS Improvement Plan

## Effectiveness: Responding to fires and other emergencies

### Area for improvement:

### Background information:

#### Ref No.E7

'The Service should ensure staff know how to command fire service assets assertively, effectively and safely at incidents'

At every incident that we attend, an incident commander is appointed. They will often be overseen by a further officer of a higher rank, who carries out 'Operational Performance Monitoring', ensuring compliance with current best practice. Some of our managers have not received refresher training or re-assessment in incident command. The report suggests that we addresses this.

### Ref

### Action:

### Achievements:

E7.1

See area for Improvement P5. All incident commanders are now fully trained and have been assessed to the current standard. A process is in place to ensure continued professional development and a programme set up that will see re-assessment every two years for those at Level 1,2,3 incident command.

- All incident commanders have been re-assessed
- A programme to assess incident commanders every 2 years is in place
- A schedule enabling incident commanders to attend a development day each year is established
- Level 3 and 4 incident commanders are programmed in to attend multi agency exercises

E7.2

The Operational Performance Monitoring process and form that is completed following incidents will be reviewed to ensure learning from incidents is captured.

- Plan to review Operational Assurance processes (including Operational Performance Monitoring) agreed

**Strategic Lead:** Area Manager People and Organisational Development

# HMICFRS Improvement Plan

## Effectiveness: Responding to fires and other emergencies

### Area for improvement:

### Background information:

#### Ref No.E8

'The Service should ensure its mobile data terminals are reliable so that firefighters have good access to relevant and up-to-date risk information'

All fire appliances are equipped with a mobile data terminal (MDT) that allows crews to access valuable risk information about buildings, procedures and plans that are essential when managing an incident. Sometimes, as with all technology, an individual screen can freeze and need to be reset. The report from HMICFRS identified that the we need to ensure these MDTs are reliable.

Ref	Action:	Achievements:
E8.1	The Mobile Data Terminals (MDTs) are subject to improvements in the future. This is an on-going work stream which will see an upgrade of MDTs, which should improve their performance.	<ul style="list-style-type: none"> <li>A demountable tablet is now installed on every fire engine delivering enhancements and resilience to the existing MDTs</li> </ul>
E8.2	The Service intends to install mobile devices on each fire appliance. These devices will have the majority of information that is available on the MDTs at present. It will give up-to-date mapping, site specific risk information, operational procedures as well as forms and guidance for crews. The devices will be on a 4G connection and serve as a back up to the MDTs.	<ul style="list-style-type: none"> <li>Functional, secure, demountable tablets are now installed on every fire engine containing relevant information to assist incident commanders manage emergency incidents</li> </ul>

**Strategic Lead:** Area Manager Operational Response

# HMICFRS Improvement Plan

## Effectiveness: Responding to National risks

### Area for improvement:

### Background information:

#### Ref No.E9

'The Service should ensure it is well prepared to form part of a multi-agency response to an incident and staff know how to apply Joint Emergency Services Interoperability Principles'

In responding to major incidents, often the Service works in conjunction with other Emergency Services and partner agencies. There is a protocol for this known as the Joint Emergency Services Interoperability Principle (JESIP). This sets out best practice guidelines for us all, to ensure that we all work together to resolve the incident. The report has found that some incident commanders require refresher training on JESIP, to ensure that they fully understand the principles involved.

Ref	Action:	Achievements:
E9.1	There is a review of the current provision of Incident Command training which will incorporate JESIP training that is applicable to all operational staff. A presentation is available from the JESIP website which will be used as refresher training for all operational staff. This will be recorded as an Electronic Personal Development Record (EPDR) on the Firewatch system, with a frequency requirement. It will allow managers to run a report to ensure that all relevant personnel are competent in current procedures.	<ul style="list-style-type: none"> <li>• Presentation delivered to all operational staff</li> <li>• JESIP material disseminated through internal communication channels</li> </ul>
E9.2	The Joint Decision Making (JDM) model has now been adopted by the Service. All incident command training now focuses on this model. Command wallet inserts have been updated to reflect this. District Managers will ensure that all relevant staff have updated the wallet contents.	<ul style="list-style-type: none"> <li>• Command wallets updated and checked by District Managers</li> <li>• JESIP posters on station</li> <li>• Incident command training includes JESIP</li> </ul>
E9.3	JESIP principles are taught at all levels of incident command training. This is an integral part of command training and is tested as part of our assessment process at all levels.	<ul style="list-style-type: none"> <li>• Incident command workbooks include JESIP</li> <li>• Crew Manager development portfolios include JESIP</li> <li>• Incident command re-validation includes JESIP</li> </ul>

**Strategic Lead:** Area Manager Operational Response



# HMICFRS Improvement Plan

## Effectiveness: Responding to National risks

Area for improvement:	Background information:
<p><b>Ref No.E10</b></p> <p>'The Service should ensure it is well prepared to form part of a multi- agency response to a terrorist-related and that its procedures for responding are understood by all staff and are well tested'</p>	<p>The Service has a standard operating procedure (SOP) for dealing with a Marauding Terrorist Firearms Active Shooter (MTFA). We also have officers that are specially trained to liaise with the Police, in case of such an event. The report recognised that the Service needs to ensure that all staff understand their duties with regards to Marauding Terrorist Attack (MTA) and that they are tested in these.</p>

Ref	Action:	Achievements:
E10.1	Officers and middle managers have been appraised of new protocols during an in-house presentation. Updated principles and working practices will be delivered through the National Inter-Agency Liaison Officers (NILO's).	<ul style="list-style-type: none"> <li>• MTA presentation delivered by NILOs to middle and senior managers and officers</li> </ul>
E10.2	Standard operating procedure 7.12.2 Firearms Active Shooter will be replaced with MTA procedure.	<ul style="list-style-type: none"> <li>• Operational Information Note produced on MTA</li> <li>• Service Specific procedure in place for NILO deployment</li> <li>• Material disseminated through internal communication channels</li> </ul>
E10.3	Training in MTA will be cascaded to all operational personnel via online videos.	<ul style="list-style-type: none"> <li>• Videos available online for staff</li> <li>• Monitoring progress of staff completion</li> </ul>
E10.4	We will work in collaboration with our partners to test the MTA procedures at multi-agency levels.	<ul style="list-style-type: none"> <li>• Tactical and Strategic desktop exercises being held during Incident Command training</li> </ul>

**Strategic Lead:** Area Manager Operational Response

# HMICFRS Improvement Plan

## Efficiency: Making the best use of resources

### Area for improvement:

### Background information:

#### Ref No.F1

'The Service needs to show a clear rationale for the resources allocated between prevention, protection and response activities'

HMICFRS are satisfied that the Service manages its budget and that it has 'robust and realistic' financial plans in place to manage its overall resources. However, they have asked the Service to consider how it allocates its resources between its core duties.

### Ref

### Action:

### Achievements:

F1.1

A review of the allocation of resource and/or capacity of both Fire Protection and Fire Prevention departments will be carried out. This will identify what resources are required for each and why. A directorate plan will then be produced that will run in line with the Service Integrated Risk Management Plan (IRMP).

- A Risk and Resource Methodology for Response, Protection and Prevention document has been produced and agreed by senior managers

**Strategic Lead:** Assistant Chief Fire and Rescue Officer Service Delivery

# HMICFRS Improvement Plan

## Efficiency: Making the best use of resources

Area for improvement:	Background information:
Ref No.F2	The Service collaborates in many areas. As examples, we share our buildings, have Tri-Service Fire Control (with Derby and Nottingham Fire Services) and work within the community with such projects as Braunstone Blues with the Police and Ambulance. HMICFRS would like us to monitor and evaluate the benefits of this collaboration.
'The Service should ensure there is effective monitoring, review and evaluation of the benefits and outcomes of any collaboration'	

Ref	Action:	Achievements:
F2.1	All areas of collaboration by each department within the Service will be listed on the Other Agencies Collaboration Sharepoint site. This identifies a Strategic Lead and also a Tactical Lead responsible for each area of Collaboration. Each area of Collaboration will be reviewed by the Leads on a regular basis. Tactical Management Team meeting will review all areas of Collaboration every six months. This will ensure any collaboration is still relevant, working and benefitting the Service.	<ul style="list-style-type: none"> <li>• Collaboration database updated and reviewed</li> <li>• Plans in place to review the database every 6 months</li> </ul>
F2.2	When an item of Collaboration is closed, an evaluation will take place. This will detail reasons for the closure and identify any lessons learnt.	<ul style="list-style-type: none"> <li>• Evaluation of closed items has commenced</li> </ul>

**Strategic Lead:** Assistant Chief Fire Officer Service Support

# HMICFRS Improvement Plan

## Efficiency: Making the best use of resources

### Area for improvement:

### Background information:

#### Ref No.F3

'The Service needs to prioritise implementing new business continuity plans and test them as soon as possible'

It is essential that the Service carries out regular testing of its continuity plans. This will ensure it can provide the correct level of service in case of an event that damaged core functions. HMICFRS recognised this and suggested that the Service implement plans and regularly assess them.

Ref	Action:	Achievements:
F3.1	A further staff member will be employed to ensure that the Corporate Risk and Resilience department has the appropriate number of people to enable the tasks to be completed within the department plan.	<ul style="list-style-type: none"> <li>• A new staff member is now employed</li> </ul>
F3.2	The business continuity plans that are in place at present will be reviewed to ensure that they are fit for purpose.	<ul style="list-style-type: none"> <li>• Business Continuity procedure is now in place</li> <li>• Development of plans for our buildings is progressing</li> <li>• Fire Control Business Continuity plans are in place and tested regularly</li> </ul>
F3.3	A test regime will be put in place.	<ul style="list-style-type: none"> <li>• Fire Control Business Continuity Plans tested regularly</li> <li>• Developing arrangements to test building plans</li> </ul>

### Strategic Lead: Area Manager Community Risk

# HMICFRS Improvement Plan

## Efficiency: Making the fire and rescue service affordable now and in the future

Area for improvement:		Background information:
<b>Ref No.F4</b>	The Service generates income from leasing areas within its buildings to Leicestershire Police and East Midlands Ambulance Service and from Forge Health, our occupational health facility. HMICFRS has suggested that the Service seek to ensure that the revenue from the leases is recouped.	
'The Service should ensure itself it fully exploits external funding opportunities and options for generating income, in particular that it is recouping costs for use of its premises by other emergency services'		
Ref	Action:	Achievements:
F4.1	There is now a formula set by the Service for sharing premises. Rent is based upon an agreed amount per square foot, with shared space at 50% of this amount. Rent is subject to increase in relation to RPI (Retail Price Index). A service charge is also levied as a percentage of actual costs of maintaining the building (including rates and utilities) based upon the net floor area occupied in proportion to the total floor area. All LFRS premises that are shared with other Services are now paying the required amounts.	<ul style="list-style-type: none"> <li>Formal agreement in place for shared premises and rented space</li> </ul>
F4.2	The Service currently receives external funding from mobile phone masts housed on Stations, from driver training with the Police and from Forge Health.	<ul style="list-style-type: none"> <li>Annually published Statement of Accounts details income and expenditure</li> </ul>

**Strategic Lead:** Assistant Chief Fire Officer Service Support

# HMICFRS Improvement Plan

## People: Promoting the right values and culture

Area for improvement:		Background information:
<b>Ref No.P1</b> 'The Service should ensure its values and behaviours are understood and demonstrated at all levels of the organisation'		The Service recognises that its organisational values have been under review for a period of time. HMICFRS have identified this and have suggested that these core values and behaviours are published and adhered to at all levels of the organisation.
Ref	Action:	Achievements:
P1.1	Staff engagement sessions on Culture, Values and Behaviours have been carried out during June and July 2019. From these sessions, the Service will identify 'Champions' who will then deliver similar sessions to their peers. This will allow the Service to gather data and information on what staff would like to include as Service Values and Behaviours.	<ul style="list-style-type: none"> <li>• Values and Behaviours engagement sessions complete</li> <li>• Data gathering exercise complete</li> </ul>
P1.2	Once Behaviours and Values have been discovered, there will be a Service wide roll out to cascade the information to all staff by the 'Champions'. This will consist of engagement with all departments. This will begin the process of embedding these behaviours into the culture of the Service.	<ul style="list-style-type: none"> <li>• Value and Behaviours established and communicated</li> <li>• Process to embed Values and Behaviours in to mainstream activities commenced</li> </ul>
P1.3	The desired behaviours will be embedded throughout the Service. From 'on-boarding' of new employees, through training, promotion and appraisals of all staff, these Service behaviours will form expectations that all staff will be encouraged to continually demonstrate.	<ul style="list-style-type: none"> <li>• Staff survey indicates 96% of those who responded knew the Values and Behaviours</li> </ul>

**Strategic Lead:** Area Manager People and Organisational Development

# HMICFRS Improvement Plan

## People: Promoting the right values and culture

Area for improvement:	Background information:
<p><b>Ref No.P2</b></p> <p>'The Service should ensure staff have access to trauma support and counselling services'</p>	<p>The Service has trauma counselling available through its occupational health facility. All managers are also now trained as Mental Health First Aiders, to recognise symptoms and signs affecting wellbeing. The report states that a formal process should be put in place to ensure that staff receive counselling when necessary.</p>

Ref	Action:	Achievements:
P2.1	A 'Health and Wellbeing' policy is soon to be published, which will formalise the Service's actions and responsibilities for employee wellbeing, including following traumatic incidents. The SharePoint 'Employee Health and Wellbeing' site will be updated to reflect the new policy and what can be offered to staff.	<ul style="list-style-type: none"> <li>• Health and Wellbeing procedure being created</li> <li>• Employee intranet site updated</li> </ul>
P2.2	Post incident trauma training will be given to appropriate staff within the Service. These members of staff will become points of contact for post incident care. A procedure will be produced to formalise this.	<ul style="list-style-type: none"> <li>• Points of contact identified</li> <li>• Trauma Risk incident Management (TRiM) training delivered</li> <li>• TRiM procedure drafted awaiting approval</li> </ul>
P2.3	Mental Health First Aid training will continue within the Service. This will continue to target any supervisory managers who have not received it yet. A rolling programme of two training sessions per year will ensure this is embedded throughout the Service and that staff will receive refresher training (every 2 years).	<ul style="list-style-type: none"> <li>• Most supervisory staff are mental health first aid trained</li> </ul>

**Strategic Lead:** Area Manager People and Organisational Development

# HMICFRS Improvement Plan

## People: Promoting the right values and culture

### Area for improvement:

### Background information:

#### Ref No.P3

'The Service should ensure it has an up-to-date Health and Safety policy and procedure and that staff understand and follow its health and safety policy and procedure.'

The Service has rigorous procedures to protect its staff. However, some of the policies that surround this require reviewing. HMICFRS has recognised this and suggested that the Service ensure that policies and training are reviewed and brought in date.

Ref	Action:	Achievements:
P3.1	A review of Health and Safety (H and S) policy, procedures and guidance will be carried out. This will include a 'peer review' by H and S staff from Cambridgeshire Fire Service. Outcomes from this review will be implemented.	<ul style="list-style-type: none"> <li>Peer review by Cambs Fire and Rescue Service complete</li> <li>3 year Implementation plan in place</li> </ul>
P3.2	H and S training needs for staff across the Service will be addressed.	<ul style="list-style-type: none"> <li>Training needs analysis for staff complete</li> <li>Mechanisms to communicate operational learning and safety information established</li> </ul>
P3.3	The success of this review and outcomes will be monitored through reporting of H and S issues (locally, regionally and nationally), auditing and themed reviews.	<ul style="list-style-type: none"> <li>Process for monitoring H and S issues agreed</li> </ul>

**Strategic Lead:** Area Manager Community Risk



# HMICFRS Improvement Plan

## People: Getting the right people with the right skills

Area for improvement:	Background information:
<b>Ref No.P4</b> 'The Service should ensure its electronic system for recording and monitoring operational staff competence is accurate and accessible.'	We currently have an electronic recording system that can ensure crews can record their competence, following training or assessment. This is a centrally based system which ensures firefighters with the correct skills are mobilised to incidents. HMICFRS found that, after sampling a few firefighters, their records were not showing 'competent'. They have asked the Service to ensure that all training and competency records are up to date.

Ref	Action:	Achievements:
P4.1	There will be an immediate review of how the Service currently records competence to ensure that all Firefighters are recorded correctly, in line with current procedures. A training programme will be put in place to ensure that supervisory staff are recording this competence correctly.	<ul style="list-style-type: none"> <li>• A Learning Management System has been procured</li> <li>• Action plan for implementation is being considered</li> </ul>
P4.2	There will be a review of courses offered by Learning and Development including qualifications. This should simplify how this information is recorded. This will include a review of expiry dates of these qualifications (which is linked to mobilisation).	
P4.3	The ongoing Learning Management System (LMS) project is also currently looking at addressing this issue, with a review of frequency of training, how it is linked to mobilisation and core competencies. This will then give an up to date and accurate picture of competencies within the Service.	

**Strategic Lead:** Area Manager People and Organisational Development

# HMICFRS Improvement Plan

## People: Getting the right people with the right skills

Area for improvement:		Background information:
Ref No.P5		HMICFRS found that some higher level incident commanders had not received further training or re-assessment following their initial training. They ask that the Service ensures it trains and assesses all its incident commanders to the appropriate level.
'The Service should ensure staff are appropriately trained in safety-critical skills, such as incident command'		
Ref	Action:	Achievements:
P5.1	A procedure is already in place to ensure that all Level 1 commanders are currently re-assessed within a 2-year time period to maintain their command status.	<ul style="list-style-type: none"> <li>All Level 1 incident commanders have been re-assessed</li> <li>A programme to assess Level 1 incident commanders every 2 years is in place</li> </ul>
P5.2	A procedure is now in place to ensure that Level 2 and 3 commanders attend an accredited command course / revalidation at the relevant level and then be reassessed within two years to maintain their command status. All Level 2 and 3 commanders are currently 'in date' following recent accreditation and re-assessments.	<ul style="list-style-type: none"> <li>All Level 2 and 3 incident commanders have been re-assessed</li> <li>A programme to assess Level 2 and 3 incident commanders every 2 years is in place</li> </ul>
P5.3	Level 4 commanders (and above) will attend a command course at the relevant level and will maintain the frequency of this. A procedure will be put in place to ensure this.	<ul style="list-style-type: none"> <li>All Level 4 incident commanders have been re-assessed</li> <li>A programme to assess Level 4 incident commanders every 2 years is in place</li> </ul>
P5.4	Level 1,2 and 3 commanders will attend 'competence days' at L and D. This attendance will be mandatory. Level 4 commanders and above will also attend. This will ensure continued competence and professional development for all levels.	<ul style="list-style-type: none"> <li>A schedule enabling incident commanders to attend a development day each year is established</li> </ul>
P5.5	Tactical and Strategic Coordinating Groups training scenarios will be implemented with attendees from a multi-agency arena to train and practice at tactical and strategic levels.	<ul style="list-style-type: none"> <li>Tactical and Strategic coordinating training sessions are in place and are attended</li> <li>Positive feedback received on TCG session</li> </ul>
P5.6	The Risk assessment for all the above will be reviewed on a rolling basis.	<ul style="list-style-type: none"> <li>This features on the Organisational Risk Register and will be reviewed soon</li> </ul>

**Strategic Lead:** Area Manager People and Organisational Development

# HMICFRS Improvement Plan

## People: Ensuring fairness and promoting diversity

### Area for improvement:

### Background information:

#### Ref No.P6

'The Service should ensure that it has effective grievance procedures. It should identify and implement ways to improve staff confidence in the grievance process'

The Service has a Grievance procedure which allows staff to challenge when they see the organisation as acting unfairly or in an unjust way. In the report, HMICFRS found that some staff didn't have confidence in the process of raising a grievance. Some staff also felt that negative consequences would occur, if they were to raise a grievance. HMICFRS have asked that the Service recognise this and that they should re-assure these staff in the grievance process to gain further confidence in it.

Ref	Action:	Achievements:
P6.1	There will be a review of the Service Grievance Procedure which will consult with employees and representative bodies. Part of the staff engagement process about Values and Behaviours (P1) will also address the lack of confidence with the Grievance Procedure. Following this work and review, the procedure (including any revisions) will be relaunched. This will include communicating Service wide via Service Matters and staff engagement at Middle Managers and Supervisory Managers staff forums. Work is also ongoing which includes a review of the Bullying and Harassment procedure to align with the Grievance procedure.	<ul style="list-style-type: none"> <li>• Review being undertaken by Leicester City Council</li> <li>• Engagement sessions with staff and representative bodies complete</li> <li>• Staff survey completed</li> <li>• Draft procedure in development</li> </ul>
P6.2	Following the review, there will be an evaluation. This will be reported to the Corporate Governance Committee of the Combined Fire Authority.	

**Strategic Lead:** Area Manager People and Organisational Development

# HMICFRS Improvement Plan

## People: Ensuring fairness and promoting diversity

Area for improvement:		Background information:
<b>Ref No.P7</b> 'To identify and tackle barriers to equality of opportunity, and make its workforce more representative, the Service should ensure diversity and inclusion are well understood and become important values of the Services'		Over the last few years, the Service has worked really hard to reflect the community it serves. In the report, it is identified that some staff do not have a good understanding of what 'positive action' means. They also heard some gender specific language such as 'firemen' being used. HMICFRS has asked that the Service looks into these matters and addresses them, capitalising on the good work carried out in recent years in being more inclusive and diverse.
Ref	Action:	Achievements:
P7.1	The Service has a Strategic Equality and Diversity Inclusion Board (SEDIB). At present, they are carrying out a gap analysis on the Fire and Rescue Service Equalities Framework document and also considering the 'Smoke and Mirrors' report published by Asian Fire Service Association (AFSA).	<ul style="list-style-type: none"> <li>• Gap analysis complete</li> <li>• 5 year Equality Diversity and Inclusion Plan agreed by senior managers</li> </ul>
P7.2	Following the gap analysis, any areas identified for improvement will be addressed to ensure compliance with 'best practice'. Engagement will follow with all department heads to ensure equality, diversity and inclusion is included in all areas of work within the Service.	<ul style="list-style-type: none"> <li>• EDI officer and manager post established</li> </ul>
P7.3	Training of staff will take place to address issues such as understanding positive action, bullying and harassment and discrimination.	<ul style="list-style-type: none"> <li>• Engagement sessions with staff in progress</li> </ul>
P7.4	Training of staff (Crew Manager and above) will also take place on 'unconscious bias' and on recruitment / promotion processes.	<ul style="list-style-type: none"> <li>• Plan agreed for appropriate staff to receive unconscious bias training</li> </ul>
P7.5	A recruitment campaign, including positive action targeting BAME, LGBT+ and women, is currently underway for recruitment of 18 Firefighters in January 2020. The Service has engaged with Community Groups via Fire, Police Advisory Group for Equalities and removed the requirement for a driving licence and adjusted numeracy and literacy qualification requirements. The equalities impact for both these changes will be monitored.	<ul style="list-style-type: none"> <li>• Recruitment methodology reviewed and changes identified</li> <li>• Process established to evaluate the benefits of these changes</li> </ul>

**Strategic Lead:** Area Manager People and Organisational Development

# HMICFRS Improvement Plan

**People: Managing performance and developing leaders**

Area for improvement:	Background information:
Ref No.P8	The Service carries out staff appraisals on an annual basis. These are monitored by line managers who see them as a valuable tool to highlight good work practices. The HMICFRS said that some staff haven't had this appraisal in two years and that the current appraisal process is ineffective. The Service accepts this and is currently reviewing the process. HMICFRS has recommended that the Service puts a system in place to manage productivity and staff development.
'The Service should ensure it has an effective system in place to manage staff development, performance and productivity'	

Ref	Action:	Achievements:
P8.1	There is a review of the staff appraisal system currently underway as part of the Learning Management System (LMS) project. This project will align appraisals and allow the Service a central view to monitor staff development. Part of this appraisal system will include performance review and productivity of staff. The LMS will include all staff, support and operational and it will serve as a tool to support them in whatever stage of their career they are in. This project is due to be completed in December 2019.	<ul style="list-style-type: none"> <li>• Learning Management System procured</li> <li>• Implementation project established</li> </ul>
P8.2	Once the LMS project is complete, training will take place to ensure all staff are familiar with it. Appraisals will be completed at least once per year for all staff.	<ul style="list-style-type: none"> <li>• All managers informed and influenced to complete appraisals in 2020</li> </ul>

**Strategic Lead:** Area Manager People and Organisational Development

# HMICFRS Improvement Plan

**People: Managing performance and developing leaders**

**Area for improvement:**

**Background information:**

**Ref No.P9**

'The Service should ensure its selection, development and promotion of staff is open, transparent and fair'

HMICFRS has pointed out that some staff don't see the current promotion process as open and fair. The Service is now reviewing its promotions policy and the report recognises this taking place.

Ref	Action:	Achievements:
P9.1	A staff task and finish group has been set up to address the promotion process for Crew, Watch and Station Manager. This group is made up of Tactical Managers, recently promoted staff, representative bodies and human resource personnel. The aim of the group will be to review the current procedure and ensure that staff views are taken into account.	<ul style="list-style-type: none"> <li>• Engagement sessions complete</li> <li>• Staff views known through completion of survey</li> </ul>
P9.2	Engagement sessions with staff will be included in the plan to ensure transparency and engender involvement in building the promotion process. Relevant staff will be engaged with recruitment and staff selection training which will include hard and soft skills to ensure that those involved in selection decisions on promotions are adequately supported and trained including unconscious bias training.	<ul style="list-style-type: none"> <li>• Unconscious bias training delivered to staff who interview for new starters</li> <li>• Engagement continued to understand and decide on competencies for each role</li> </ul>
P9.3	A new procedure will be written and applied by the Service that will be open and fair. It will also be relevant to roles that it is applied to. Following the next promotion process, this will then be evaluated.	<ul style="list-style-type: none"> <li>• New procedure in use</li> <li>• Candidates in the promotion process able to feedback their experiences through survey</li> <li>• Evaluation of those in the Watch Manager process found it to be 'open, fair and transparent'</li> <li>• Plans to evaluate future process established</li> </ul>

**Strategic Lead:** Area Manager People and Organisational Development

# HMICFRS Improvement Plan

**People: Managing performance and developing leaders**

**Area for improvement:**

**Background information:**

**Ref No.P10**

'The Service should put in place an open and fair process to identify, develop and support high-potential staff and aspiring leaders'

HMICFRS has asked that the Service has systems in place to recognise talent, manage and nurture it and put in place a leadership training programme.

Ref	Action:	Achievements:
P10.1	The Service will look at ways to develop a formal talent management process in the future. Part of the promotions review will include having a 'talent pool' of people to develop into the next role. The Service will also set up a group to look at a 'future leaders' programme.	<ul style="list-style-type: none"> <li>• New procedure in use</li> <li>• Successful candidates now placed into talent pools</li> <li>• Mechanism to select the best candidate for each post from the talent pool established</li> </ul>

**Strategic Lead:** Area Manager People and Organisational Development

# HMICFRS Improvement Plan

## Points identified in the report

Ref No.	Point:	Lead:	Achievements:
AR1	Staff would benefit from refresher Safeguarding training to increase their confidence.	Area Manager Community Risk	<ul style="list-style-type: none"> <li>Vulnerable person module established</li> </ul>
AR2	The Service's procedure on planned levels of fire engines and crewing availability is out of date.	Area Manager Response	<ul style="list-style-type: none"> <li>Crewing of Fire and Special Appliances updated</li> <li>Operational Degradation procedure reviewed, updated and agreed</li> <li>Guidance for Fire Control Watch Managers implemented</li> </ul>
AR3	Recruitment, retention and availability of On-Call staff.	Area Manager Response	<ul style="list-style-type: none"> <li>On-Call improvement project in progress</li> </ul>
AR4	Staff were still quoting the 'London Model' of decision making and should move to the joint decision making model.	Area Manager Community Risk	<ul style="list-style-type: none"> <li>The Decision Control process embedded in all training, guidance and assessment material</li> </ul>
AR5	Operational discretion is not recorded.	Area Manager Community Risk	<ul style="list-style-type: none"> <li>Fire Control have Information Note on the procedure to follow if Ops Discretion is declared</li> </ul>



AR6	The Service should carry out cross border exercises with all of its neighbours	Area Manager Response	<ul style="list-style-type: none"> <li>Operational Exercise procedure reviewed and updated</li> <li>Planned exercises feature in District Plans</li> <li>Reporting activity relating to cross border exercises to HMICFRS established</li> </ul>
AR7	The Service currently lacks a way to check workforce productivity and could do more to assure itself that its workforce's time is used effectively.	All Area Managers	<ul style="list-style-type: none"> <li>Learning Management System project in progress</li> </ul>
AR8	Actions from the H and S Committee have not been completed.	Assistant Chief Fire and Rescue Officer Service Delivery	<ul style="list-style-type: none"> <li>Actions reviewed and prioritised</li> <li>Action plan in place to complete outstanding actions</li> </ul>
AR9	Staff are aware of Service Matters but there is no way of ensuring that they read and take in the information.	Area Manager Community Risk	<ul style="list-style-type: none"> <li>Monitoring software purchased enabling activity levels to be known</li> <li>Quarterly process in place evaluating use of Service Matters using randomly selected staff</li> <li>Outcomes indicate that 80% are reading Service Matters articles</li> </ul>
AR10	The use of gender exclusive language.	All Area Managers	<ul style="list-style-type: none"> <li>Included within the Values and Behaviours work</li> <li>Unconscious bias training included gender exclusive language</li> </ul>
AR11	The workforce plan lacks detail about how the Service will meet its resourcing needs.	Area Manager Response	<ul style="list-style-type: none"> <li>Quarterly report showing workforce planning presented to senior managers</li> <li>Report shows details of forecasted staffing levels and how resource needs will be met</li> </ul>
AR12	Operational staff haven't received training in gathering site specific risk information or health and safety training.	Area Manager Community Risk	<ul style="list-style-type: none"> <li>Site specific risk training complete</li> <li>H and S training needs analysis complete</li> </ul>

AR13	The Service doesn't fully understand the skills and capabilities of staff.	Area Manager People and Organisational Development	<ul style="list-style-type: none"> <li>• Learning Management System project established</li> <li>• Quarterly report showing operational skill levels presented to senior managers</li> </ul>
AR14	There is less evidence of learning and improvement in non-operational areas.	Area Manager People and Organisational Development	<ul style="list-style-type: none"> <li>• Learning Management System project established</li> </ul>
AR15	The Representative bodies would like involvement in decisions at an earlier stage.	Assistant Chief Fire and Rescue Officer Service Delivery	<ul style="list-style-type: none"> <li>• Engagement of Representative Bodies at Staff Consultation Forum</li> <li>• Representative Body engagement at strategic Covid 19 meetings</li> <li>• Meeting minutes indicate Representative Body's satisfaction level with engagement</li> </ul>
AR16	In some departments, staff do not have their performance managed.	All Area Managers	<ul style="list-style-type: none"> <li>• All managers informed and influenced to complete appraisals in 2020</li> </ul>
AR17	Call handling times – Control.	Area Manager Tri- Service Control	<ul style="list-style-type: none"> <li>• New ways of working being trialled in Fire Control to reduce call handling times</li> <li>•</li> </ul>

AR18	All training recorded and managed on one system.	Area Manager People and Organisational Development	<ul style="list-style-type: none"> <li>• Learning Management System project established</li> </ul>
AR19	Time spent by crew and watch managers on station arranging covers and organising overtime	Area Manager Response	<ul style="list-style-type: none"> <li>• Crewing levels during Covid 19 has seen a reduction in the need to arrange covers or overtime</li> </ul>
AR20	Quality assurance of audits by Fire Safety Inspectors	Area Manager Community Risk	

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**Status of Report: Public**

**Meeting: Corporate Governance Committee**

**Date: 16 September 2020**

**Subject: Service Development Programme and 'Our Plan 2020-24'**

**Report by: Callum Faint, Chief Fire and Rescue Officer**

**Author: Chris Moir, Planning Manager**

**For: Information**

### **Purpose**

1. The purpose of this report is to inform the Corporate Governance Committee (CGC) of progress made since March 2020 in the delivery of projects within the Service Development Programme and the tasks included in Appendix A of Our Plan 2020-24.

### **Recommendation**

2. The Corporate Governance Committee is asked to note the progress made since March 2020 in the delivery of projects within the Service Development Programme and the tasks that are included in Our Plan 2020-24.

### **Executive Summary**

3. Progress is reported in respect of 18 projects that are currently in various stages of development or implementation. The report also includes progress against the 25 tasks from Appendix A of Our Plan 2020-24.

### **Background**

4. This section provides the Committee with a summarised update on the status of the projects that are currently being delivered by staff and officers.

### **Service Development Programme - Project Updates**

#### Emergency Services Network (ESN)

5. The latest revised programme suggests that the existing Airwave radio solution is scheduled to be replaced by mid-2022. A detailed plan has been issued by the Home Office.
6. A small amount of road coverage testing has been carried out whilst travelling to LFRS sites. Further activity has been temporarily suspended by the Home Office due to problems with the coverage testing portal.

7. Checking of service locations and critical operational locations (risk sites) will be shared with the Police/Ambulance, discussions regarding the strategy for the testing of these sites commenced during August.
8. Vehicle device testing continues. Derbyshire FRS have provided spare vehicles for test fitting of the prototype devices between August and December 2020. LFRS have completed the Home Office online questionnaire regarding vehicle types and fitting strategies.

#### Views Replacement

9. The project will replace the decommissioned 'views system' used for performance management and will seek to implement additional planning, risk management and project monitoring capability within the system.
10. The performance reporting data warehouse continues to be developed internally by the ICT department. An automatic daily update of the Incident Recording System (IRS) information has been successfully established. It is hoped that creation of initial dashboards, focusing on IRS based key performance indicators will be available by the end of September 2020.
11. To further embed our knowledge and understanding of the Power BI (Business Intelligence) dashboard functionality, the Home Safety Check satisfaction information is being developed using the software. From September onwards further dashboards, meeting the revised user requirements will be developed and made available.

#### High Reach Appliance Replacement

12. This project has been created to procure and deliver a high reach appliance to replace one of the existing Aerial Ladder Platform vehicles.
13. An options analysis and recommendation for the high reach appliance type was presented to the Tactical Management Team (TMT) in August 2020 where further work was requested on the evidence supporting the proposal. The report is due to be re-submitted to the September TMT. Implementation of the final vehicle is estimated to be November 2022.

#### Appliance Replacement Project

14. The four replacement pumping appliances have been delivered and are all now operationally available. The project has been extended to include the procurement of three further appliances identified in the 2020/2021 capital budget. The new appliances are due to be built by the end of December 2020 and handed over to Operational Response by the end of March 2021. Following advice during July 2020 TMT, it is likely that procurement of a fourth appliance will be added to this project.

#### Devolved Budget Management Project

15. A project to devolve budget management to department and district managers. The initial implementation took place at the start of the 2019/2020 financial year. The project has now been suspended by the Senior Management Team (SMT) until a replacement Finance Manager is appointed.

#### Vulnerable Persons Module Implementation Project

16. A project to develop and implement the vulnerable person's module within the Safeguarding team. The vulnerable person's module was successfully implemented on the 15 June 2020. The project will be closed on receipt of final invoices and approval of a project closure report which is due to be submitted to September 2020 meeting of the TMT.

#### On-Call Review Project

17. A project to review, adopt or change procedures or practices to meet the needs of organisational, societal or demographic change within On-Call reward, recruitment, retention and conditions.
18. Development of recruitment, retention and mobilisation options have been introduced as pilot schemes at a number of stations. These pilots are being monitored and evaluated and will be included in the final report outlining findings and recommendations.
19. The final outcomes of the project were due to be presented by June 2020, however due to the impact on project resources caused by the Covid-19 situation TMT agreed to extend the stage completion until December 2020.

#### PPE Replacement Project

20. A project to procure replacement operational personal protective equipment (PPE). The project board chose to progress a managed service from the National Fire Chiefs Council (NFCC) National Framework as it offers the best value for LFRS. Bristol Uniforms were the successful supplier. The sizing exercise has been completed. The current contract expires in March 2021.

#### Virtual Fatal 4 (VF4) Replacement Project

21. A project to develop a VF4 van to replace the existing VF4 car. Unfortunately there have been significant delays to the project caused by the Covid-19 situation. The Iveco Daily van was due to be delivered by the end of April, this was delayed until July. Other components were also delayed which prevented the build and implementation stage from progressing. An exception report was approved by July 2020 TMT extending the current stage and the project completion date by 3 months. The build stage is now due to be completed by the end of September 2020.

### ICT Service Management System Project

22. A project to provide full ICT service desk capabilities to LFRS to include incident management, problem management, change management, asset and inventory management and configuration management.
23. The chosen supplier FreshWorks are progressing with the build, although completion is expected to be delayed due to time being lost during the procurement exercise. An exception report was approved by August 2020 TMT which outlined the issues. The fully functioning cloud based system is now due to be implemented by the end of October 2020.

### Contingency Response Arrangements Project

24. A project to establish the effective use of third party contingency arrangements supported by internal arrangements.
25. A supplier has been selected and a contract has been signed. Stage 3, which included establishing the triggers for use and the accommodation, assets and equipment requirements was completed at the end of July 2020. Policies, plans and procedures will also be reviewed and updated as required. The stage 3 end stage report was approved by August 2020 TMT.

### Demountable Appliance Devices Project

26. The 31 devices have been successfully delivered, built and rolled out to stations.
27. The device mounts have not been installed yet due to the fitting company being in lockdown, but it was felt rolling out the devices, with some additional health and safety instructions before the mounts were available would be beneficial.
28. The implementation of the mounts is expected to delay the project closure until the end of October 2020, an extension of 3 months.

### Web GIS Project

29. A project to upgrade to a web-based geographical information mapping system.
30. Stage 1, which involved the infrastructure build, software configuration and user acceptance testing has been successfully completed. Stage 2, which includes the creation of maps, live deployment and end user training is due to be completed by the end of October 2020.

### Replacement Payroll Provider Project

31. A project to establish payroll services with Warwickshire County Council (WCC).



32. The Project Initiation Document (PID) was initially approved at April 2020 SMT meeting. Following further examination, the PID was updated and resubmitted to SMT, gaining approval on 8 June 2020. Stage 1 involved 3 payroll runs, reconciliation in test and creation of reports. The stage was completed at the end of June 2020, with SMT approving the end stage report. A 'go live' decision was made on 17 July which resulted in July's payroll run being the first one successfully undertaken by WCC.

#### eOPAS Optimisation Project

33. A project to re-implement eOPAS, the occupational health system, making it fit for purpose to the benefit of Forge Health and LFRS.
34. Stage 1 is underway and involves the pre-employment screening process and is due to be completed by the end of September 2020.

#### FireWatch Project

35. A project to develop and improve the functionality of FireWatch, the HR and personnel recording system.
36. Stage 1 involved defining a business case for 7.7.1/ Cloud migration/FireWatch App functionality. Stage 1 was completed at the end of July 2020, with the stage 1 end stage report being approved by August 2020 TMT.
37. The business case for moving to a cloud based infrastructure was approved by SMT on 26 August 2020.

#### Learning Management System Project

38. A project to develop a comprehensive Learning Management System.
39. A product provided by 'Learning Pool' has been selected. Stage 1 is underway and involves the system build, which was due to be completed by the end of August 2020. However, due to delays experienced during the procurement process, the system build is expected to be delayed by 8 weeks. Moving the stage completion date from the end of August to the end of October 2020.

#### Fleet Replacement Project 2020-2021

40. A Project to manage replacement of vehicles identified and supported via agreed capital bids.
41. The PID was approved by July 2020 Strategic SMT. Work is underway on agreeing the specialist vehicle requirements and procurement of the Director's and Fire Protection replacement cars.

## Our Plan Action Plan 2020-24 - Appendix A Tasks

### Aim 1 – Fewer incidents with lower impact

Continue to undertake our education and enforcement activities, targeting those most at risk.

42. During the current Covid-19 situation alternative solutions was sought in order to continue with interaction with the communities of Leicester, Leicestershire and Rutland (LLR). Home Safety Checks (HSC) for example have been conducted via telephone. Focusing on the most vulnerable members of the communities identified via a vulnerable persons data set. In excess of 1500 telephone calls have been made.
43. The Community Educators have trained operational crews at Melton and Oakham stations to deliver telephone HSCs. Melton and Oakham were chosen due to the remote communities who may be outside of the Service's 10 minute life risk response time, in order to provide fire safety advice and guidance to more vulnerable members of the community.
44. The Fire Protection department have had to suspend direct interaction with premises identified on the Risk Based Inspection Programme (RBIP). During the main period of Covid-19 the team made contact with the responsible person at premises to ask for plans and documentation to be submitted electronically where appropriate. This has allowed for the fire safety audit process to be commenced with a compliance visit scheduled in the future. As premises and business continue to reopen the team continue to offer advice and guidance with a reintroduction of the RBIP where this is appropriate.

Deliver a new Arson Strategy.

45. The Arson strategy has been signed by the senior officers for both Fire and Police. Regular meeting are taking place and the first toolbox (Joint Arson Investigation) is being finalised. Communication links are being created between the District Managers and Community Educators (Fire Service) and Neighbourhood Policing Area Inspectors over the next 3 months.

Develop an assurance process to indicate how effectively we identify new risks.

46. Initial work has been completed. This has two outcomes: we identify a relatively large number of premises (new risk) but following assessment a high number are deemed generic and therefore are not developed into Site Specific Risk Information (SSRI) plans; and the existing risk process requires data cleansing / review to ensure it meets the standard that has been developed (updated procedure).

Evaluate how effective our protection and prevention work is and use the information for future plans.

47. An electronic evaluation tool (SnapSurvey) has now been introduced to both the Community Safety department and the Fire Protection department. The evaluation tool is used as part of any visit or interaction with the communities of Leicester, Leicestershire and Rutland (LLR). The information and question set used to capture information has been agreed organisationally in order to present statistical data which can then be interpreted to influence future plans and team priorities.

Deliver any required improvements identified in the reports following the Grenfell fire.

48. A comprehensive gap analysis has been conducted across the organisation to fully understand the impact of the Phase 1 report. The outcomes are progressed both internally and also at a regional level to ensure a consistent approach. The responsible person of every 'in scope' building within LLR has been contacted via letter outlining the initial recommendations of the Phase 1 report and how these may impact the duties of the responsible person in the future. The letter details the initial recommendations which may become future mandatory requirements. The Fire Protection Department are offering advice and guidance to the responsible person where required.

## **Aim 2 – Respond effectively to incidents**

Use our fire engines flexibly, aiming to attend life threatening incidents in an average of 10 minutes.

49. LFRS are utilising appliances flexibly to ensure that life threatening incidents are attended within 10 minutes. An example of this is when an appliance is committed to an existing incident, Control will access the fire cover for that area and where required mobilise an additional appliance to standby in that area.

Use our firefighters efficiently and flexibly to maximise our appliance availability.

50. LFRS are currently maximising appliance availability by detaching whole-time staff to On-Call stations where crewing is above minimum levels.

Implement alternative crewing arrangements in the event of the Service moving away from the current Day Crewing Plus (DCP) duty system.

51. The CFA have decided to move away from the DCP duty system in its current format by 2024. A working group will be established to review alternative systems over the next few months.

Increase the availability of our On-Call appliances to respond to incidents.

52. An On-Call project has been established to look at a number of issues associated with On-Call, including availability. A number of trial systems are in place such as reduced contracts and self-rostering. We have started to see an

increase in On-Call availability, however, the increased availability has been affected by the Covid-19 pandemic with a number of furloughed staff giving additional hours.

### **Aim 3 – Deliver value for money quality services**

#### Purchase a second high reach appliance to replace the older one of the two vehicles.

53. The Combined Fire Authority approved the procurement of a replacement high reach appliance in February 2020 as proposal 3 of the 2020-2024 Integrated Risk Management Plan. Project progress is outlined in paragraph 13. Implementation of the final vehicle is currently estimated to be November 2022.

#### Relocate and centralise our Learning and Development facilities.

54. A report outlining the current progress is being drafted ready for submission to the Combined Fire Authority meeting on 23 September 2020.

#### Procure replacement Personal Protective Equipment (PPE) for our firefighters.

55. As outlined in paragraph 20, the project is progressing well with all firefighter personal protective equipment on schedule to be replaced by the end of March 2021.

#### Continue to collaborate with other blue light services and our partner agencies to support our purpose of safer people, safer places.

56. A significant amount of collaboration has taken place recently due to the Covid-19 pandemic. The Service has worked closely with the Local Resilience Forum and partners to provide a number of additional services. These included: supporting East Midlands Ambulance Service (EMAS) with urgent care patient transport, delivering prescriptions and controlled drugs to vulnerable people, testing and face fitting masks for local care workers, making visors for the health and care sector, delivering and storing PPE, delivering food parcels to households and food banks and checking the Covid-19 compliance of hotels and guest houses in Leicester.
57. During August, the Service also formally welcomed EMAS in to Coalville Fire and Rescue Station creating the first Tri-Emergency Service Hub.

#### Develop the bistro area of the headquarters building to maximise office space and explore opportunities for leasing the space to generate income.

58. A quotation for the bistro decommissioning costs, making it good for development has been received and is being reviewed by SMT. Following Covid-19 learning and future working patterns, an assessment of estate-wide accommodation will be undertaken.

#### **Aim 4 – An engaged and productive workforce**

##### Enable our staff to do the right thing to help our communities.

59. By introducing the values and behaviours into the recruitment and induction/training programme for new recruits, this will further embed the values of Professional, Positive and Honest – thus ensuring and enabling staff to do the right thing to help communities.
60. With the introduction of the Competency Framework, all grey book staff are able to see /reference and understand the required competencies (softer skills) needed to carry out their role in the community.

##### Implement a Learning Management System (LMS) to record operational competence.

61. The LMS Project commenced later than planned on 20 July 2020 due to delays in agreeing terms and conditions when purchasing the new system 'Learning Pool'. The discovery phase brought together service requirements matching to relevant processes and data ready for the build phase.
62. The investment in the procurement phase in negotiating additional elements is anticipated to enable a more rapid build. The current timeframe includes completion by end of October 2020 with subsequent education and communication.
63. Communication and marketing being a significant component of the project as a result of the desired cultural shift on ownership and accountability. Ownership of individuals in their own development, continual professional development and maintenance of competence. Accountability of line management for the development and maintenance of competence of their staff.
64. Collaboration with other FRS that use Learning Pool has resulted in an early agreement of content and structure that can be directly lifted onto our own system. This will save build time redistributing the resource to modify fit to LFRS policy, procedure, process and branding. These meetings have also built relationships that will provide collaborative support now and in the future.

##### Undertake a staff survey, sharing the results and developing improvement plans.

65. The 2020 staff survey commenced on the 26 June, it was open for 5 weeks, closing on the 31 July. 360 responses were received, which equates to approximately 58% of all staff (support staff, control staff and operational staff including On-Call) contributing and having their say. The results are being analysed during August and will be published by the end of September 2020.

##### Embed the Service's values and behaviours throughout the organisation.

66. The Services Values and behaviours are being embedded throughout the organisation through the use of the newly introduced LFRS Competency

Framework. The Framework has been mapped to both the NFCC Framework and the LFRS values of: Professional, Positive and Honest.

67. To-date, the framework has been used in the recruitment of new firefighters, and Area Managers. During July the Competency Framework was at the forefront of the design for the new promotions procedure. In addition, the values have been embedded into the new recruits induction and training programme, thus ensuring the values and behaviours are promoted at all areas of the organisation and at every opportunity. The use of screen savers on Service laptops and computers has also been used to promote the values.
68. As the Competency Framework is rolled out into more of the people practices, such as probation, appraisals and linked into training offerings, the values will become further embedded and thus impact on the culture and performance of the organisation.
69. Evidence from the recently completed staff survey indicates that 97% of respondents are aware of the Service's values and behaviours and 99% of them believe they show those behaviours in their work.

#### **Aim 5 – Provide assurance**

##### Implement a performance management system.

70. The internal development is continuing with the creation of a data warehouse with links to some of the Service's major data systems being put in place. Early provision of dashboard performance reports for community safety feedback are being made available, with further work ongoing in relation to delivering key performance indicator data via this method. The project is hopeful of sharing some of the new dashboards by the end of September 2020.

##### Complete the Black, Asian and minority ethnic community safety initiative.

71. The project is currently experiencing delays due to the Covid-19 restrictions. The planned focus groups have not been able to take place to date, it is hoped they may be able to commence from September depending on when the restrictions are lifted. On a positive note, the delays have been accepted by the sponsor and the funding is not affected.

##### Implement our HMICFRS Improvement Plan.

72. The Improvement Plan that was put in place following the inspection report by Her Majesty's Inspectorate of Constabulary's and Fire and Rescue Services (HMICFRS) consisted of 24 'areas for improvement' across the pillars of Effectiveness, Efficiency and People along with 20 other identifiable comments that required attention.
73. There are a total of 88 actions that require attention within the Improvement Plan. Staff have been working hard to address these since the Plan's

development in August 2019. To date, 32 actions have been closed with seven further completed but awaiting evidence before they are closed. 46 actions are in progress and are at various stages, with some nearing completion but others at an earlier stage. There are only three actions that are yet to see any tangible progress. Department heads are now being asked for a timeline for completion on the outstanding items.

Implement a universal web based mapping system.

74. The Web Mapping has been implemented and is currently available to a limited number of test users and is showing data relating to water including hydrants, risers and open water sources. Corporate branding has been applied and maps are being accessed from Cloud servers providing the most up to date information without the need to manually update as we have done before. The mapping has been integrated with other Service line of business systems, better enabling currency of information to be maintained. Included in that are the demountable devices on appliances, with the new mapping elements incorporated for mobile use. More work is ongoing to develop the data warehouse to provide more data that can be viewed on maps including risk information, fire protection data, community safety activity data and incident data. Users will be provided with guidance on how to use the new Web Mapping that will be rolled out more widely for Service use. The project is currently on track for completion in April 2021.

Publish Annual Data Protection Officer's (DPO) report.

75. Quarterly Data Protection Officer Reports are being submitted to TMT. The Quarter 4 report covering the period January-March 2020 also contained metrics and performance data relating to the financial year 2019/2020. The DPO's annual report will be presented in January 2021.

Improve how we communicate using social media and our website.

76. Animation has been used as a tool to improve communications via social media. An animation was created to show people that firefighters may be wearing masks when they turn up to incidents. This received good engagement (2,347 impressions on twitter – that is how many times people saw the tweet – and 64 engagements – that includes watching the video, liking it, etc). The use of animation adds another string to our bow, as it simplifies the message being sent and can be easier to understand by more communities.
77. There has been close working with the Local Resilience Forum during the Covid-19 pandemic in particular, to share messaging from partners. This has helped to improve how messages are communicated, as by sharing messaging, people are finding the Service's profile – there have been spikes in followers when posts from the councils on local lockdown restrictions were shared, for example. This practice means that the Service could potentially be reaching even more people who didn't necessarily follow us on social media before.

Improve engagement with our communities.

78. Linked to the BAME (Black, Asian and Minority Ethnic) community safety activity, the Service has been working with the Dr Cristian Morgner of the University of Leicester to understand how social media, leaflets etc can be used to improve engagement with BAME audiences. This work includes how staff are enabled to feel empowered to improve their communications tools. This work is ongoing, and communications methods will be reviewed to understand which channels should be focused on for this piece of work.

**Report Implications/Impact**

79. Legal (including crime and disorder)

Legal issues are dealt with within each project or task. There are no items for Corporate Governance Committee's attention.

80. Financial (including value for money, benefits and efficiencies)

Financial issues are dealt with within each project or task. There are no items for Corporate Governance Committee's attention.

81. Risk (including corporate and operational, health and safety and any impact on the continuity of service delivery)

The current Covid-19 situation represents a risk to the majority of projects we're currently undertaking. Individual project risk registers will continue to be maintained, however it should be noted the uncertainty around allocation of internal resources and when suppliers will return to normal means that the situation is changing regularly and as such it may not be possible to detail the absolute latest position in this report.

The projects mostly affected to date include: the On-Call review project, the VF4 replacement project and the demountable appliance devices project.

82. Staff, Service Users and Stakeholders (including the Equality Impact Assessment)

Stakeholder engagement is considered within the delivery of each project or task. An Equality Impact Assessment will be undertaken where necessary on all activities.

83. Environmental

Environmental impacts are considered within the delivery of each project or task. There are no items for Corporate Governance Committee's attention.



**84. Impact upon Our Plan Objective**

These projects and tasks are designed to assist the CFA in meeting all of the objectives detailed in 'Our Plan 2020-24'.

**Background Papers**

None.

**Appendices**

None.

**Officers to Contact**

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**Status of Report: Public**

**Meeting: Corporate Governance Committee**

**Date: 16 September 2020**

**Subject: Organisational Risk Register**

**Report by: The Chief Fire and Rescue Officer**

**Author: Stuart Brewer, Corporate Risk and Resilience Manager**

**For: Information**

### **Purpose**

1. This report informs the Corporate Governance Committee (CGC) of the progress made in the identification, documentation and management of organisational risk through the Organisational Risk Register (ORR).

### **Recommendation**

2. The Committee is asked to note the content of the report and the Organisational Risk Register (attached at the Appendix).

### **Executive Summary**

3. The ORR details risks that have been subject to an assessment using a Risk Assessment Template. It contains high level details of the risks faced by the Service and the control measures applied to mitigate the likelihood and/or impact of the risk.
4. The ORR consists of three parts:
  - a. Corporate Risk Register (CRR) – hazards posing a potential for significant risk to day to day running of the Service;
  - b. Project Risk Register (PRR) – highest level risks affecting the delivery of Service projects; and
  - c. Risks arising from the Health, Safety and Welfare process and procedure.
5. The Covid-19 outbreak has had a significant impact on the Organisational Risk Register with several new risks that have arisen as part of the response to the current pandemic and the ongoing development of the Service business continuity programme. The additional demands made on staff by the response to Covid-19 identified in the Organisational Risk process has meant that the planned review for July 2020 was delayed until August. However, key individual risk assessments were kept under review and new assessments were undertaken throughout.

6. The overall level of assessed risk has remained steady since the last report to the Committee. The long-term trend in risk continues downward due to the implementation of planned control measures.
7. Six (6) new Risk Assessment Templates have been submitted for consideration since the last report. Five (5) were elevated through the Corporate Risk Process for review of which, four (4) are contained on the new Corporate Risk Register (CRR); all of them relate to Covid-19.

## **Background**

8. The ORR is a live document. Regular review is essential to ensure it remains current and accurate, reflecting risks and the control measures applied to mitigate them. The current ORR was validated by the Senior Management Team (SMT) in August 2020. The revised Register can be found at the Appendix to this report.
9. The ORR does not cover areas of risk to the Service where the hazard can be adequately managed within existing risk management processes such as health and safety reporting or debriefs. This helps to prevent duplication of effort.
10. The underpinning detail that supports the ORR is recorded on Risk Assessment Templates (RATs). These are created by Risk Owners and are subject to regular review.
11. The overall level of risk has remained steady. There has been some incremental change to the individual risk assessments, mainly as a result of planned risk mitigation work. Changes of note include:
  - a. 15/07 – “Mass absence of staff due to pandemic disease” has been continually reviewed in light of the ongoing Covid-19 (Coronavirus) pandemic. The assessment of risk has reduced due to a reduction in the likelihood score. Experience of the outbreak has shown that the national Furlough Scheme resulted in more frontline appliances being available; this was as a result of increased availability of On-call staff who were not able to continue their main employment.
  - b. 15/05 – “Industrial action by operational staff” has been subject to significant work to introduce new control measures designed to minimise both likelihood and impact and has been moved from “treat” to “tolerate”.
  - c. 17/04 – “Lack of Specialist Resources” has had all identified control measures put into place and has been moved from “treat” to “tolerate”.
  - d. 17/06 – “Failure to provide adequate incident command training” has been moved from “tolerate” to “treat” as a result of the receipt of national guidance that requires additional training to be provided.

- e. 18/03 – “Budget” has been significantly revised in light of changes to the financial situation due to Covid-19.
  - f. 18/04 – “Failure to adhere to procurement rules” has been removed due to changes in the procurement process to include the use of purchasing frameworks and co-operation in purchasing with other partner agencies as standard that has reduced the risk.
  - g. 18/07 – “Systel Issues” has been returned to “Treat” as a result of outstanding control measures still to be put into place.
  - h. Five new risks were assessed in this period arising specifically from the Covid-19 outbreak. Of these, one became redundant due to the failure of the national Test and Trace Scheme, whilst the remaining four have all been managed to a level where they can be tolerated by the Service. These are: 20/02 – “Adoption of new ICT packages without long term testing”, 20/03 – “Enhanced Covid-19 spread risk at Learning and Development, 20/04 – “Failure of Key Suppliers” and 20/05 – “Possible harm to staff arising from undertaking additional Covid-19 specific duties”.
12. Project risk as detailed in Project Risks section of the Register remains unchanged.
  13. Health and Safety risk information detailed in the Register has been updated to reflect the ongoing work to ensure and improve firefighter safety.

### **Report Implications/Impact**

#### 14. Legal (including crime and disorder)

Anticipating and responding to emerging risks will assist the Service in meeting its legal obligations.

#### 15. Financial (including value for money, benefits and efficiencies)

The financial expenditure needed to mitigate risk will vary according to the control measures applied to them. Adopting best value principles ensures expenditure does not outweigh the benefits. Early identification and mitigation of risks has been shown to reduce potential costs, through avoidance of risk or reduction in impact where risks come to fruition.

#### 16. Risk (including corporate and operational, health and safety and any impact on the continuity of service delivery)

The effective management of risk enables the Service to deliver all of its Strategy Outcomes. Failure to manage risk appropriately may result in criticism in future audits/peer reviews.

#### 17. Staff, Service Users and Stakeholders (including the Equality Impact Assessment)

Risk owners should ensure that timely reviews of their risks are carried out and the Risk Assessment Template (RAT) updated accordingly. This will assist in embedding the risk management process into mainstream activities.

18. Environmental

None.

19. Impact upon Our Plan Objectives

Effective management of risk will assist in early identification and treatment of hazards that threaten our ability to deliver all of our objectives.

### **Background Papers**

Report to the Corporate Governance Committee 11 March 2020 - Organisational Risk Register

<https://leics-fire.gov.uk/your-fire-service/decision-making/cfa-meetings/>

### **Appendix**

Appendix– Organisational Risk Register

### **Officers to Contact**

Stuart Brewer, Corporate Risk and Resilience Manager

[stuart.brewer@leics-fire.gov.uk](mailto:stuart.brewer@leics-fire.gov.uk)

0116 259 6360

Callum Faint, Temporary Chief Fire and Rescue Officer

[callum.faint@leics-fire.gov.uk](mailto:callum.faint@leics-fire.gov.uk)

0116 229 2030

**LEICESTERSHIRE**  
**FIRE and RESCUE SERVICE**

# Organisational Risk Register

## 2020

295



**Created:** January 2020  
**Reviewed:** August 2020  
**Owner:** CorporateRisk



# SAFER COMMUNITIES

**AIM: FEWER INCIDENTS WITH LOWER IMPACTS**

**OUTCOMES:**

- 1) Targeted prevention and protection activities
- 2) Recognise and reduce the impact of hazards
- 3) Resilient operational risk information
- 4) Effective partnership working

RAT ID	HAZARD	STRATEGY OUTCOME AT RISK	EXISTING CONTROL MEASURES	CURRENT RISK (with control measures)				CONTROL MEASURES TO BE IMPLEMENTED	CONTROL MEASURE OWNER	IMPLEMENTATION DATE	RESIDUAL RISK (after all control measures)				RISK MANAGEMENT PROCESS (Tolerate, Treat, Transfer, Terminate)
				L	I	R	ML				L	I	R	ML	
17/05	Failure to meet Central Government and public expectations in relation to the Grenfell Tower review	1,2,3,4	Collaboration  Policy and Procedure  Communications	3	3	H	TC	Work with regional partners to close gaps identified by analysis	Community Risk	Dec 2020	2	2	M	OP	Treat








# RESPONSE

**AIM: RESPOND EFFECTIVELY TO INCIDENTS**

**OUTCOMES:**

- 1) Manage calls to fires and other emergency incidents
- 2) Provide a 24/7 response to local, regional, national and international incidents
- 3) Supply the appropriate resources and attend incidents to meet the needs of our communities
- 4) Meet our communities expectations in resolving incidents

RAT ID	HAZARD	STRATEGY OUTCOME AT RISK	EXISTING CONTROL MEASURES	CURRENT RISK (with control measures)				CONTROL MEASURES TO BE IMPLEMENTED	CONTROL MEASURE OWNER	IMPLEMENTATION DATE	RESIDUAL RISK (after all control measures)				RISK MANAGEMENT PROCESS (Tolerate, Treat, Transfer, Terminate)
				L	I	R	ML				L	I	R	ML	
15/07	Mass absence of staff due to pandemic disease, impacting on our ability to meet the Priorities identified in Our Plan 2020.	1,2,3,4	Collaboration  Policy and Procedure  Communication	2	3	M	TC	Participation in multi-agency response to pandemic diseases	SMT	Ongoing	2	3	M	TC	Treat
17/03	Systel failure leading to loss of risk information (Cat 1/2/3/4)	3,4	Collaboration  Policy and Procedures  Communications	1	4	M	TC	NONE	N/A	N/A	1	4	M	TC	Tolerate

15/05	Industrial action by operational staff	1,2,3,4	Collaboration Policy and Procedures Communications	5	3	H 	ST 	NONE	N/A	N/A	5	3	H	ST	Tolerate
15/04	Failure of any part of the mobilising system	1,2,3,4	Collaboration Assurance Learning and Development Resources	3	5	VH	ST	Fault identification and management guide issued to Control  Automated monitoring and reporting of critical areas  Scheduled maintenance plan	Tri-Service  Tri-Service  Tri-Service	Mar 2020  Mar 2020  Mar 2020	2	3	M	TC	Treat
17/01	Not enough On-Call duty system appliances available	2,3,4	Policy and Procedure Learning and Development Resources	3	3	H	TC	On-Call Project aimed at improving On-Call availability	ACO Service Delivery	Ongoing	2	2	M	OP	Treat
17/04	Lack of specialist resources	2,3,4	Collaboration Policy and Procedure Resources	2	3	M 	TC	NONE	N/A	N/A	2	3	M	TC	Tolerate

RAT ID	HAZARD	STRATEGY OUTCOME AT RISK	EXISTING CONTROL MEASURES	CURRENT RISK (with control measures)				CONTROL MEASURES TO BE IMPLEMENTED	CONTROL MEASURE OWNER	IMPLEMENTATION DATE	RESIDUAL RISK (after all control measures)				RISK MANAGEMENT PROCESS (Tolerate, Treat, Transfer, Terminate)
				L	I	R	ML				L	I	R	ML	
18/07	Inability to detect faults at one of the three data centres hosting the mobilising system	1,2,3,4	N/A	2	4	H	TC	Re-design of START Mobilising system  Decommissioning redundant data centre	AM Tri-Service Control  AM Tri-Service Control	Prior to de-commission of NFRS site  Prior to de-commission of NFRS site	1	3	L	OP	Tolerate
20/05	Harm to staff and the wider Service as a result of the undertaking of additional duties outside of the norm whilst assisting other agencies as part of the response to the COVID 19 outbreak.	3,4	Policy and Procedure  Learning and Development  Resources	3	3	H	TC	None	N/A	N/A	3	3	H	TC	Tolerate



# FINANCE AND RESOURCES

**AIM: DELIVER VALUE FOR MONEY QUALITY SERVICES**

**OUTCOMES:**

- 1) A well-managed and transparent budget
- 2) Robust and efficient procurement activities
- 3) Reliable and effective ICT systems
- 4) Fit for purpose estate, vehicles and operational equipment

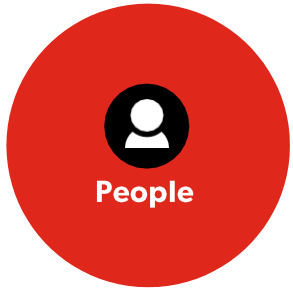
RAT ID	HAZARD	STRATEGY OUTCOME AT RISK	EXISTING CONTROL MEASURES	CURRENT RISK (with control measures)				CONTROL MEASURES TO BE IMPLEMENTED	CONTROL MEASURE OWNER	IMPLEMENTATION DATE	RESIDUAL RISK (after all control measures)				RISK MANAGEMENT PROCESS (Tolerate, Treat, Transfer, Terminate)
				L	I	R	ML				L	I	R	ML	
16/06	Loss or damage to buildings, equipment or fleet due to theft or vandalism	4	Policy and Procedure  Assurance  Communications  Resources	3	1	L	OP	NONE	N/A	N/A	2	1	L	OP	Tolerate

RAT ID	HAZARD	STRATEGY OUTCOME AT RISK	EXISTING CONTROL MEASURES	CURRENT RISK (with control measures)				CONTROL MEASURES TO BE IMPLEMENTED	CONTROL MEASURE OWNER	IMPLEMENTATION DATE	RESIDUAL RISK (after all control measures)				RISK MANAGEMENT PROCESS (Tolerate, Treat, Transfer, Terminate)
				L	I	R	ML				L	I	R	ML	
18/01	Failure to comply with the General Data Protection Regulation and subsequent Data Protection Act		Assurance  Learning and Development  Resources	2	3	M	TC	Corporate Register of Personal Data Processing Activity  Review Data protection compliance post EU Brexit transition period	Information Governance Manager	Feb 2021	1	3	L	OP	Treat
18/02	Failure to prevent loss of data due to malicious action or negligence		Policy and Procedure  Communications  Resources	3	5	VH	ST	Cyber Essentials Plus	ICT Manager	Apr 2021	3	4	H	ST	Treat



RAT ID	HAZARD	STRATEGY OUTCOME AT RISK	EXISTING CONTROL MEASURES	CURRENT RISK (with control measures)				CONTROL MEASURES TO BE IMPLEMENTED	CONTROL MEASURE OWNER	IMPLEMENTATION DATE	RESIDUAL RISK (after all control measures)				RISK MANAGEMENT PROCESS (Tolerate, Treat, Transfer, Terminate)
				L	I	R	ML				L	I	R	ML	
18/03	LFRS fails to respond adequately to the financial challenges facing them. This can be due to a reduction of spending power as a consequence of the COVID-19 pandemic or changes in government funding. Along with being unable to fund any additional statutory requirements places on the Service.	1	Assurance  Resources	4	4	VH	ST	Annual review of IRMP  Consider use of reserves in short term  Revise obligations in Our Plan 2021-2024  Medium Term Financial Plan 20212-2024 (1 Year only)  Improved internal budget management /devolved budget	Chief Fire Officer  Chief Fire Officer  Chief Fire Officer / SMT  Treasurer  Finance Manager	Dec 2020  Feb 2021  Feb 2021  Feb 2021  Jul 2021	3	4	VH	ST	Treat

RAT ID	HAZARD	STRATEGY OUTCOME AT RISK	EXISTING CONTROL MEASURES	CURRENT RISK (with control measures)				CONTROL MEASURES TO BE IMPLEMENTED	CONTROL MEASURE OWNER	IMPLEMENTATION DATE	RESIDUAL RISK (after all control measures)				RISK MANAGEMENT PROCESS (Tolerate, Treat, Transfer, Terminate)
				L	I	R	ML				L	I	R	ML	
20/02	Damage to reputation and/or financial loss as a result of adopting new communication technology during the COVID-19 outbreak without the usual extended testing and validation.	3	Assurance  Resources	1	2	M	OP	NONE	N/A	N/A	1	2	L	OP	Tolerate
20/04	Failure of key suppliers	1,2,4	Assurance Governance	1	2	L	OP	NONE	N/A	N/A	1	2	I	OP	Tolerate



# PEOPLE

**AIM: AN ENGAGED AND PRODUCTIVE WORKFORCE**

**OUTCOMES:**

- 1) The right people
- 2) In the right place
- 3) Doing the right thing
- 4) In the right way

RAT ID	HAZARD	STRATEGY OUTCOME AT RISK	EXISTING CONTROL MEASURES	CURRENT RISK (with control measures)				CONTROL MEASURES TO BE IMPLEMENTED	CONTROL MEASURE OWNER	IMPLEMENTATION DATE	RESIDUAL RISK (after all control measures)				RISK MANAGEMENT PROCESS  (Tolerate, Treat, Transfer, Terminate)
				L	I	R	ML				L	I	R	ML	
17/06	Lack of qualified Incident Command staff at Levels 1,2,3 and 4	1,3,4	Learning and Development	4	3	H	TC	Incident Command – Acquisition, Development and Maintenance procedure to be aligned with national levels of command	Learning and Development	Ongoing	1	3	M	OP	Treat
19/01	A death or serious injury occurs as a result of a failure to operate safe systems of work	1,2,3,4	Policy and procedure Assurance Learning and Development Resources Communications	2	5	VH	ST	Review of Health and Safety Risk Assessments	Health and Safety	Mar 2021	1	5	H	TC	Treat



RAT ID	HAZARD	STRATEGY OUTCOME AT RISK	EXISTING CONTROL MEASURES	CURRENT RISK (with control measures)				CONTROL MEASURES TO BE IMPLEMENTED	CONTROL MEASURE OWNER	IMPLEMENTATION DATE	RESIDUAL RISK (after all control measures)				RISK MANAGEMENT PROCESS  (Tolerate, Treat, Transfer, Terminate)
				L	I	R	ML				L	I	R	ML	
20/03	Staff coming to harm due to contracting Coronavirus whilst undertaking training courses at the Learning and Development Centre.	1,2,3,4	Learning and Development  Health and Safety	1	4	M	TC	NONE	N/A	N/A	1	4	M	TC	Tolerate



# GOVERNANCE

**AIM: PROVIDE ASSURANCE**

**OUTCOMES:**

- 1) Well informed communities
- 2) Well informed staff
- 3) We'll know what our communities think of us
- 4) We'll know what our staff think of us

RAT ID	HAZARD	STRATEGY OUTCOME AT RISK	EXISTING CONTROL MEASURES	CURRENT RISK (with control measures)				CONTROL MEASURES TO BE IMPLEMENTED	CONTROL MEASURE OWNER	IMPLEMENTATION DATE	RESIDUAL RISK (fter all control measures)				RISK MANAGEMENT PROCESS (Tolerate, Treat, Transfer, Terminate)
				L	I	R	ML				L	I	R	ML	
N/A	N/A	N/A	N/A	-	-	-	-	N/A	N/A	N/A	-	-	-	-	N/A

# Assessments Removed or Archived During the Current Year

RAT ID	HAZARD	STRATEGY OUTCOME AT RISK	FINAL RISK SCORE				REASON FOR REMOVAL	DATE REMOVED
			L	I	R	ML		
18/04	Failure to adhere to procurement rules resulting in vulnerability to legal challenge and non- achievement of value for money	FINANCE and RESOURCES 1,2	2	4	H	TC	Procurement programmes now based on use of Frameworks or in collaboration with partners (i.e. purchase of software in collaboration with Leicester City Council). Risk to be reviewed following outcome of internal audit.	August 2020
20/06	Staff at risk of fraudulent action due to exploitation of the Test and Trace program for COVID-19	FINANCE and RESOURCES 1,2,3,4	5	3	H	ST	All control measures put into place. National Test and Trace did not materialise and therefore risk did not fully materialise.	August 2020

# Project Risks

PROJECT REF	HAZARD STATEMENT	RISK ASSESSMENT SCORES				PROJECT CONTROL MEASURES
		L	I	R	O	
18/P03	<p>ESN Project</p> <p>There is a possibility that the Home Office will select Plan D (project pause/shutdown) which will mean that the ESN project will be stopped and a suitable replacement will need to be selected and chose.</p>	3	4	VH	ST	<ul style="list-style-type: none"> <li>Information to be provided by the Centre</li> <li>Risk has been elevated to the Chief Fire Officer</li> </ul>

# Health, Safety and Welfare Risks

We are committed to protecting all staff and supporting their wellbeing. We will make sure that staff and the people that we come into contact with are protected from risks. However, we recognise that our staff may face challenging situations and we will support our operational staff to take risks appropriately to protect public safety.

## Health and Safety Provision and Training

The Service is carrying out a full review of its Health and Safety provision. This is to improve our provision within the service and to the public we serve. We have identified that we should provide our staff with more Health and Safety training. We will aim to provide appropriate training at all levels of the organisation. This will include Leadership training and how we can promote a positive Health and Safety culture within the organisation.

## Firefighter Welfare

The Health, Safety and Welfare and Corporate Risk Management Committee has highlighted an issue relating to the possible impact of contaminants on dirty Personal Protective Equipment on the health of operational crews. A firefighter welfare group has been established to continue to review this risk and will aim to improve our approach to dealing with post fire contaminants. The group will also review and strive to improve our knowledge and improve facilities to recover from the physical effects of firefighting and other duties.

# Risk assessment matrix

<b>IMPACT</b>	5		19/01	15/04 18/02		
	4	17/03 20/03	18/07	18/P03	18/03	
	3		15/07 17/04 18/01	17/01 17/05 20/05	17/06	15/05
	2	20/02 20/04				
	1			16/06		
		1	2	3	4	5

<b>LIKELIHOOD</b>	
<b>VERY HIGH</b>	High level risk with the potential to cause catastrophic damage to the reputation, finances or governance of the Service
<b>HIGH</b>	Mid-high level risk possibly requiring significant amendment to policy/procedure and significant financial outlay
<b>MEDIUM</b>	Low-mid level risk possibly requiring new policy and/or some financial outlay
<b>LOW</b>	Low level risk capable of being managed within normal service policy and procedure

# Risk Management Matrix

<b>IMPACT</b>	5		19/01	15/04 18/02		
	4	17/03 20/03	18/07	18/P03	18/03	
	3		15/07 17/04 18/01	17/01 17/05 20/05	17/06	15/05
	2	20/02 20/04				
	1			16/06		
		1	2	3	4	5

<b>LIKELIHOOD</b>	
<b>CORPORATE</b>	Those risks likely to require management oversight by the CFA and/or SMT
<b>STRATEGIC</b>	Those risks likely to require management oversight by SMT
<b>TACTICAL</b>	Those risks likely to require management oversight by the HSW Committee and sub-groups, Tactical Manager’s Team(TMT) and/or individual Directors
<b>OPERATIONAL</b>	Those risks likely to require management oversight by individual Group and Station Managers and/or TMT

# Glossary of Terms and Abbreviations

**Likelihood (L)** - A measurement of how frequent and/or probable it is that a consequence will actually be realised

**Impact (I)** - An estimate of the harm that could be caused by an event

**Operational (OP)** - Those risks likely to require management oversight by individual Group and Station Managers and/or GMT

**Tactical (TC)** - Those risks likely to require management oversight by the HSW and CRM Committee and sub-groups, Group Manager's Team (GMT) and/or individual Director

**Strategic (ST)** - Those risks likely to require management oversight by SMT

**Corporate (C)** - Those risks likely to require management oversight by the CFA and/or SMT

**Low (L)** - Low level risk capable of being managed within normal service policy and procedure

**Medium (M)** - Low –mid level risk possibly requiring new policy and/or some financial outlay

**High (H)** - Mid-high level risk possibly requiring significant amendment to policy/procedure and significant financial outlay

**Very High (VH)** – High level risk with the potential to cause catastrophic damage to the reputation, finances or governance of the Service



**Status of Report: Public**

**Meeting: Corporate Governance Committee**

**Date: 16 September 2020**

**Subject: Governance update**

**Report by: The Monitoring Officer**

**Author: Lauren Haslam, Monitoring Officer**

**For: Information Only**

### **Purpose**

1. The purpose of this report is to update and provide assurance to the Corporate Governance Committee (CGC) on governance and ethical issues.

### **Recommendation**

2. The Committee is recommended to note the update provided on governance and ethical issues.

### **Executive Summary**

3. The report updates the Committee on the operation of core governance policies and how these are monitored on behalf of the CFA.

### **Background**

#### The Role of the Monitoring Officer

4. The Constitution of the CFA vests certain functions in the Monitoring Officer including maintaining the Constitution, ensuring lawfulness of decision making and maintaining various registers in relation to members' and officers' interests, gifts and hospitality, whistleblowing and politically restricted posts. The purpose of this is to promote high standards and public confidence in the CFA's governance and ethical arrangements.
5. There have been no occasions where the Monitoring Officer has had reason to believe that there was a likelihood that the CFA was about to take a decision that would be unlawful or give rise to maladministration. Consequently, no reports have been issued to the CFA under Sections 5(2) of the Local Government and Housing Act 1989.

#### The Register of Members interests

6. The Localism Act 2011 requires members to register their Disclosable Pecuniary Interests and the Constitution of the CFA requires the registration of defined personal interests within 28 days of appointment to office as a member. The Register is maintained by the Democratic Services Officer supporting the CFA. The declaration signed by members contains an acknowledgement that failure to disclose a personal interest constitutes a criminal offence under the

relevant legislation and that the failure to provide accurate information regarding a disclosable pecuniary interest and a personal interest constitutes a breach of the Members Code of Conduct. There is also an acknowledgement of the obligation to keep the declaration up-to-date in light of any change in a member's circumstances during the period in office.

7. The Register of members' interests (attached at Appendix A) has been completed by all members of the CFA as required.

#### The Register of Officer's interests

8. The CFA Constitution recognises that an officer must not allow their private interests to conflict with their public duty and the CFA has adopted a Service Policy (Code of Conduct for Directors, managers and employees) on the registration and declaration of officers' interest which sets out the arrangements for this. The policy is due to be reviewed in 2020 and will be updated as required. The register of interests is reviewed at regular intervals by the Area Manager, Service Assurance and the Monitoring Officer. In addition, the register is periodically subject to review by officers from the Internal Audit and Assurance Service. Officers are alerted to the requirements in the register as part of the induction process and periodic reminders. The CFA takes part in the biennial National Fraud Initiative (NFI) which matches electronic data within and between public and private sector bodies to prevent and detect fraud. These bodies include police authorities, local probation boards, fire and rescue authorities as well as local councils and several private sector bodies. If any matches are identified these can be cross checked back to the register to confirm they have been declared and are addressed on a case-by-case basis with the officer concerned. Over the period 2019-20 no issues of concern have been identified.

#### The Register of Gifts and Hospitality

9. As above, the CFA Constitution requires that officers comply with the CFA's policy on the acceptance of gifts and hospitality. The CFA's policy which is due to be reviewed in 2020 sets out the principles on when a gift/hospitality may be accepted and arrangements for this. In accordance with the policy the register is reviewed at regular intervals by the Area Manager, Service Assurance and the Monitoring Officer. Where issues are identified these are addressed on a case-by-case basis with the officer concerned. Over the period 2019-20 no issues of concern have been identified. As set out above, steps are taken to remind officers of the obligations in relation to this issue at regular intervals. There has been a recent reminder arising out of the gifts received as part of the Covid-19 response as referred to in paragraph 13 below.

#### Whistleblowing

10. The Whistleblowing Policy is due to be reviewed in 2020; the service continues to promote access to Protect (formerly Public Concern at Work) which is an independent whistleblowing charity providing free, confidential advice to workers on whether or how to raise a public interest concern. The policy is

promoted via posters, internal newsletters and animations and staff are asked if they are aware of the process. Over the period 2019-20 there has been one whistleblowing referral which has been addressed by the Monitoring Officer with the Service.

### Politically Restricted Posts

11. A small number of posts are subject to political restriction by operation of law under the Local Government and Housing Act 1989 which disqualifies the post holder from undertaking certain political activities. The contracts of employment of the officers affected incorporate the restriction and a list of politically restricted posts (attached at Appendix B) is maintained by the Monitoring Officer and reviewed regularly. It is intended to add the list to the LFRS website for transparency purposes. The policy on politically restricted posts is due to be reviewed in 2021.

### Standards Issues and Complaints

12. The Constitution confers responsibility on this Committee for the promotion and maintenance of high standards of conduct by members of the CFA. That obligation is achieved through the maintenance of a Member Code of Conduct. There have been no complaints in relation to members under the Code during the period 2019–20. Over the next review period, it is of note that there is likely to be a new model Code of Conduct and the CFA will be required to consider whether to adopt this Code in due course. If there are any changes in the Code member training will be arranged. In 2019/20 there have been no complaints made to the Local Government and Social Care Ombudsman.

### Covid-19 related activity

13. Communities have visibly shown their appreciation for key workers, including fire and rescue services during the Covid-19 pandemic. Members of the public, local and national businesses have donated various expressions of gratitude that have supported LFRS operationally whilst boosting the morale of the staff. The origin of the donations is broad with varying monetary values associated with them. BP ran an initiative during March, April and May where they provided free fuel to emergency services. Safeguards were in place to ensure that the fuel could not be obtained fraudulently, which realised fuel savings of approximately £22,000. A number of properties were let free of charge to LFRS to accommodate staff who would have been unable to work as their domestic situation would have prevented them from doing so and various foodstuffs were donated to all staff ranging from Easter eggs from Nestle, crisps from Tyrrells and drinks from Monster. Controls put in place ensured that all staff were able to benefit from this generosity with all donations featuring on the gifts and hospitality register for transparency.

## Report Implications/Impact

### 14. Legal (including crime and disorder)

The governance requirements above are underpinned by legislation in the Localism Act 2011 and Local Government and Housing Act 1989 or are a constitutional requirement.

### 15. Financial (including value for money, benefits and efficiencies)

The controls and measures referred to in this report help the CFA to manage its financial obligations and reduce the risk of fraud.

### 16. Risk (including corporate and operational, health and safety and any impact on the continuity of service delivery)

The controls and measures referred to in this report help the CFA to manage its risk in the areas identified.

### 17. Staff, Service Users and Stakeholders (including the Equality Impact Assessment)

The obligations affect all staff and members. There are no equality implications.

### 18. Environmental

None.

### 19. Impact upon "Our Plan" Objectives

The CFA is responsible for delivering an effective fire and rescue service to Leicester, Leicestershire and Rutland and to provide clear leadership for residents and communities. The governance and ethical measures in place provide assurance that the Service operates with transparency and accountability.

## Background Papers

None.

## Appendices

Appendix A - Register of Members' Interests

Appendix B - Register of politically restricted posts

**Officers to Contact**

Callum Faint  
Interim Chief Fire and Rescue Officer  
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Lauren Haslam  
Monitoring Officer  
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0116 305 6240

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LEICESTER, LEICESTERSHIRE AND RUTLAND COMBINED FIRE AUTHORITY

REGISTER OF MEMBERS' INTERESTS - 2020/21

NAME OF MEMBER	EMPLOYMENT	SPONSORSHIP	CONTRACTS	LAND	LICENCES	CORPORATE TENANCIES	SECURITIES	OTHER INTERESTS			DATE RECEIVED BY THE MONITORING OFFICER
								APPOINTMENTS TO OUTSIDE BODIES BY THE CFA	MEMBERSHIP OF OTHER PUBLIC BODIES, CHARITIES AND POLITICAL/COMMUNITY ORGANISATIONS	GIFTS AND HOSPITALITY (at least £25)	
RUSHTON, N	Dunkin Rushton Limited / James Rushton & Sons / Castlegate House (Ashby) Limited / Leicestershire County Council / NW Leicestershire County Council	None	None	Hendon House, 3 Kilwardby Street, Ashby de la Zouch / Hood House, 19 Lower Church Street, Ashby de la Zouch Nos 1,2, 3,4,5 and 6 Kilwardby Mews, Kilwardby Street, Ashby de la Zouch / Car parking and rights of way, Somerfield Car Park, Ashby / The Crowded House, Bath Street, Ashby /Ashby House, Bath Street, Ashby LE65 2FH includes all retail units, all offices and all car parking /Castlegate House, Bath Street, Ashby LE65 2FH includes 12 flats, 4 shops, all roadways and car parking /Rushtons Yard, Market Street, Ashby includes 17 retail units and car parking to rear /Market Street, Ashby, Shops etc. nos. 16, 18, 20, 27, 29, 36, 38, 63A, 63B, 63C, 66, 68, 74A, 74B, 90, 100A, 100B plus flats at 27A, 29A, 36A, 38A, 100A and 100B plus garages and car parks at rear / Bakery Court Shops 1, 2, 3, 4, 5 & 6 and car parking / Holywell Hill, Burton Road, Ashby – all and car parking etc /Spice, High Street, Measham – plus 4 flats over and car parking /44 Wood Street, Ashby de la Zouch /4 Grenalmond Drive, Ashby de la Zouch /8 Tamworth Road, Ashby de la Zouch /10 Tamworth Road, Ashby de la Zouch /Ashby House Offices, retail and parking /23A and 23B flats, Market Street, Ashby /Car park and land rear of New Look, 12-14 Market Street, Ashby /The Royal Mews, Station Road, Ashby de la Zouch – Flats 1 to 55 includes car park and gardens /Knighthorpe and Mile Knoll, Moira Road, Ashby LE65 2TU /181 Leicester Road, Ashby de la Zouch	Ashby Town Hall - 100 year lease	None	Dunkin Rushton Ltd / James Rushton & Son /Fish2let.com Ltd/ Castlegate House (Ashby) Ltd	Chairman of the Leic, Leics & Rutland Combined Fire Authority	NW Leicestershire District Council / Leicestershire County Council / Conservative Party Member	None	19/06/19
BARTON, S	Honorary Visiting Research Fellow at De Montfort University / Occasional freelance media, author roles, casual exam invigilation at Leicester University.	None.	None.	Home address - included on hard copy of Register held by the Monitoring Officer	None.	None.	None.	None.	Leicester Children's Holiday Centre - Trustee. Wyggeston's Hospital - Trustee and governor. Trustee Western Ward Community Enterprise.	None.	01/07/19
BENTLEY, I	Bentley's Garden Buildings	None.	None.	Hawkshead, Loughborough Road, Wanlip, LE7 4PN and 29 and 43 Allington Drive, Birstall.	LE7 4PN	None.	None.	None.	Charnwood Borough Council, Leicestershire County Council	None.	28/06/19
BOOL, K	None	None	None	Glebe House, 4 Church Farm Close, Exton, LE15 8BZ	None	None	None	None	Vice President - Rutland and Melton Conservative Association / Trustee of Rutland and Melton Conservative Association / Member of the Conservative Party / Clerk to the Lord Lieutenant of Rutland /	None	19/06/19

BOULTER, G. A.	Councillor - Oadby and Wigston Borough Council and Leicestershire County Council.	None.	None.	86 Station Road, Wigston; 20 Cromford Avenue, South Wigston and land next to Brookside Cottage, Cherry Street, Wigston.	Manchester Gardens, Wigston.	None.	None.	None.	Oadby and Wigston Liberal Democrats; Framework Knitters Museum, Wigston; Norton Brailsford Education Trust; Wigston Relief in Need; Elizabeth Clarke Relief in Need; Wigston Friends of Local Charities.	None.	18/06/19
COXON, J	Ashby Domestics Coxon Properties	None	None	17 Acres of Pasture land rear of 66 Leicester Road, Ashby de la Zouch	None	None	None	None	NORTH WEST LEICESTERSHIRE CONSERVATIVE ASSOCIATION	None	17/07/20
FONSECA, L	None	None	None	Property at Bushby Road, Leicester	None.	None	None	None	Chair of Not For Profit Voluntary Organisation - "Daman Community of Leicester" / membership of the Labour Party / Councillor at Leicester City Council.		19/06/19
HARRISON, D	Retired Businessman	None	District Councillor NW Leics, County Councillor, Leicestershire	None	None	None	None	None	Member of the Conservative Party	None	19/06/19
KAUFMAN, J	None.	Member of Leicestershire County Council, Oadby & Wigston Borough Council, Oadby & Wigston Liberal democrats	None.	Joint ownership of Matrimonial Home, 17 Coombe Place, Oadby Leics LE2 5TH	None.	None.	None.	None.	Oadby Stakeholder, Leicester Progressive Jewish Conf, Oadby & Wigston Liberal Democrats.	None.	19/06/19
LIQUORISH, B	None	None	None	4 South Avenue Ullesthorpe LEICS LE17 5DG	None	None	None	None	Leicester Childrens Holidays (Trustee)	None	19/06/19
MULLANEY, M	Office for National Statistics, Leicestershire County Councillor	None.	None.	9 Chessher Street, Hinckley, LE10 0AH	None.	None.	None.	None.	Member and Councillor for Liberal Democrats / member of Hinckley and Bosworth Borough Council	None.	19/06/19
NEWTON, B	Retired	None	None	24 Blackbrook Close, Shepshed, Loughborough, LE12 9LD	None	None	None	None	Labour Party Member, County Councillor, GMB Union, Pax Christi, Co-operative Party Member	None	19/06/19
PARTON, E	Fresh Food for Now Company, Director 'MYTASKS', Charnwood Borough Councillor, Leicestershire County Councillor	Councillor expenses - Leicestershire County Council, Charnwood Borough Council	None.	None.	None.	None.	None.	Leicestershire Safer Communities Strategy Board	Conservative Party Member, Councillor at Charnwood Borough Council / Leicestershire County Councillor/ Institute of Advanced Motorists	None.	19/06/19



RAE BHATIA, H	Barclays Bank	None.	None.	None.	None.	None.	None.	None.	Labour Party.	None.	19/06/19
SINGH JOHAL, K	Quality Engineer/Leicester City Council	None	None	Owens a house in Leicester West.	None	None	None	None	GNG Football Club	None	19/06/19
THALUKDAR, A	Director of Globex Leicester Limited	None	None	1 Sutherland Street, LE2 1DS/47 Wellinger Way, LE3 1RG / 127, Northdene Road, Leicester LE2 6JJ	None	55 Sparkenhoe Street, LE2 0TD (First Floor)	None	Adult Social Care Scrutiny Commission / Planning and Development Control Committee	Trustee of Baitul Mukkaram Mosque / Labour Party / Campaign Officer for Leicester South CLP / Member of Leicester Welfare Society / Friendship Club / Vice Chair - Neighbourhood Services Community Involvement Scrutiny Commission	None	19/06/19
WRIGHT, MAGGIE	County Councillor - Stoney Stanton and Croft Deputy Leader Blaby District Council (Normanton Ward)	None.	None.	"Teena", Croft Road, Thurlaston, LE9 7TB	None.	None.	None.	None.	Member - Thurlaston Parish Council / Member Conservative Party / Thurlaston Players All Saints Church / Governor Thurlaston Primary School.	None.	08/08/19

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**Leicester Leicestershire and Rutland Combined Fire Authority**

Post	Post holder
Chief Fire and Rescue Officer (Interim)	Callum Faint
Assistant Chief Fire and Rescue Officer	Richard Hall
Assistant Chief Fire and Rescue Officer (interim)	Mick Grewcock
Assistant Chief Fire and Rescue Officer (interim)	Paul Weston
Treasurer	Alison Greenhill
Monitoring Officer	Lauren Haslam
Area Manager Response	Matthew Cane
Area Manager Community Risk	Karl Bowden
Area Manager Service Assurance	Andy Galway
Area Manager People and Organisational Development	Georgina Coop
Area Manager Business Support	Adam Stretton

**POLITICALLY RESTRICTED POSTS – September 2020**



**Leicestershire Fire and Rescue Service**  
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**Status of Report: Public**

**Meeting: Corporate Governance Committee**

**Date: 16 September 2020**

**Subject: After the Incident Survey 2019/2020**

**Report by: The Chief Fire and Rescue Officer**

**Author: Chris Moir, Planning Manager**

**For: Information Only**

### **Purpose**

1. The purpose of this report is to inform the Corporate Governance Committee (CGC) of the outcomes of the After the Incident Survey 2019/2020.

### **Recommendation**

2. The CGC is asked to consider the summary findings and identify any areas for further analysis if required.

### **Executive Summary**

3. Previously Leicestershire Fire and Rescue Service (LFRS) procured the services of Opinion Research Services (ORS) to undertake 'After the Incident' (ATI) surveys.
4. This process involved paper-based questionnaires and was limited to members of the public who had experienced an emergency incident at a property that had been attended by LFRS. The results of the survey were usually provided three months after the end of the full reporting period.
5. For 2019/2020, LFRS engaged with Leicestershire County Council's Strategic Business Intelligence Team and developed a new After the Incident Survey (ATI) process. The aim was to reduce the use of paper, increase the range of incidents involved in the survey, introduce an online completion method and make the responses to the questionnaire immediately available.
6. There were 208 responses received in 2019/2020. Overall, positive feedback was received in every section of the survey and 100% of respondents expressed overall satisfaction with the service they received from LFRS.
7. The new arrangement with Leicestershire County Council cost £4,900 for the initial set up, hosting of the survey, provision of a 'dashboard' to monitor results and production of the end of year summary report which is included as an Appendix to this report. The cost for 2020/2021 will be approximately £2,800.
8. To further improve engagement with communities, alongside the dashboard used for internal monitoring purposes, a 'public dashboard' has been created to make high level ATI data available to everyone. A link to the dashboard (below) will be made available on the LFRS external website shortly.

<https://public.tableau.com/profile/r.i.team.leicestershire.county.council#!/vizhome/LeicestershireFireandRescueService-Aftertheincidentsurvey/LFRSAftertheIncident>

## Background

9. Previously the Service Information Team (SIT) manually sent paper-based After the Incident surveys to properties where LFRS had attended incidents classified as false alarm good intent, fires or special services, and where the complete postal address had been recorded. Any incidents involving a serious injury or fatality, and all medical first responder incidents, were excluded. The surveys were sent to both domestic and non-domestic properties; each of which have slightly differing questions and were collated separately.
10. The survey asks questions around initial contact with staff (i.e. call handling); service at the scene; information and advice; and overall satisfaction.
11. The new process for the After the Incident Survey 2019/2020 removed any responsibility from the Data Team to extract address information and the SIT Team to post questionnaires. Instead cards were produced for firefighters/ Officers in Charge to leave with those people affected by the incident which requested their feedback via an online survey. Obviously, discretion was called for, with feedback only being requested where appropriate.
12. The online survey is generic and can be completed for all incident types attended and is not limited as before to incidents at a property.
13. Once the survey is completed, the information becomes available overnight and populates a dashboard. Access to the dashboard has been provided to all Station Managers, Geographical Group Managers and the Area Manager responsible for Operational Response.
14. The dashboard has 12 tiles, some display similar information to the original ORS questionnaire, but others have been enhanced to include demographic information and detailed station statistics in relation to incidents attended, cards given out and the number of responses received.
15. The After the Incident Survey Results detailed at the Appendix provide a comprehensive assessment of the performance of LFRS when responding to incidents. It includes the following satisfaction levels:
  - 97% of respondents were 'very satisfied' with the initial 999 call
  - 99% of respondents believed the fire engine arrived 'as they expected' or 'quicker than they expected'
  - 94% of respondents felt very well informed at the scene
  - 100% of respondents were 'very satisfied' with the service they received at the scene
  - 95% of respondents felt the information or advice given was very useful
  - 100% of respondents were satisfied with the overall service they received from LFRS, 99% of these were 'very satisfied'

## Report Implications/Impact

### 16. Legal (including crime and disorder)

Fire and rescue services are required to consult with their communities and monitor public satisfaction. The After the Incident Survey meets this need, as well as providing openness and transparency in the provision of services.

### 17. Financial (including value for money, benefits and efficiencies)

The cost for the ATI survey provided by ORS in 2018/2019 was £2,754. The initial set up and management of the new process in conjunction with Leicestershire County Council in 2019/2020 was £4,900. This figure will reduce to £2,800 in subsequent years.

### 18. Risk (including corporate and operational, health and safety and any impact on the continuity of service delivery)

The benefit of the After the Incident survey is dependent on the number of cards given out and the number of survey responses this generates. The data suggests that some stations are more effective at encouraging people to complete the survey than others.

There appears to be room for improvement at all stations in relation to the number of cards handed out. This will continue to be monitored by Station Managers.

### 19. Staff, Service Users and Stakeholders (including the Equality Impact Assessment)

The Operational Response directorate should use the outcomes of the survey results and identifying areas for improvement.

### 20. Environmental

None arising from this report.

### 21. Impact upon Our Plan Objectives

The survey allows LFRS to measure against the Response strategy aim of responding effectively to incidents and achieving the Governance strategy outcomes of knowing what our communities think and ensuring our communities are well informed.

## Background Papers

None.

## Appendix

After the Incident Survey Results 2019-20

**Officers to Contact**

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# After the Incident Survey Results 2019/20

Published April 2020

## After the Incident survey results

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Whilst every effort has been made to ensure the accuracy of the information contained within this report, Leicestershire County Council cannot be held responsible for any errors or omission relating to the data contained within the report.

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### Executive summary

When Leicestershire Fire and Rescue Service (LFRS) have attended an incident, those involved are asked to complete a voluntary survey to provide information about the incident and give feedback to help understand how they perform at various stages of an incident.

This report provides an analysis of the survey responses received in 2019/20 (1st April 2019 to 31st March 2020).

In 2019/20 a total of 208 responses to the survey were received; 45% involved a fire, 29% involved a 'Special Service' incident (e.g. animal rescue, flood, medical incident or gaining entry), 6% involved a false alarm, 2% involved a road traffic collision and 17% were classified as 'other' (e.g. triggered carbon monoxide alarms, fuel spillages etc.).

When respondents were asked whether they made the initial 999 call to emergency services themselves, 58% answered 'yes'. Of the respondents who made the call themselves, 98% agreed that the customer service team who handled their call were helpful, 99% agreed that they were both professional and polite, and 96% agreed that they were informative and 93% agreed that they were reassuring. Respondents were asked about their overall satisfaction with their initial contact, of which 97% were very satisfied and 3% were satisfied. There were not any respondents who expressed dissatisfaction with this aspect of the service.

Many respondents were present at the scene of the incident (88%), of which: 70% felt the service arrived quicker than expected, 94% felt very well informed at the scene of the incident and 100% of respondents were very satisfied with the service they received overall. The vast majority of respondents were positive about the team who were present at the scene of the incident, 99% agreed that they were both helpful and professional and 98% agreed that they were informative, polite and reassuring. Most respondents received information or advice from LFRS after the incident (97%), of which 95% found this information and advice very useful and 87%

had adopted the advice they had been given.

The majority (99%) of respondents agreed that the Fire and Rescue service kept the effects of the incident to a minimum. Almost a quarter of respondents (14%) were required to relocate to another property. A small proportion of respondents said they/someone else were injured at the incident (5%) and had to take time off of work following the incident (10%).

Overall, positive feedback was received in every section of the survey and 100% of respondents expressed overall satisfaction with the service they received from LFRS.

When asked what LFRS did particularly well, being 'calm' and 'reassuring' were the most reoccurring comments mentioned by respondents. Many said that they appreciated how helpful and informative the team were in handling the incident. Others described the team using words such as 'professional', 'kind', 'friendly' and 'brave'. Other responses included a 'thank you' or expressed gratitude towards the service provided by LFRS.

Respondents were also asked whether they were dissatisfied with any aspect of the service. Many respondents did not answer the question, and of those who did, the majority responded 'no' or 'not applicable'. Others used this question as an opportunity to express additional positive feedback.

The final open-ended question asked respondents whether they had any suggestions for how the Fire and Rescue service could improve their services. Excluding 'no' and 'not applicable' responses and further positive comments, some respondents made some specific suggestions (e.g. ensuring not to limit reduce coverage of fire stations across Leicestershire districts). Few expressed concerns about the future funding for, and protection of our emergency services.

## Chapter 1: Introduction and methodology

### Introduction

The After the Incident survey was designed to help the Leicestershire Fire and Rescue Service (LFRS) understand how they perform at various stages of an incident.

After LFRS have attended an incident, those involved are given a card with information on how to access the After the Incident online survey to complete in their own time. Paper copies of the survey were made available upon request. The survey asked for information about the incident and feedback on the following areas:

- Call handling
- Incident management
- Handover and Impact
- Overall satisfaction

For independence and impartiality the survey, data analysis and report were commissioned from the Business Intelligence Service at Leicestershire County Council. This report focuses on the responses received to the survey between 1st April 2019 and 31st March 2020.

### Analysis methodology

In total, between 1st April 2019 to 31st March 2020, 208 responses were received to the online survey. The responses to this survey have been analysed in Chapter 2.

Graphs and tables have been used to assist explanation and

analysis. Survey question results have been reported based on those who provided a valid response i.e. removing the 'don't know' options and no replies. Percentage totals may not add up to 100% due to rounding or multiple-choice questions.

The survey contained three open-ended questions:

- Was there anything the Fire and Rescue Service did particularly well?
- If you were dissatisfied with any part of the service, please explain why.
- If you have any suggestions on how the Fire and Rescue Service could improve our service please state below.

For each question, all comments were read and a coding frame was devised. The comments were then re-read, and thematically coded using the coding frame. The comments provided were summarised and indicative quotes were used to provide a narrative. Open comment themes are available in Appendix 1.

### Survey respondent profile

Just over four-fifths (83%) of respondents were responding to the survey about a domestic/ individual incident and almost one fifth (17%) were business incidents. Notably, the sample appeared underrepresented by males (41%) compared to females (59%).

A full list of respondent demographics is on pages 19-20.

## Chapter 2: Survey response analysis

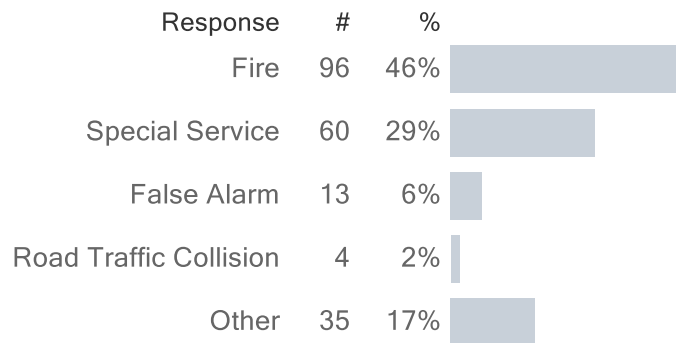
### Incident type

Chart 1 shows the number of each type of incident reported between 1st April 2019 to 31st March 2020.

The largest number of incidents were in response to an experience of a fire (46%). Many respondents (29%) completed the survey about a 'special service' incident e.g. animal rescue, medical incident, flood or gaining entry.

Some responded to the survey about a false alarm (6%). Few were in response to an incident involving a road traffic collision (2%). There were 35 incidents classified as 'other' (17%), including small children locked in cars, triggered carbon monoxide alarms and fuel spillages.

**Chart 1:** Incident type

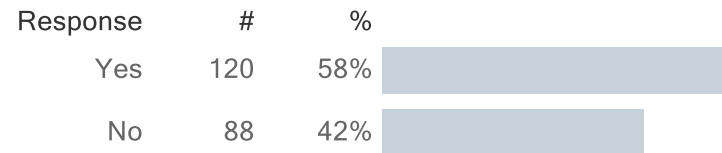


Base = 208

### Call handling - 999 Customer Service

There were 58% of respondents who called the 999 emergency services themselves (see Chart 2).

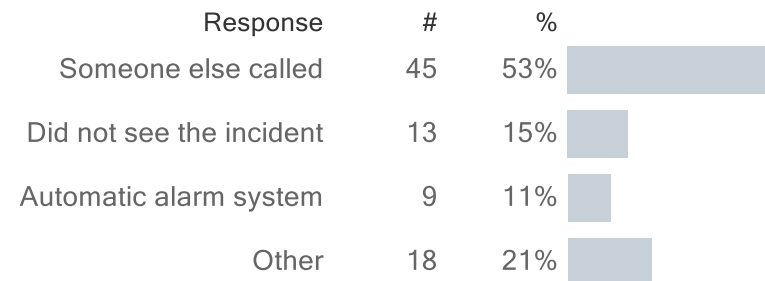
**Chart 2:** Whether the respondent called the emergency services themselves



Base = 208

Of those who did not call themselves, 53% said someone else called, 15% did not see the incident, 11% had an automatic alarm system and 21% provided other reasons (see Chart 3).

**Chart 3:** Why the respondent did not call the emergency services

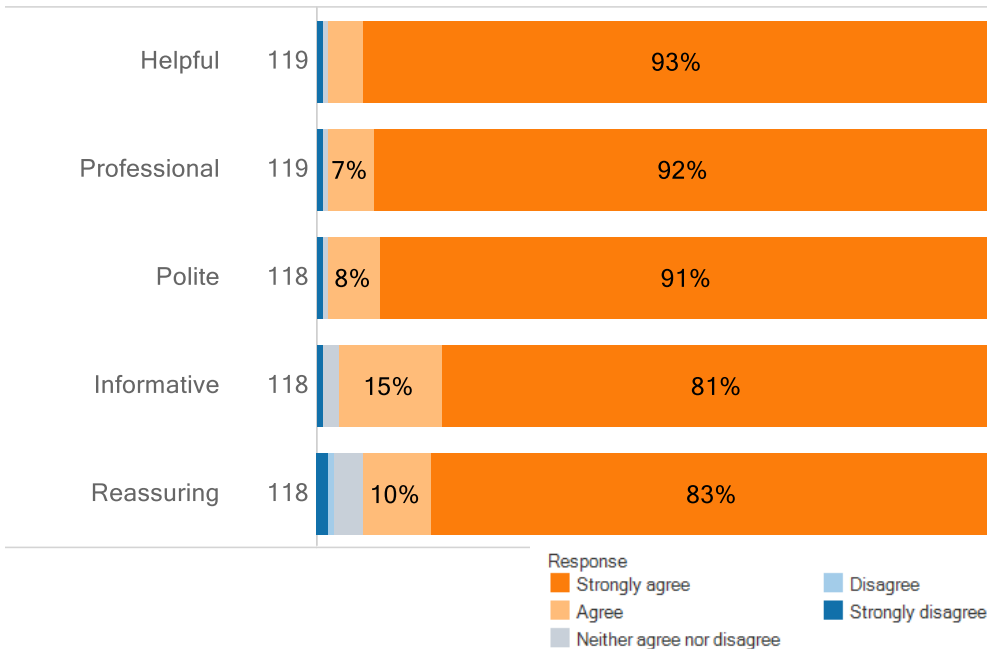


Base = 85

The respondents who called emergency services themselves were asked the extent to which they agreed or disagreed that the control team who handled their 999 call were: helpful, professional, polite, informative and reassuring.

The vast majority of respondents were positive about each of the five aspects in which their call was handled. Chart 4 shows 98% of respondents agreed that the control service team who handled their call were helpful, 99% agreed that they were both professional and polite and 96% agreed that they were informative and 93% agreed that they were reassuring.

**Chart 4:** Experience of staff who handled initial 999 call



Respondents were asked about their overall satisfaction with their initial contact. Chart 5 shows 97% of respondents were very satisfied and 3% were satisfied. There were not any respondents who expressed dissatisfaction with this aspect of the incident.

**Chart 5:** Overall satisfaction with initial 999 call.



Base = 119

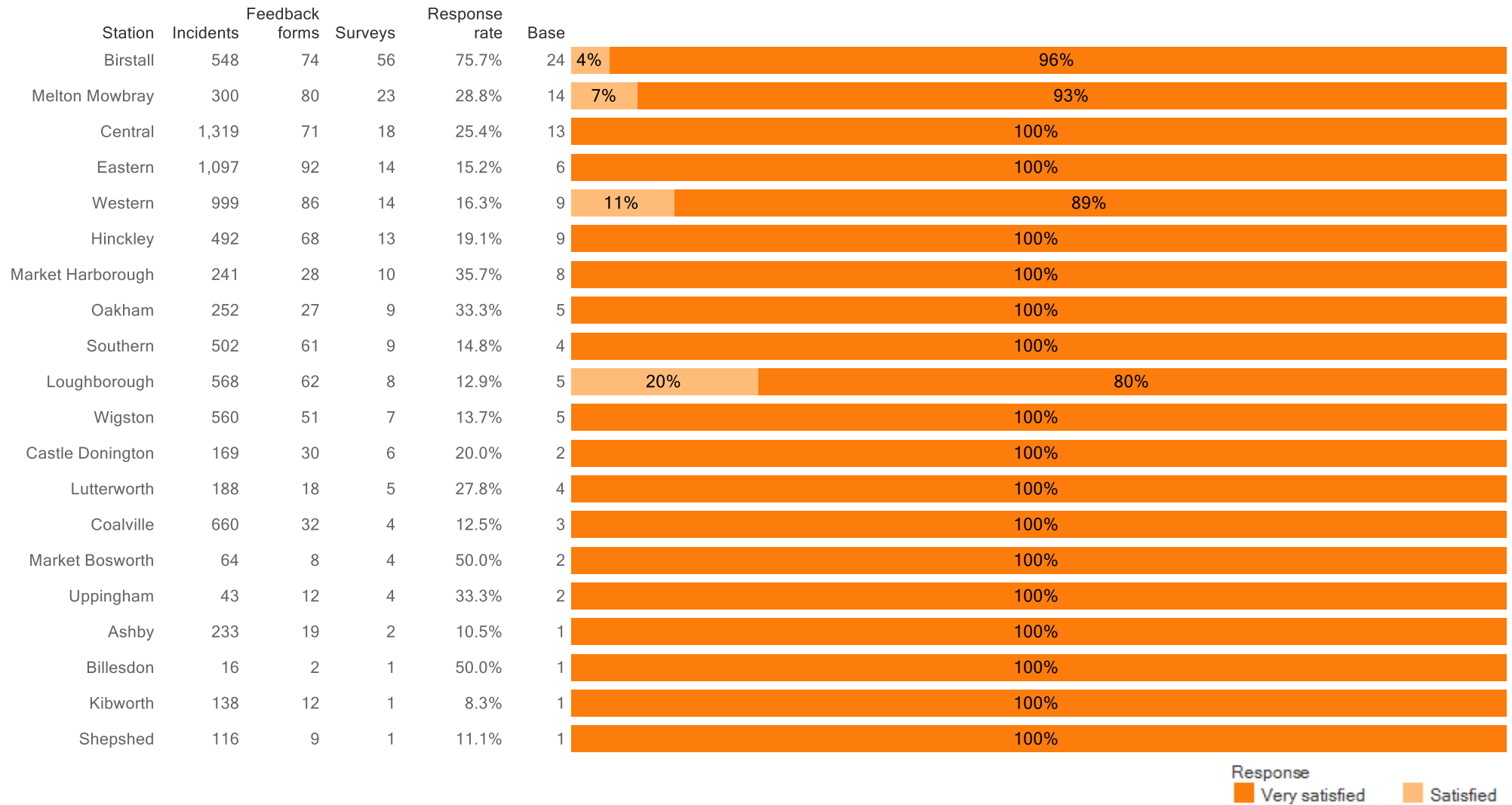
Chart 6 provides a station breakdown of respondents' overall satisfaction with their initial 999 emergency service call. Response rates were varied as a result of low base counts for some stations.

Incidents handled by Birstall station generated the highest response rate to the survey (75.7%). Of the respondents who had an incident handled by Birstall, 96% said they were very satisfied and 4% said they were satisfied with the control team who handled their call.

Similarly, of the respondents who answered the survey about an incident handled by Melton Mowbray, 93% said they were very satisfied and 7% said they were satisfied with the service received on this call.

## After the Incident survey results

**Chart 6:** Overall satisfaction with initial 999 contact - Station Breakdown (ordered by number of survey responses)





## At the scene of the incident

Chart 7 shows there were 184 respondents who said they were present at the scene of the incident (88%).

**Chart 7:** Present at the scene

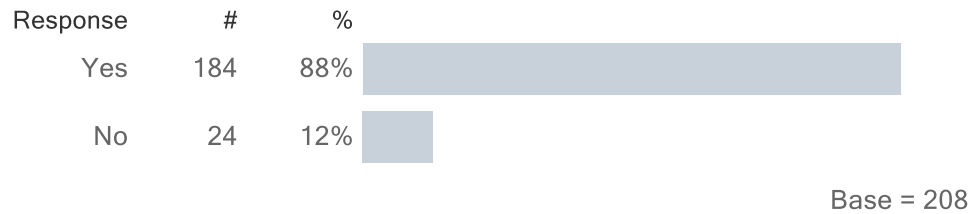


Chart 8 shows that of the respondents who were present at the scene, 70% felt that the Fire and Rescue Service arrived quicker than they expected and 29% felt that they arrived as expected. There was one respondent that said the service was slower than expected.

**Chart 8:** Fire and Rescue Service arrival

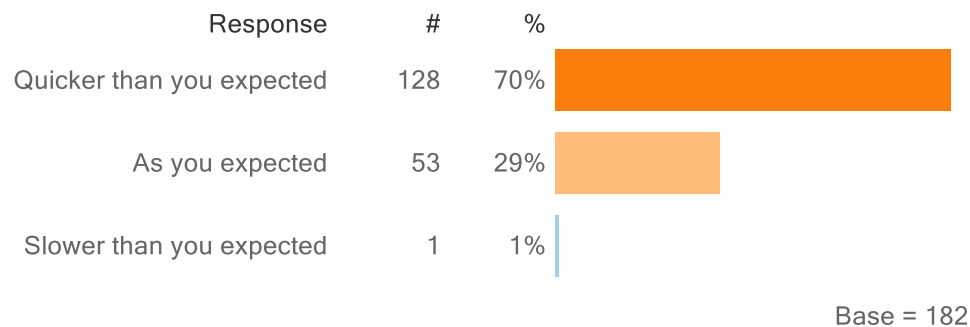


Chart 9 shows that of the respondents who were present at the scene, 94% felt very well informed, and 6% felt fairly well informed.

**Chart 9:** Informed at the scene

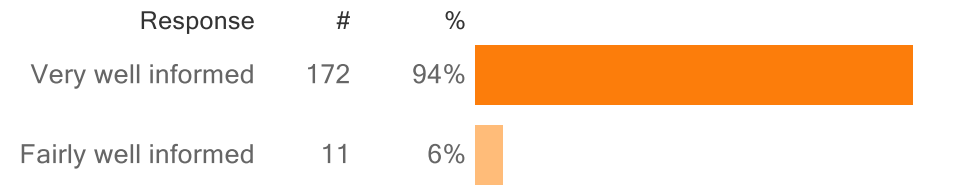
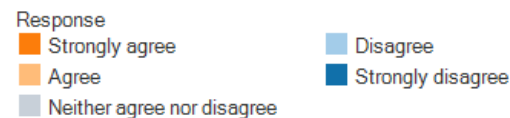
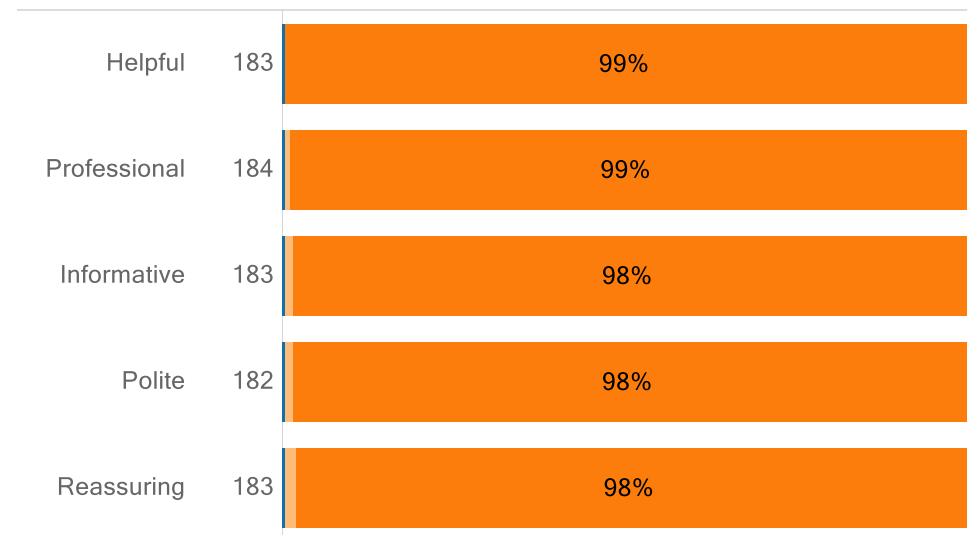


Chart 10 shows the vast majority of respondents were positive about the team who were present at the scene of the incident. Chart 10 shows 99% of respondents who were present at the scene agreed that the team who attended their incident were both helpful and professional, and 98% agreed that they were informative, polite and reassuring.

**Chart 10:** Experience of LFRS staff at the scene



## After the Incident survey results

As shown in Chart 11, 100% of respondents were very satisfied with the service they received at the scene.

**Chart 11:** Satisfaction of service received at the scene



Respondents were asked whether they had received information or advice during/after the incident. Chart 12 shows that 97% of respondents said they had received information or advice during/after the incident. There were seven respondents who said they had not.

**Chart 12:** Whether the respondent received information after the incident



Chart 13 shows that all respondents found the information and/or advice that they had received after the incident to be either very useful (95%) or fairly useful (6%).

**Chart 13:** How useful the information or advice was

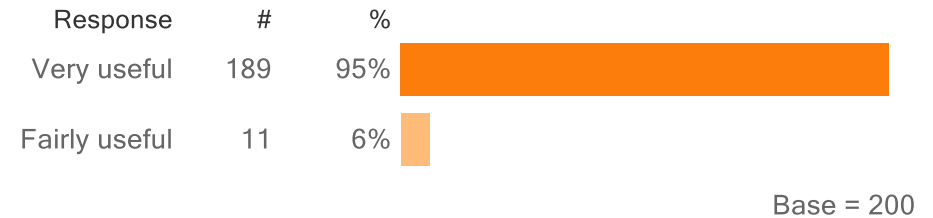


Chart 14 shows 87% of respondents said that all of the advice they were given during or after the incident had been adopted, with 12% stating some of the advice they had received had been adopted.

One respondent said that they had not adopted much of the advice they were given, and one respondent said that they had adopted none of it.

**Chart 14:** Whether the advice given from the LFRS was adopted

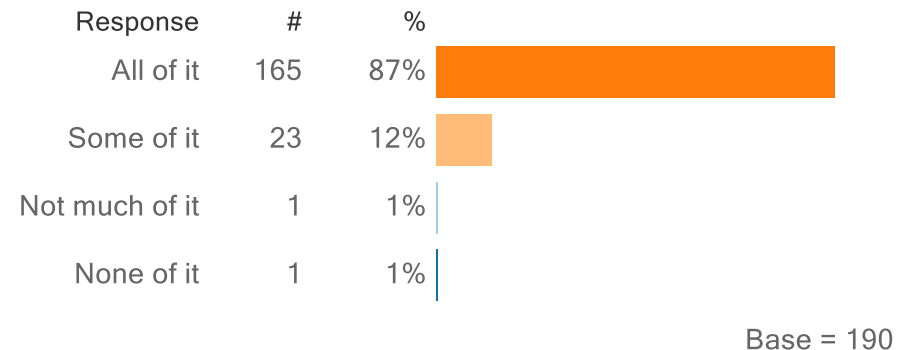
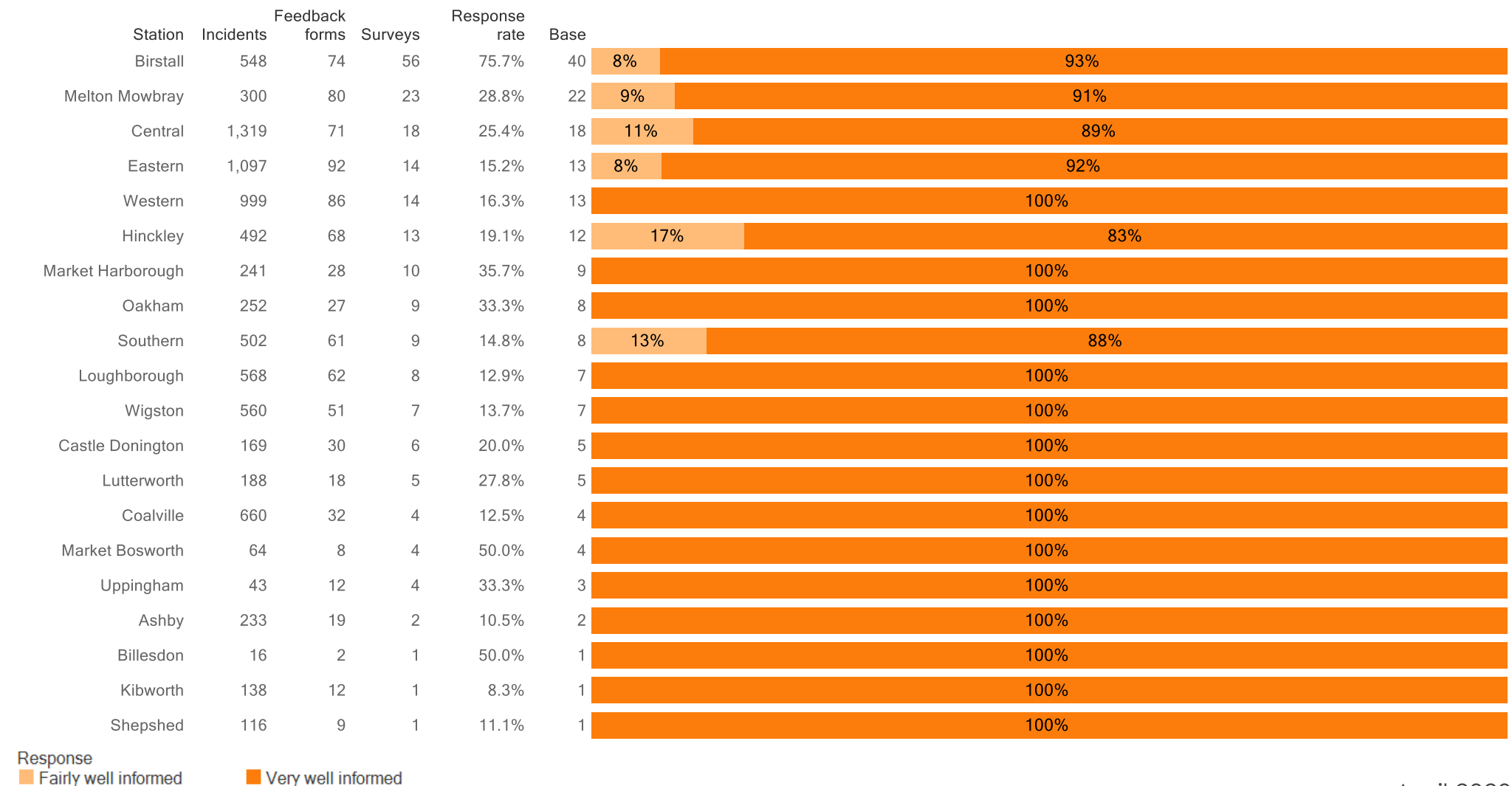


Chart 15 provides a station breakdown of how well informed respondents felt at the scene of the incident. Response rates were varied as a result of low base counts for some stations.

Of the respondents who had an incident handled by Birstall, 93% said they felt very well informed and 8% said they felt fairly well informed at the scene of the incident. Similarly, of the respondents who answered the survey about an incident handled by Melton Mowbray, 91% said they felt very well informed and 9% said they

felt fairly well informed at the scene. Incidents handled by Hinckley received a higher number of respondents who said they felt fairly well informed (17%), however 83% of respondents still said they felt very well informed at the scene of the incident.

**Chart 15:** How well informed at the scene - Station Breakdown (ordered

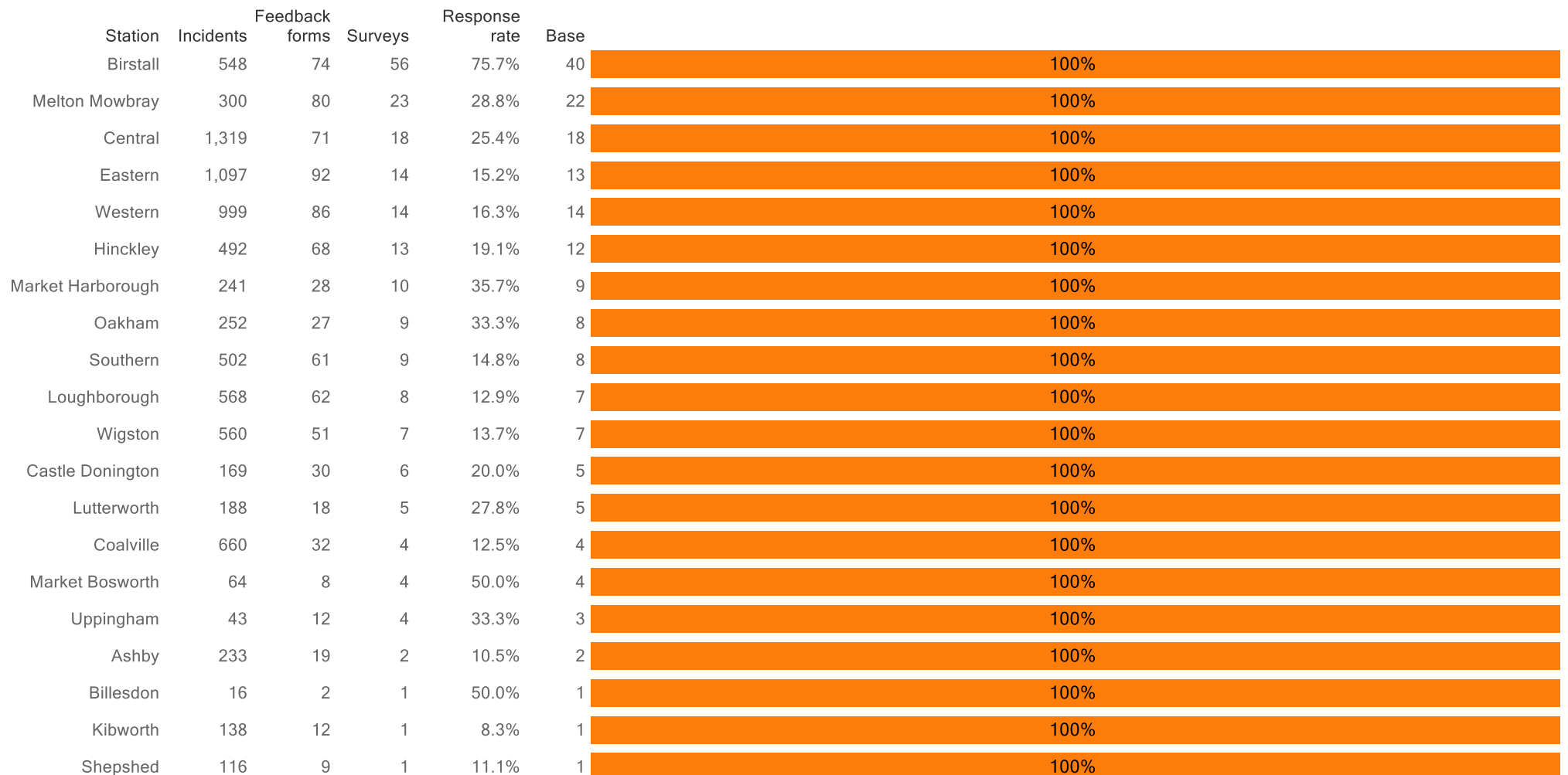


## After the Incident survey results

Chart 16 provides a station breakdown of how satisfied respondents felt with the overall service received at the scene of the incident. Response rates were varied as a result of low base counts

for some stations. All respondents (100%) of each station said they were 'very satisfied' with the service provided at the scene.

**Chart 16:** Overall satisfaction with service received at the scene - Station Breakdown (ordered by number of survey responses)



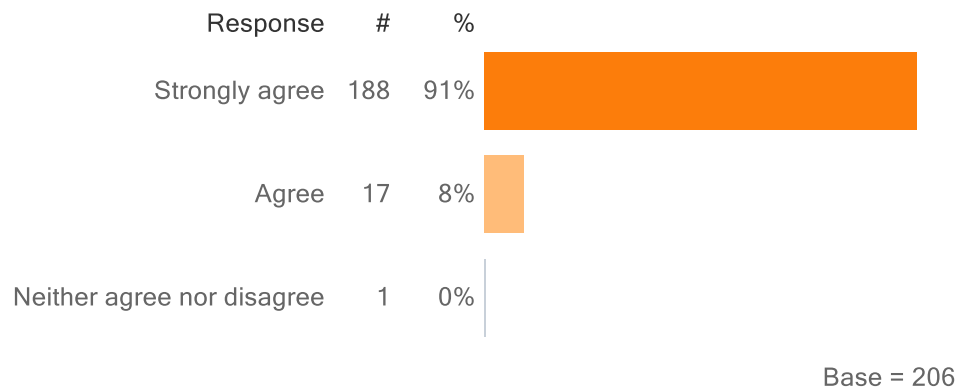
340

Response  
■ Very satisfied

## Impact on respondents

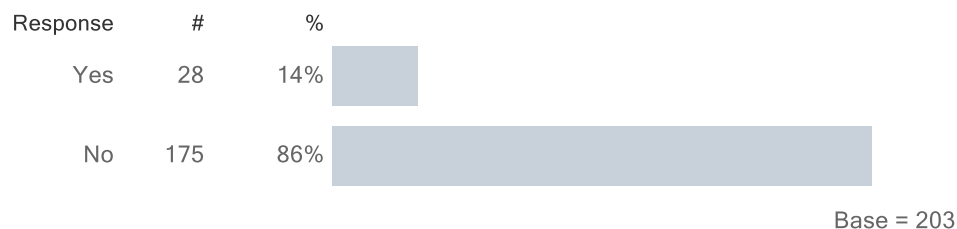
Chart 17 shows 91% of respondents strongly agreed and 8% agreed that the Fire and Rescue team who attended the scene kept the effects of the incident to a minimum.

**Chart 17:** Whether the Fire and Rescue team kept effects to a minimum



Respondents were asked whether they were required to relocate to another property as a result of the incident, of which 14% of respondents said they were (see Chart 18).

**Chart 18:** Whether respondents had to relocate to another property



Respondents were asked whether they, or anyone else were injured as a result of the incident. Chart 19 shows 10 respondents said that someone was injured (5%).

**Chart 19:** Whether anyone at the incident was injured \*



Respondents were also asked whether they or anyone else needed to take time off of work following the incident. Chart 20 shows there were 21 respondents who answered 'yes' (10%).

**Chart 20:** Whether anyone had to take time off of work

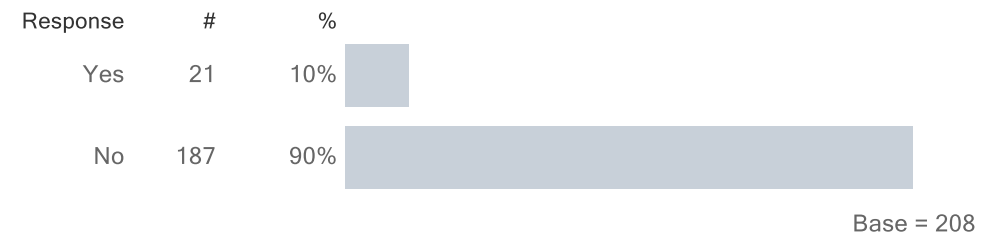


Chart 21 provides a station breakdown of the extent to which respondents agreed or disagreed that the Fire and Rescue service kept the effects of the incident to a minimum. Response rates were varied as a result of low base counts for some stations.

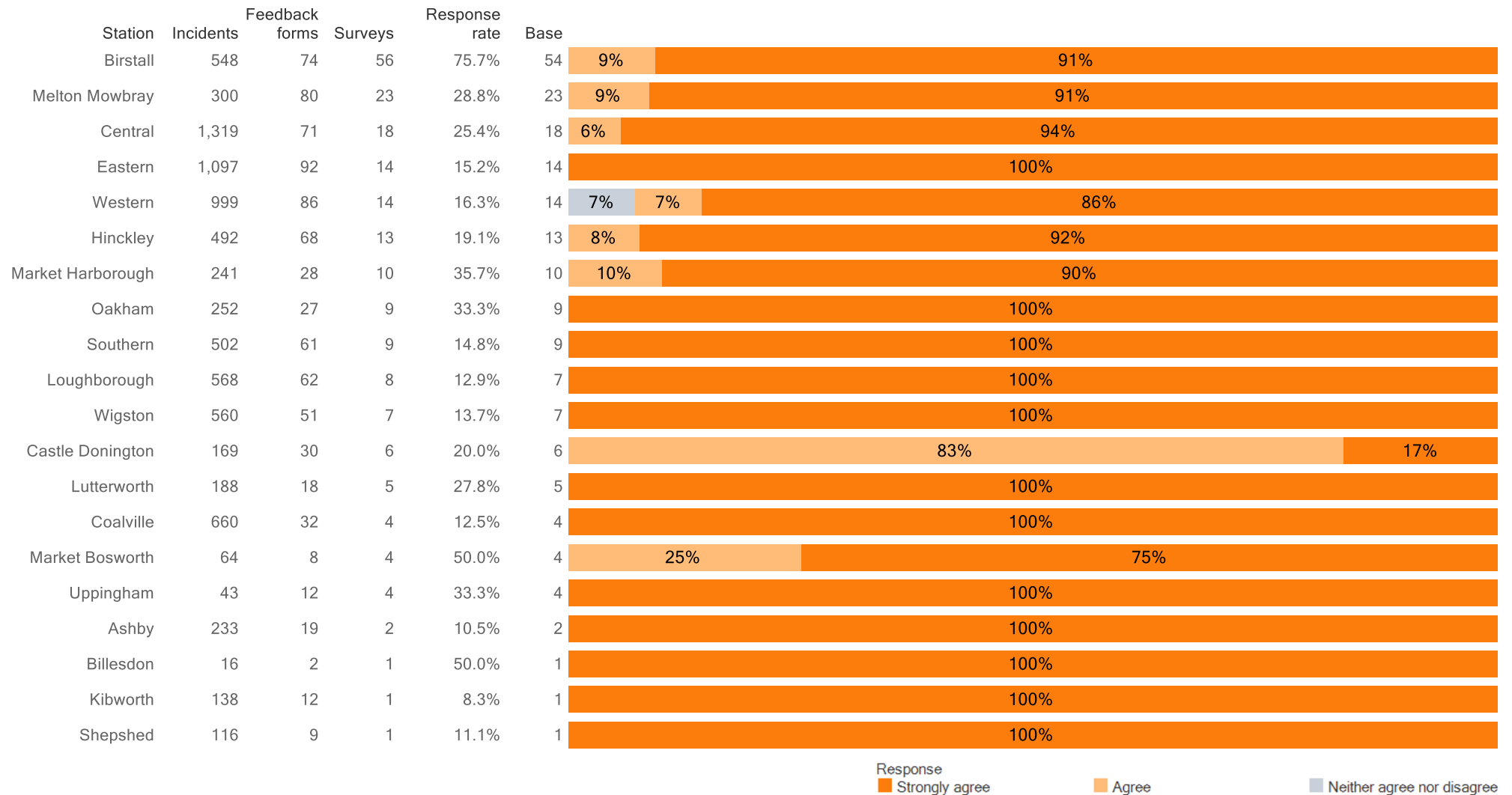
\* true injury rate is likely to be higher than reported, as feedback cards are less likely to be given out at incidents featuring significant injuries

## After the Incident survey results

Of those who had their incident handled by Western, 86% strongly agreed, 7% agreed and 7% neither agreed nor disagreed that the effects of the incident were kept to a minimum. Of those who had

an incident handled by Birstall or Melton Mowbray, 91% strongly agreed and 9% agreed that LFRS kept the effects of the incident to a minimum.

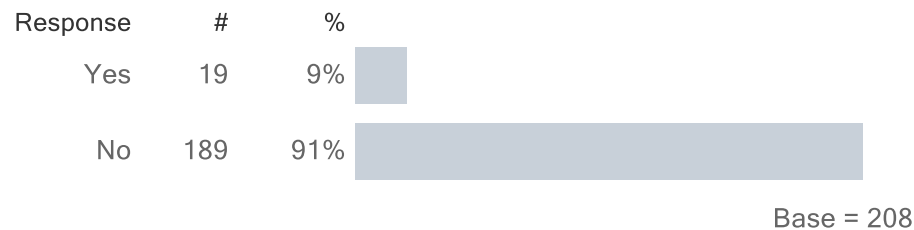
**Chart 21:** Keeping the effects of the incident to a minimum - Station breakdown (ordered by number of survey responses)



## Previous experience

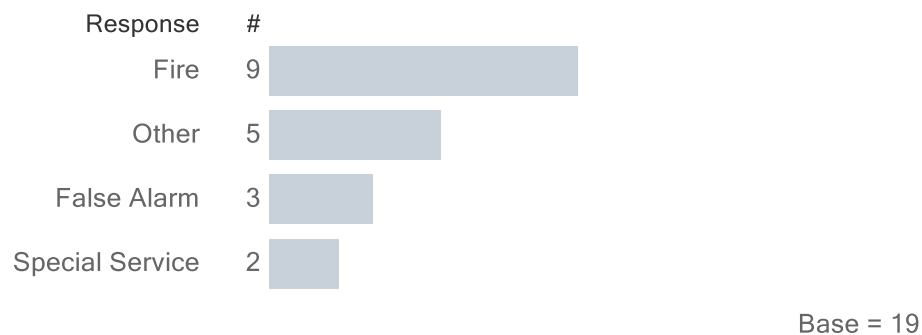
Respondents were asked whether they had previously had an incident during the past 3 years, even if the Fire and Rescue Service had not been called. Chart 22 shows that 19 respondents had (9%).

**Chart 22:** Respondents who had previous incidents in the last 3 years



Of those that had previously had an incident in the last 3 years: 9 incidents involved a fire, 3 were false alarms, 2 involved a special service and 5 were considered to be 'other' (as shown in Chart 23).

**Chart 23:** Previous incidents experienced by respondents



## Overall satisfaction

Chart 24 shows that 99% of respondents were very satisfied with the service they received from the Fire and Rescue service, from raising the call to any follow-up contact they had. One respondent said they were satisfied. Dissatisfaction was not expressed by any respondents.

**Chart 24:** Overall satisfaction with the service

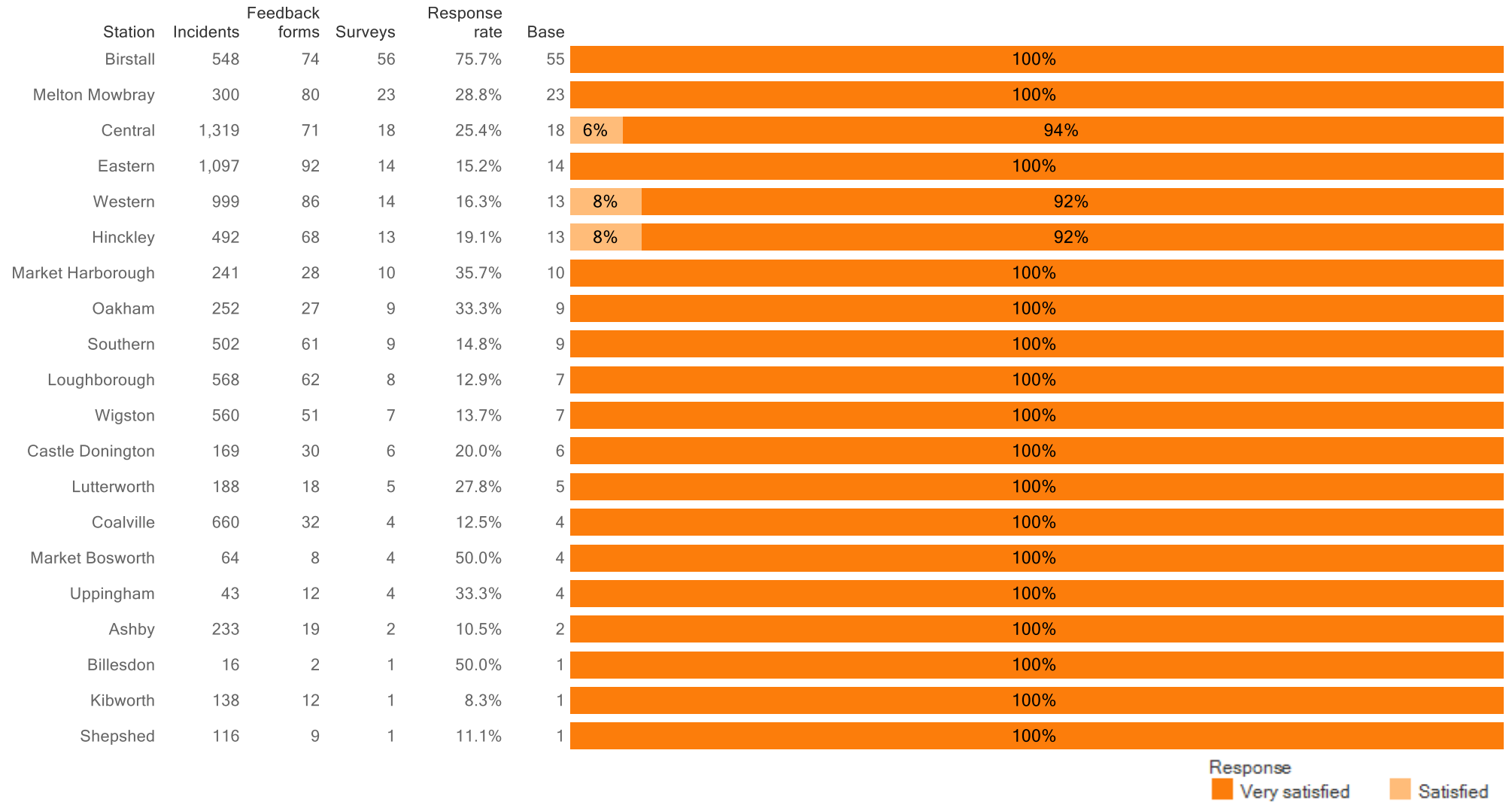


Chart 16 provides a station breakdown of how satisfied respondents felt with the overall service they received from LFRS. Response rates were varied as a result of low base counts for some stations.

Of the respondents who had an incident handled by Birstall, 100% said they were very satisfied overall with the service. Of the incidents handled by both Hinckley or Western, 92% of respondents were very satisfied and 8% of respondents were satisfied with the service overall.

# After the Incident survey results

**Chart 25:** Overall satisfaction with the service - Station breakdown (ordered by number of survey responses)





## Open-comment analysis

The following section provides analysis of the three open-comment survey questions (a full list of themes are available in Appendix 1).

### What did we do well?

Respondents were asked whether there was anything the Fire and Rescue Service did particularly well. Overall, the respondents provided very positive feedback to this question. Many of the respondents mentioned several of the coded themes within their response to this question.

A large number of respondents commented on how the Fire and Rescue Service team who attended their incident were calm and reassuring. Many mentioned how the team were helpful, informative and had given them useful advice. Others described the team using words such as: professional, kind, friendly, efficient, approachable, non-judgemental and brave.

Many respondents were impressed with other aspects of the service, particularly referencing how quick the team were to respond, their prioritisation of public safety and checking back after the incident. Several respondents appreciated the Fire and Rescue team's efforts to keep damage to a minimum.

One respondent specifically stated that the team who handled their incident were 'a credit to the Fire and Rescue Service'. Correspondingly, other responses included a 'thank you' or expressed how 'grateful' they were to the team; there were a few cases where the team had saved the respondent's life.

*"The Coalville crew were amazing! They talked us through what they were doing and why. Were very efficient, polite and reassuring to my teenage daughter as she was quite worried by the fire. They added a bit of humour to make a stressful scenario a bit more relaxed. A credit to the fire service"*

*"Throughout the call out the fire brigade were polite, really helpful & put me at ease. They kept me informed on everything they were doing & checked to make [sure] everything was safe & advised me on what to do next. I would like to do next. I would like to say a big thank you for all they did"*

*"The firefighters that came to help were extremely professional, very polite and helpful and left us with some very good advice. We were very impressed with how quickly they arrived and got the whole issue under control. They were very understanding and kind"*

*"The team at Leicestershire Fire and Rescue Services were here within minutes of reporting the fault. I have been advised on the correct steps that I will need to take as well as how they will be supporting me further to have this matter resolved. All members [were] empathetic and professional with their approach to the matter. I would like to thank everyone for the amazing service especially at this unreasonable hour of the morning"*

*"I had a heart attack and collapsed on the road. One of your firemen named [fireman's name] helped me up. And later, advised me what to do next. I continued with my days routine but went to A&E later because of his advice...It's because of [fireman's name] that I am alive today. He helped me that day, in more ways than one. He is a true hero and I owe him my life. Thank you so much for helping me"*

## After the Incident survey results

### **Was anyone dissatisfied?**

Respondents were asked if they were dissatisfied with any part of the service and to explain why. Many respondents did not answer this question and of those who did, the majority responded 'nothing at all', 'no' or 'not applicable'.

Several respondents left positive feedback, by expressing satisfaction of the service they received and their gratification for the Fire and Rescue team who handled their incident.

*"Absolutely nothing I could fault from the whole service"*

*"None... the guys are great and really need to be recognised for this"*

*"100% satisfied, fire crew were very professional in their duty"*

### **Were there any suggested improvements?**

Respondents were asked whether they had any suggestions for how the Fire and Rescue Service could improve their services.

Apart from 'no', 'n/a' or 'no improvement' responses, several respondents provided positive feedback about the specific team who handled their incident, or the Fire and Rescue service as an organisation. Some respondents left encouraging comments such as 'keep up the good work' and 'keep doing an amazing job'. Others thanked the team who attended their incident and commented on the professionalism of the service they received.

Whilst the majority of feedback provided were positive responses, there were a couple of suggestions made by respondents including: the possibility of sharing the location of the incident with LFRS via mobile to provide accurate directions and enable quicker arrival times and ensuring not to limit/ reduce coverage of fire stations across districts. Some expressed concerns about the future funding for and protection of our emergency services.

*"No improvements necessary. An exceptional service and lightning-fast"*

*"Excellent service. Thank you very much for all that you do"*

*"Keep doing what you all do – fantastic team work"*

*"Please keep local stations open. If you move them to a main town or single unit I feel this would be very dangerous move for everyone that lives in small towns & rural areas. They work brilliantly as they are"*

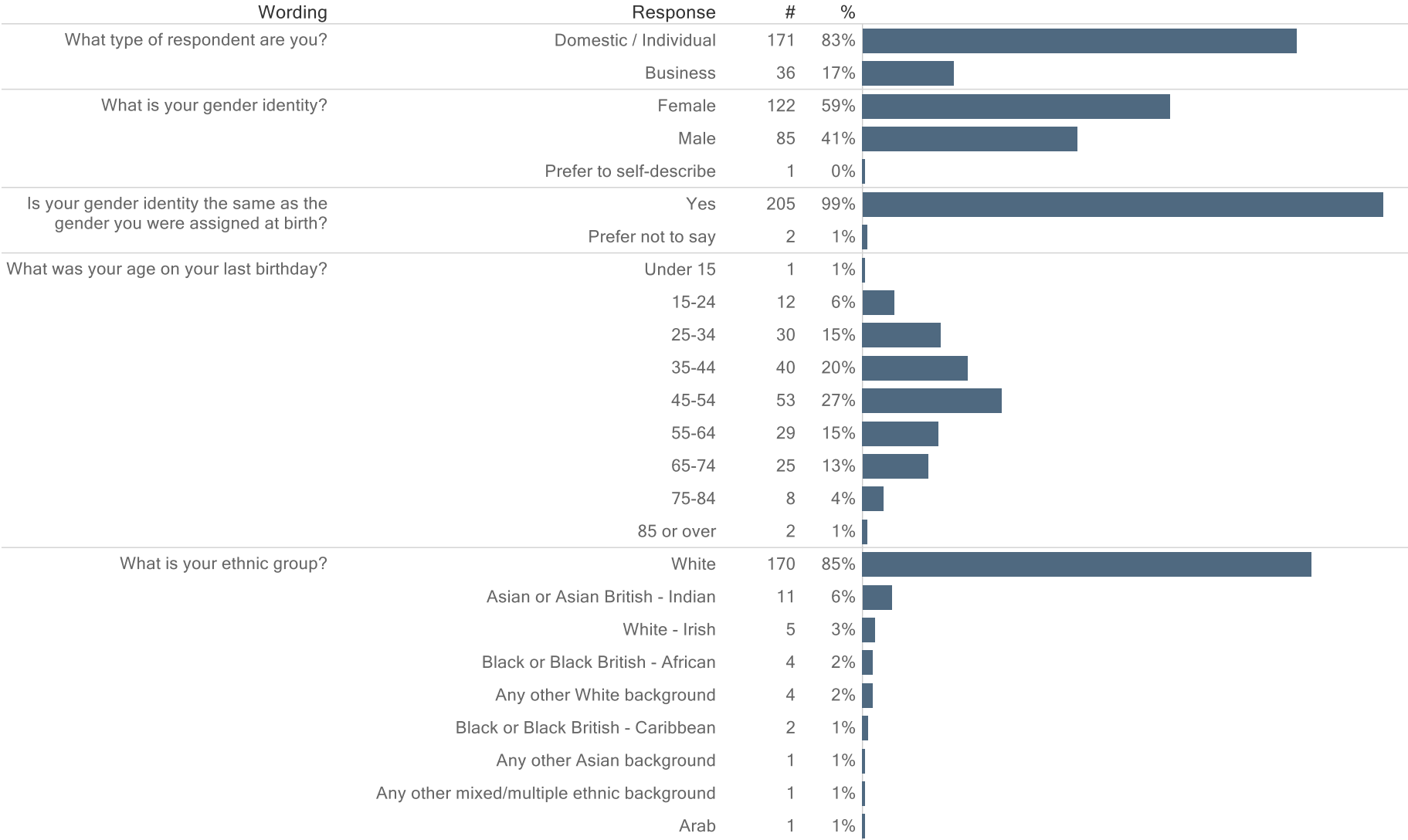
*"Nothing in terms of the firemen or the service, the bigger question is how do we protect the integrity of the service with the high demands being placed across the ambulance and other emergency services, so they can focus on what they do best"*

*"The only observation I can make is that as someone outside of the loop now I am not sure if social service will be contacted by the fire service to inform them of what has happened and how such incidents can be avoided in future. In particular, whether fire control can have the number to the key safe to gain access if they need to again in an emergency"*

*"The postcode for our property takes vehicles to an address to properties behind us on some sat-navs, as this used to be the access point to the new houses. So fire engines briefly went to the wrong road. Don't know what the solution is as a known problem. As I knew it was difficult to find us I sent someone down to end of road to wave in. How can residents help emergency services find them? Could sharing location on the mobile phone for example help?"*

# Respondent Demographics

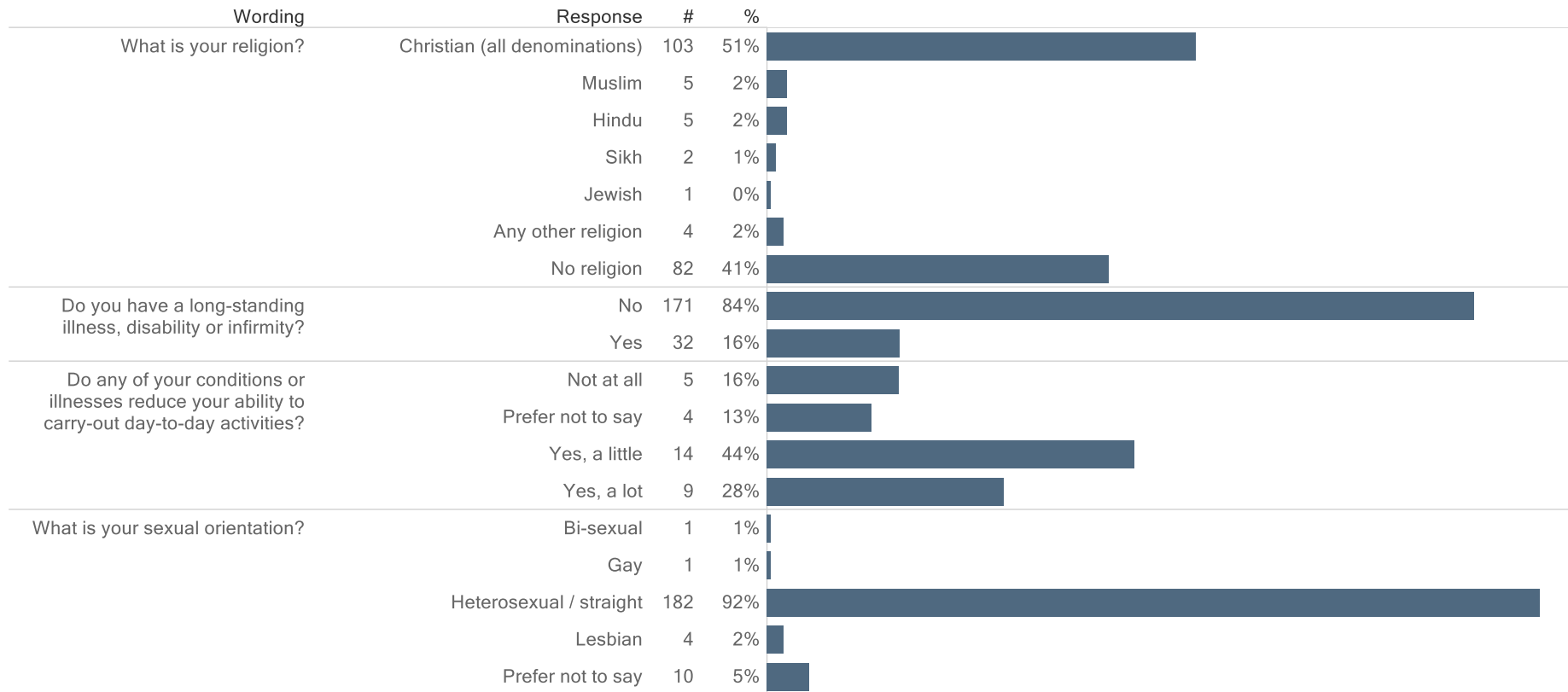
Chart 26: Respondent demographics



Base = 199 to 208

# After the Incident survey results

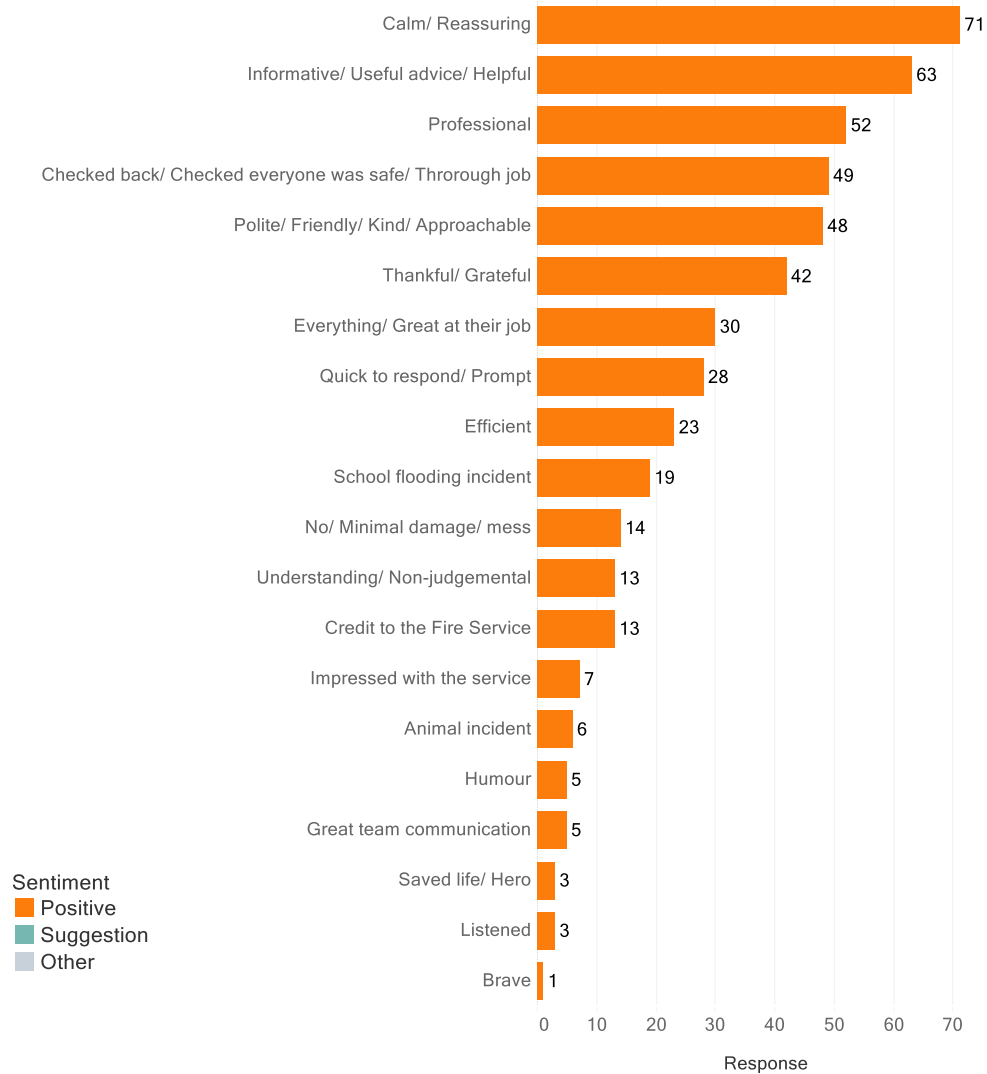
**Chart 27:** Respondent demographics (2)



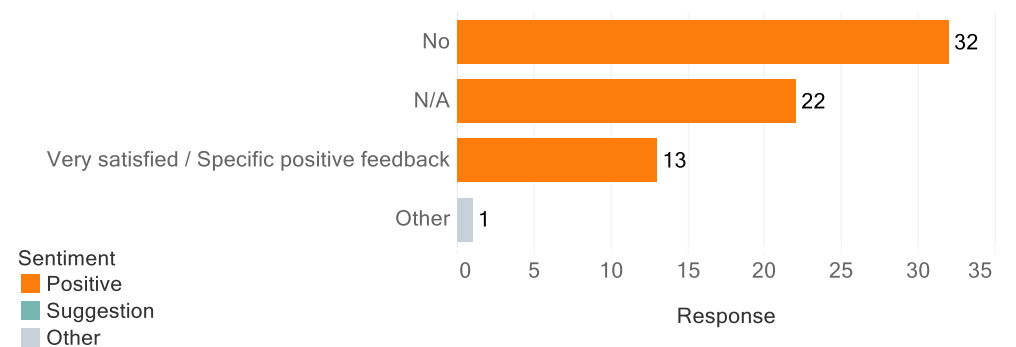
Base = 32 to 203

## Appendix 1 - All open comment themes

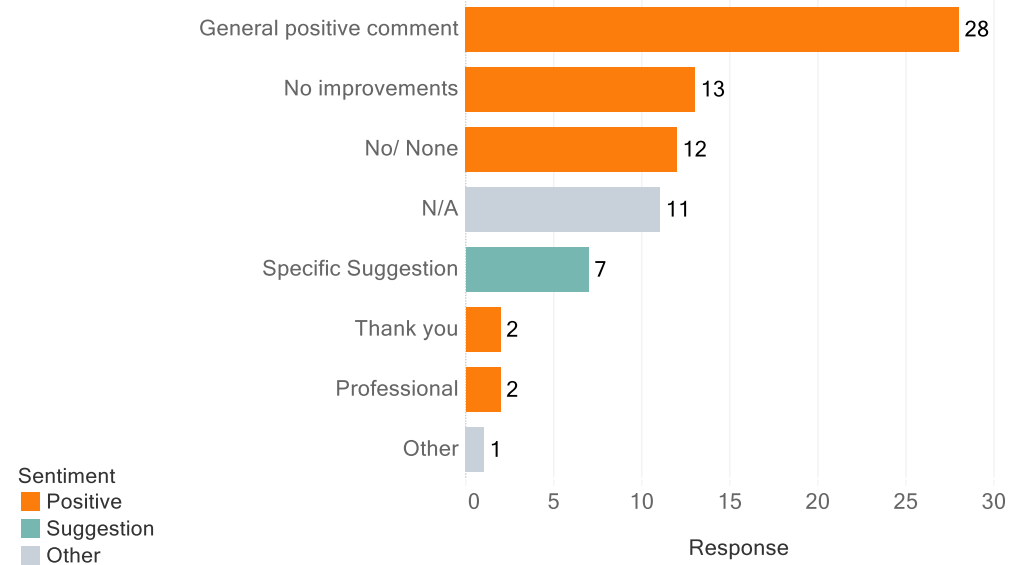
**Question 21:** Was there anything the Fire and Rescue Service did particularly well?



**Question 22:** If you were dissatisfied with any part of the service, please explain why .



**Question 23:** If you have any suggestions on how the Fire and Rescue Service could improve our service, please state below.



After the Incident survey results



**Main contact**

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Headquarters, 12 Geoff Monk Way, Birstall, Leicester LE4 3BU

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Report produced by Leicestershire County Council on behalf of the Leicestershire Fire and Rescue Service:

Strategic Business Intelligence Team  
Leicestershire County Council  
Tel 0116 305 7341  
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**Status of Report:** *Public*

**Meeting:** Corporate Governance Committee

**Date:** 16 September 2020

**Subject:** Appointment of Independent Persons

**Report by:** The Solicitor and Monitoring Officer

**Author:** Lauren Haslam, Monitoring Officer

**For:** Decision

### **Purpose**

1. This report concerns the appointment of Independent Persons to support the Member Conduct Complaints Process as required under Section 28 (7) of the Localism Act 2011 and to support the procedures for dealing with the dismissal of the Chief Fire and Rescue Officer, the Monitoring Officer and the Treasurer, as required by the Local Authorities (Standing Order) England Regulations 2001 (as amended).

### **Recommendation**

2. The Committee is asked to
  - a) note the decision taken by the Committee and the Chairman on 12 June 2020 to approve the joint recruitment process with Leicestershire County Council; and
  - b) recommend that the Combined Fire Authority at its meeting in September 2020 appoint Richard Gough, Gordon Grimes, Tina Herring, Hema Kotecha, Surinder Sharma and Pamela Roberts to serve as Independent Persons for a term of four years ending on 30 September 2024.

### **Executive Summary**

3. The Localism Act 2011 sets out provisions regarding the conduct of members and requires that the CFA appoint at least one Independent Person, whose view must be sought and taken into account by the Authority before it makes a decision on any allegation and whose views may be sought about allegations. In addition, The Local Authorities (Standing Order) England (Amendment) Regulations 2015 set out a new procedure for dealing with the possible dismissal of the Chief Fire and Rescue Officer, the Monitoring Officer and the Treasurer and this was adopted by the CFA on 11 December 2017.
4. The Term of Appointment for the Independent Persons recruited in 2017 will cease on 20 September 2020. A joint recruitment process was undertaken with Leicestershire County Council over the summer to recruit and appoint a new

pool of independent persons that can support both organisations' member complaints process and the dismissal process for senior officers. Interviews were carried out in early September and it is proposed that six Independent Persons are appointed. The term of appointment would be for four years, ceasing on 30 September 2024.

## **Background**

5. The Terms of Appointment for the Independent Persons appointed by the Combined Fire Authority in 2017 will cease on 30 September 2020 and a new joint recruitment process was proposed with Leicestershire County Council. A report, seeking approval to undertake the joint recruitment process was circulated to Corporate Governance Committee members and was considered virtually as the Committee did not meet in July. This approach was approved by the Committee members and confirmed by the Chairman on 12 June 2020. For both the Combined Fire Authority and the County Council, the Independent Persons will be appointed for a period of four years until 30 September 2024 to support both member conduct and Chief Officer dismissal processes as outlined above.
6. The position was publicly advertised and an interview process undertaken to recruit a pool of Independent Persons. The Interview Panel consisted of Members drawn from the Corporate Governance Committee and the Employment Committee of both the CFA and the County Council, supported by the County Council's Assistant Director of Corporate Resources – Corporate Services and the Head of Law (the Deputy Monitoring Officer).
7. The Committee on Standards in Public Life completed a review into Local Government Ethical Standards and the recommendations are still being reviewed. When these have been finalised, the CFA will adapt recruitment processes for Independent Persons accordingly.

## **Proposed Appointments**

10. A pool of six candidates is recommended for appointment for the four-year term from 30 September 2020 to cover the joint role of supporting the CFA and the County Council, to allow greater flexibility and to avoid the possibility of a conflict of interest. All those recommended are eligible, live in Leicester or Leicestershire and are considered suitable candidates.
11. The regulations permit independent persons to be reappointed. The Monitoring Officer wrote to both the CFA's and the Council's existing appointees to thank them for their work to date and confirm that they are welcome to re-apply. Three of the six proposed appointees are existing Independent Persons for either the CFA or the County Council.



12. The Appointment Committee met on Friday 4 September 2020 to interview candidates and agreed to recommend the following people for appointment:-

Richard Gough  
 Gordon Grimes  
 Tina Herring  
 Hema Kotecha  
 Surinder Sharma  
 Pamela Roberts

Further details of the above candidates are set out in the Appendix to this report.

13. Candidates will be appointed for a term of four years until 30 September 2024.

#### Timetable

14. The following timetable is proposed:

- A report be presented to the CFA for approval on 23 September.
- Independent Persons be appointed on 30 September 2020 for a term of four years.

#### **Report Implications/Impact**

15. Legal (including crime and disorder)

The Localism Act 2011 sets out provisions regarding the conduct of members. It is a requirement under this Act that the CFA appoint at least one Independent Person, whose view must be sought and taken into account by the Authority before it makes a decision on any allegation and whose views may be sought about allegations.

The Local Authorities (Standing Order) England (Amendment) Regulations 2015 set out a new procedure for dealing with the possible dismissal of the Chief Fire and Rescue Officer, the Monitoring Officer and the Treasurer and this was adopted by the CFA on 11 December 2017.

16. Financial (including value for money, benefits and efficiencies)

By running a joint recruitment process for both the CFA and the County Council, economies of scale were achieved through reduced advertising costs, officer administration time and the servicing of a joint recruitment Panel.

Any payments made to the independent persons appointed, for travel and subsistence expenses (where appropriate), will fall outside the Members Allowance Scheme which only applies to either elected or co-opted members of either Authority. An allowance is not proposed.

17. Risk (including corporate and operational, health and safety and any impact on the continuity of service delivery)

None.

18. Staff, Service Users and Stakeholders (including the Equality Impact Assessment)

The opportunities were advertised widely to ensure that a diverse pool of potential applicants was aware of the opportunities available.

19. Environmental

None.

20. Impact upon "Our Plan" Objectives

None.

## **Appendix**

Proposed Independent Persons 2020

### **Officers to Contact**

Lauren Haslam, Monitoring Officer

[Lauren.haslam@leics.gov.uk](mailto:Lauren.haslam@leics.gov.uk)

0116 305 6240

Gordon McFarlane, Assistant Director of Corporate Services, Leicestershire County Council

Tel: 0116 305 6123

E-mail: [Gordon.mcfarlane@leics.gov.uk](mailto:Gordon.mcfarlane@leics.gov.uk)

Anthony Cross, Head of Law (Deputy Monitoring Officer), Leicestershire County Council

Tel: 0116 305 6169

E-mail: [anthony.cross@leics.gov.uk](mailto:anthony.cross@leics.gov.uk)

**Proposed Independent Persons 2020****Mr Richard Gough**

Mr Gough has been an Independent Person for the Combined Fire Authority since 2012 and was also appointed in the same year, as an Independent Person by Leicestershire Borough and District Councils. He served as a Magistrate on the Leicester Bench for 20 years. His previous career was in the financial services industry. He lives in Wigston Fields.

**Mr Gordon Grimes**

Mr Grimes, a retired Senior Civil Servant, has been an Independent Person for the Combined Fire Authority and the County Council since 2012; and also for other authorities in Leicester, Leicestershire and Rutland. He lives in Enderby.

**Ms Tina Herring**

Ms. Herring, now retired from a career in education, has worked as a Head Teacher and also as an inspector with OFSTED. She is currently an independent non-executive Director of Kent County Council's education services company. She lives in Leicester.

**Mrs Hema Kotecha**

Mrs Kotecha has worked in police forensics for over 13 years and currently works for Dorset Police. She has a wide range of skills including investigating, analysing information, compiling evidence and ensuring that standards are maintained. She lives in Kibworth.

**Prof. Surinder Sharma**

Prof. Sharma has been an Independent Person for the County Council since 2012. He has wide ranging experience gained from working in the public, private and voluntary sectors, has been Chair of the Equal Opportunities Commission, a Magistrate and an elected member of a local authority. He is currently Chairman of the Leicester Racial Equality Council. He lives in Stoneygate.

**Ms Pamela Roberts**

Ms Roberts, a retired Civil Servant, has a wide career in public service, including in local government. She has a wide experience of policy formation and delivery, planning and ensuring that standards are maintained. She currently volunteers as a Trustee at a local charity. She lives in Market Harborough.

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