

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

To: Members of the Corporate Governance Committee

Cllr K Bool (Chairman)

Cllr S Barton
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 18 November 2020** at **2pm** 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 18 NOVEMBER AT 2PM**

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. Apologies for absence.		
2. To receive declarations by members of interests in respect of items on this agenda.		
3. To advise of any other items which the Chair has decided to take as urgent.		
4. Chair's Announcements.		
5. Minutes of the meeting held on 16 September 2020.		(Pages 5 - 14)
6. Financial Monitoring to the end of September 2020.	The Treasurer	(Pages 15 - 20)
7. Performance Monitoring April - September 2020.	The Chief Fire and Rescue Officer	(Pages 21 - 58)
8. Progress against the Internal Audit Plan 2020/21.	The Treasurer	(Pages 59 - 78)
9. Update on Developments on Local (External) Audit Arrangements.	The Treasurer	(Pages 79 - 90)
10. Industrial Action Business Continuity Planning.	The Chief Fire and Rescue Officer	(Pages 91 - 94)
11. Service Development Programme and 'Our Plan 2020-24' Update.	The Chief Fire and Rescue Officer	(Pages 95 - 108)
12. Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services Improvement Plan and Covid-19 Inspection.	The Chief Fire and Rescue Officer	(Pages 109 - 112)

13. Annual Procurement Report 2019-20. The Chief Fire and Rescue Officer (Pages 113 - 118)
14. Urgent Items.
15. Date of Next Meeting.

The next meeting of the Corporate Governance Committee will be held on Wednesday 20 January 2021 at 2pm via Microsoft Teams.

Minutes of a meeting of the CFA - Corporate Governance Committee held via Microsoft Teams on Wednesday, 16 September 2020.

PRESENT

Cllr. K. Bool (in the Chair)

Cllr. S. Barton
Mr. J. G. Coxon CC
Cllr. L. Fonseca
Mr. D. Harrison CC

Mr. J. Kaufman CC
Ms. Betty Newton CC
Cllr. A. Thalukdar

Apologies

Mr. I. E. G. Bentley CC.

In attendance

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

68. Appointment of Chairman.

At the Leicester, Leicestershire and Rutland Combined Fire Authority meeting on 29 July 2020, Councillor Bool was nominated as Chairman Elect of the CFA's Corporate Governance Committee.

It was moved by Mrs. M. E. Newton CC and seconded by Mr. D. Harrison CC that Councillor K. Bool be appointed Chairman of the CFA's Corporate Governance Committee for the period ending with the date of the Annual Meeting of the Combined Fire Authority in 2021.

RESOLVED:

That Councillor K. Bool be appointed Chairman of the CFA's Corporate Governance Committee for the period ending with the date of the Annual Meeting of the Combined Fire Authority in 2021.

Councillor K. Bool in the Chair

69. Election of Vice Chairman.

The Chairman confirmed that at the Annual Meeting of the Leicester, Leicestershire and Rutland Combined Fire Authority on 29 July 2020, Mrs. M. E. Newton CC was nominated as Vice Chairman Elect of the CFA's Corporate Governance Committee.

It was moved by Councillor Bool and seconded by Councillor Thalukdar that Mrs. M. E. Newton CC be appointed Vice Chairman of the CFA's Corporate Governance Committee for the period ending with the date of the Annual Meeting of the Combined Fire Authority in 2021. There being no other nominations, the Chairman declared Mrs. M. E. Newton CC be appointed Vice Chairman of the CFA's Corporate Governance Committee.

RESOLVED:

That Mrs. M. E. Newton CC be appointed Vice Chairman of the CFA's Corporate Governance Committee for the period ending with the date of the Annual Meeting of the Combined Fire Authority in 2021.

70. Apologies for absence.

Apologies were received from Mr. Bentley CC.

71. 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.

72. Urgent items.

There were no urgent items.

73. Chair's Announcements.

The Chairman's Announcements were circulated at the meeting, a copy of which is filed with these minutes.

The Announcements covered the following matters:

- An update on the recent staff changes at Leicestershire Fire and Rescue Service;
- Fire Communications Upgrade – hand-held radios
- Uppingham School Fire

The Chairman praised the support of the Leicestershire Fire and Rescue Service in tackling the fire at Uppingham School.

There were no further announcements made.

74. Minutes of the meeting held on 11 March 2020.

The minutes of the meeting held on 11 March 2020 were taken as read, confirmed and signed.

75. Draft Statement of Accounts and Annual Governance Statement 2019/20.

The Committee considered a report of the Treasurer concerning the Draft Statement of Accounts and Annual Governance Statement 2019/20. A copy of the report, marked 'Agenda Item 8', is filed with these minutes.

The Chairman welcomed Gavin Barker from Mazars, the independent External Auditors, to the meeting.

Members were informed that the external auditors had liaised with staff throughout lockdown to complete the audit remotely.

The assurance regarding the Pension Fund was awaited; this was completed by an external company and was expected in the last half of October. Mazars would complete the Assurance and issue an opinion once this had been received.

Members were assured that the significant issues experienced with last years' audit had been addressed and the audit had progressed well, with no significant issues arising.

Mazars informed members that there would be an increase in the fee agreed for the 2019/20 audit due to changes to the Regulations, which had increased the amount of work required by the auditors. The audit fees were controlled by the appointing body Public Sector Audit Accounts Ltd (PSAA) and were set a few years ago. This was now insufficient to cover the work currently required to compete an audit. It was expected that the additional fee would be in the region of £4,500. In response to Members' concerns, Mazars said that the exact increase would be clarified with the Treasurer along with the reasons for the increase, which was in line with what was happening elsewhere. The Treasurer informed members that the issue of audit fees would be discussed at a future meeting.

Following questions, members were informed that the increase in staff who earned more than £40,000 salary detailed on page 75 of the Draft Annual Accounts 2019/20 Officers' Remuneration was not additional staff recruited to the service. The data showed that staff had moved from one pay bracket to another as part of their annual increment and pay award. This would not increase costs to the Service, as salary increases were expected and had been factored into the budget forecast. As there was no requirement to detail salary levels up to £50,000 in the final set of the Accounts, the top two rows detailed on page 75 of the Accounts (showing staff earning £40,000-£44,999 and £45,000-49,999) would be removed.

The recommendations in the report were moved by Councillor Bool and seconded by Mrs Newton.

RESOLVED:

That

- a) the draft Statement of Accounts and Annual Governance Statement for 2019/20 attached at Appendix 1 to the report, be noted prior to approval by the CFA; and

- b) the external audit update report provided by Mazars attached at Appendix 2 to the report, particularly the significant improvements made by the Authority in working practices since the presentation of the Accounts in 2019, be noted.

76. Financial Monitoring to end July 2020.

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 July 2020. A copy of the report, marked 'Agenda Item 9', is filed with these minutes.

The Treasurer explained that the transfer of £1,434,000 of unbudgeted additional income to an earmarked reserve had been generated from the continuing uncertainty over grant income. This related to the New Dimensions Grant, the allocation of which was higher than expected or budgeted, so generating a surplus, and also from Covid-19 grant funding where it had been difficult to predict the impact of the pandemic on the Fire Authority. As the future situation was unpredictable and likely to continue into the longer-term, it was proposed to transfer the money to the earmarked reserve to address the potential future impacts of the pandemic.

The Interim Chief Fire and Rescue Officer added that a surplus had also been generated from the budget for recruitment of retained staff, which had regularly underspent over the last five years. The aspiration was to recruit a full complement of on-call staff, but in reality, this had been challenging to achieve, which followed the national trend, so generating a surplus. He added that some of the reserved budget would be reallocated to meet legislative changes as a result of the outcome of the Grenfell enquiry.

The recommendations in the report were moved by Councillor Bool and seconded by Mr. D. Harrison CC.

RESOLVED:

That

- a) the revenue budget and capital programme position as at the end of July 2020 be noted; and
- b) the transfer of £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, be approved.

77. Head of Internal Audit Service Annual Report 2019/20.

The Committee considered a report of Treasurer concerning the Head of Internal Audit Service Annual Report 2019/20. A copy of the report, marked 'Agenda Item 10', is filed with these minutes.

Members were informed that for 2019/20 reasonable assurance that overall the control environment was adequate and effective had been reported. Whilst there were areas that required further attention, the controls to mitigate key risks were generally operating effectively. The Head of the Internal Audit Service (HoIAS) said that he was, on the whole, satisfied with the management response to resolving identified issues. The audit days provided were as planned.

In response to questions, members were assured that:

- i. the Internal Audit team would continue to follow up the High Importance recommendations until full assurance could be given;
- ii. the Service had recently recruited to some of the vacant posts which would help to progress the areas of concern and lead to full assurance ratings in the future.

The Treasurer echoed the comments made.

It was moved by Mrs. M. E. Newton CC and seconded by Mr. D. Harrison CC that the Head of Internal Audit Service Annual Report 2019/20 be noted.

RESOLVED:

That the Head of Internal Audit Service Annual Report 2019/20 be noted.

78. Progress against the Internal Audit Plan 2020/21.

The Committee considered a report of the Treasurer concerning the progress made in delivering the Internal Audit Plan 2020 – 21. A copy of the report, marked 'Agenda Item 11', is filed with these minutes.

Members were informed that the Plan had been amended as a result of the Covid-19 pandemic since its approval in March 2020 and, despite the challenging year, more than 60% of the Plan was being addressed. Only one area of work had been delayed due to Covid-19 which was a significant achievement and demonstrated the excellent working relationship with the Service and Leicester City Council.

Regarding the High Importance recommendations, members were informed that for:

- i. Change management processes, a view could not be given until November when the new Service Desk Management System had established;
- ii. Key Financials and Key Controls Payroll, it was more efficient for this to be audited as part of the 2021 work, which was expected to start in November; and
- iii. Contract Procedure Rules would be addressed as part of a project at the Service and detail of this would be included in the progress report to the Committee in March 2021.

Members were assured that work was continuing during the pandemic, with a slightly different method of delivery. Most evidence was collected electronically with occasional on-site visits.

The pandemic had created additional risks including cyber security, IT infrastructure, remote access and security and the need to manage the capacity of the network. The best approach to the completion of this work was currently being discussed with officers and an update would be provided to the Committee in March 2021.

It was moved by Councillor K. Bool and seconded by Mrs. M. E. Newton CC that the progress against the Internal Audit Plan 2020/21 be noted.

RESOLVED:

That:

- a) the progress against the Internal Audit Plan 2020/21 be noted;
- b) that the update provided to the Committee in March 2021 would detail progress with the High Importance Recommendation - Contract Procedure Rules and also the audit work completed on the risks associated with Covid-19.

79. Performance Monitoring April - July 2020.

The Committee considered a report of the Interim Chief Fire and Rescue Officer which presented an update on the performance of the Leicestershire Fire and Rescue Service (LFRS) for the period April to July 2020. A copy of the report, marked 'Agenda Item 12', is filed with these minutes.

Arising from discussion, the following points were raised:

- i. Performance had been heavily influenced by the Covid-19 pandemic. Some performance indicators had decreased as a result including the number of calls/incidences, attendance times and sickness rates;
- ii. The number of fire inspections and Home Fire Safety Checks had reduced as businesses had closed during lockdown, workers had been furloughed and the Service was unable to access residents' homes;
- iii. Whilst there had been a reduction in the number of fatalities in a non-fire environment (usually road traffic collisions), the majority of those recorded linked to accessing residents' property and welfare issues.
- iv. Performance followed the national trend.

It was moved by Councillor K. Bool and seconded by Mrs. M. E. Newton CC that the performance of the Leicestershire Fire and Rescue Service for the period April – July 2020 be noted.

RESOLVED:

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

80. Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services Improvement Plan.

The Committee considered a report of the Interim Chief Fire and Rescue Officer concerning progress made with the implementation of the Improvement Plan. A copy of the report marked 'Agenda Item 13' is filed with these minutes.

Members were informed that HMICFRS would visit the Service in October to conduct a Covid-specific inspection. It was expected to be a lighter inspection than previously; interviews would be conducted with officers and the Chairman of the CFA. New staff had recently been appointed, and it was hoped that some of the areas identified in need of attention in the Inspection report would be addressed. This was especially so for the new Head of Organisational Development, who would drive forward the 'people' elements of the Improvement Plan.

It was moved by Councillor K. Bool and seconded by Mr. D. Harrison that the progress made with delivery of the Improvement Plan be noted.

RESOLVED:

The progress made with delivery of the Improvement Plan be noted.

81. Service Development Programme and 'Our Plan 2020-24'.

The Committee considered a report of the Interim Chief Fire and Rescue Officer concerning progress made since March 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 14', is filed with these minutes.

The Chief Fire and Rescue Officer informed Members that a key piece of work as part of the Service Development Programme had been the appointment of a new payroll provider, and he thanked the Treasurer and her Team for their support.

It was moved by Councillor K. Bool and seconded by Mrs. M. E. Newton CC that 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 be noted.

RESOLVED:

That 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 be noted.

82. Organisational Risk Register.

The Committee considered a report of the Interim Chief Fire and Rescue Officer concerning progress made with the identification, documentation and management of organisational risk through the Organisational Risk Register. A copy of the report, marked 'Agenda Item 15', is filed with these minutes.

The Interim CFO informed members that Covid-19 was continuing to pose a challenge to the Service and the Risk register would continue to evolve as the dynamics of service delivery changed in response to the pandemic. However, there were currently no major areas of concern.

It was moved by Mr. D. Harrison and seconded by Councillor S. Barton that the content of the report and the Organisational Risk Register be noted.

RESOLVED:

That the content of the report and the Organisational Risk Register be noted.

83. Governance Update.

The Committee considered a report of the Monitoring Officer concerning governance and ethical issues. A copy of the report marked 'Agenda Item 16' is filed with these minutes.

The Monitoring Officer informed members that it was intended to review and update the policies for Gifts and Hospitality and Whistleblowing to ensure that they were still fit for

purpose. If significant changes were proposed, they would be brought back to the Committee for approval. There were no standards issues or complaints related to members.

It was moved by Councillor K. Bool and seconded by Mr. J. Coxon CC that the update provided on governance and ethical issues be noted.

RESOLVED:

That the update provided on governance and ethical issues be noted.

84. After the Incident Survey 2019/20.

The Committee considered a report of the Interim Chief Fire and Rescue Officer concerning the outcomes of the After the Incident Survey 2019/20. A copy of the report marked 'Agenda Item 17' is filed with these minutes.

Arising from discussion, the following points were raised:

- i. A considerable amount of time and effort had been invested in the system and officers were pleased that this had resulted in positive outcomes. Plans were now in place to revise the Survey so that it included more 'open' questions to enable it to be used as an improvement tool in the future.
- ii. Officers would be sharing best practice from those stations that had higher response rates to the Survey to ensure that this success was replicated across the area.
- iii. The timing for the issuing of the Survey was critical and sensitive according to the type of incident attended; Officers attending the incident used their discretion at the time.

Members noted that respondent demographics showed a higher percentage of females completed the Survey and that respondent data did not reflect the demographics of the area. The Interim Chief Fire and Rescue Officer said that this data would also be reviewed to ensure that Surveys were being distributed fairly and equally, and to consider including a variety of methods for the submission of feedback; currently this was only completed online, which was recognised as a potential barrier to some people.

It was moved by Councillor S. Barton and seconded by Mr. D. Harrison CC that the After the Incident Survey Summary findings be noted.

RESOLVED:

That the After the Incident Survey Summary findings be noted.

85. Appointment of Independent Persons.

The Committee considered a report of the Monitoring Officer concerning 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). A copy of the report marked 'Agenda Item 18' is filed with these minutes.

It was moved by Councillor K. Bool and seconded by Mrs. M. E. Newton CC that

- a) the decision taken by the Committee and the Chairman on 12 June 2020 to approve the joint recruitment process with Leicestershire County Council be noted; and
- b) the Combined Fire Authority at its meeting in September 2020 be recommended to 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.

RESOLVED:

That:

- c) the decision taken by the Committee and the Chairman on 12 June 2020 to approve the joint recruitment process with Leicestershire County Council be noted; and
- d) the Combined Fire Authority at its meeting in September 2020 be recommended to 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.

86. Date of Next Meeting.

The next meeting of the Corporate Governance Committee is scheduled to be held on 18 November 2020 at 2pm via Microsoft Teams.

2.00 - 3.35 pm
16 September 2020

CHAIRMAN

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Status of Report: Public

Meeting: Corporate Governance Committee

Date: 18th November 2020

Subject: Financial Monitoring to end September 2020

Report by: The Treasurer

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

For: Discussion

Purpose

1. This budget monitoring report is the second in the budget monitoring cycle and presents the key issues arising from the revenue budget and capital programme as at the end of September 2020 (Financial Period 6 in 2020/21 year).

Recommendation

2. The Committee is asked to note the revenue budget and capital programme position as at the end of September 2020.

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 £508,000 mainly as a result of underspends on employee costs of £580,000, a significant element being unfilled vacancies. This overall impact of this underspend is being reduced by the loss of income due to the Covid-19 pandemic.
5. The capital position is reporting spend of £856,000 during the first six 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 the New Dimensions Grant has been received, this has been transferred to an earmarked reserve, following approval by the Corporate Governance Committee at its meeting on 16 September 2020.

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 £508,000.

Table 1 - 2020/21 Revenue Budget	Annual Budget £000	Forecast Outturn £000	Variance £000
Employees	28,930	28,350	(580)
Premises	2,359	2,359	0
Transport	983	983	0
Supplies and Services	3,464	3,464	0
Capital Financing	3,906	3,906	0
Total Expenditure	39,643	39,063	(580)
Income	(39,643)	(39,571)	72
(Under)/Over Spend	0	(508)	(508)

8. The following notes relate to issues currently highlighted:

Employees

- i. The support staff pay budget is currently forecasting an underspend of £300,000. This is due to the vacancies within the establishment partially offset by temporary agency cover.
- ii. Retained staff is currently forecasting an underspend of £280,000 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 £580,000 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). This additional funding has been transferred to a reserve 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.

Table 2 2020/21 Capital Programme	Programme after Carry Forwards	Actual Year to Date	Forecast Outturn	Slippage	Forecast (Savings)/ Overspends
	£'000	£'000	£'000	£'000	£'000
Vehicles	2,586	357	1,837	749	0
Property	630	0	630	0	0
IT and Equipment	1,303	499	1,303	0	0
Fire Control	318	0	318	0	0
Life Safety Sprinkler	50	0	50	0	0
TOTAL	4,887	856	4,138	749	0

10. Due to the Covid-19 pandemic there has been less than anticipated expenditure in the first six months of the year. At this early stage in the programme projects are progressing and there are limited carry forwards identified.

Report Implications/Impact

11. Legal (including crime and disorder)

There are no legal implications arising from this report.

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)

There are no staff, service user or stakeholder implications arising from this report.

15. Environmental

There are no environmental implications arising from this report.

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

Report to the Combined Fire Authority 12 February 2020 - Budget Strategy 2020/21 to 2021/22 <https://leics-fire.gov.uk/your-fire-service/decision-making/cfa-meetings/>

Report to the Combined Fire Authority 29 July 2020 - Revenue and Capital Outturn 2019/20
<https://leics-fire.gov.uk/wp-content/uploads/2020/07/revenue-and-capital-outturn-2019.pdf>

Report to the Corporate Governance Committee 16 September 2020 – Financial Monitoring to end of July 2020
<https://leics-fire.gov.uk/wp-content/uploads/2020/09/financial-monitoring-final.pdf>

Officers to Contact

Alison Greenhill, Treasurer
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Amy Oliver, Chief Accountant
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Status of Report: Public

Meeting: Corporate Governance Committee

Date: 18 November 2020

Subject: Performance Monitoring April to September 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 with an update on the performance of the Leicestershire Fire and Rescue Service for the period April to September 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 September 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 aligns with the height of the Covid-19 pandemic and as such some figures, for example, 'total incidents' are smaller than the previous three-year average. There has been a small increase in the number of fire false alarm incidents, primarily due to apparatus alerts.
6. 'On-Call appliance availability' remains higher due to more On-Call staff being available due to being furloughed from their primary employment and there has been an increase in the number of home safety checks being undertaken due to new ways of working which were introduced as a result of the Covid-19 restrictions.

Background

7. The detailed Performance, attached at the Appendix, has been created following consultation with members of the Corporate Governance Committee at a Performance Reporting Workshop held on 20 November 2019. The agreed changes became effective from April 2020.

8. One report is now published for the Committee, 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 by members, with performance now being compared against the last three-year average.
9. Life risk incident attendance times (KCI 3.2) are now measured against a 10-minute average as agreed in the Integrated Risk Management Plan. To ensure consistency with the Home Office and the reporting mechanisms of Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services the average response time to primary fires is also included.

Report Implications/Impact

10. 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.

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

There are no financial implications arising from this report.

12. 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.

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

Any identified action plans will be developed and delivered by relevant managers and staff.

14. Environmental

There are no environmental implications arising from this report.

15. 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 September 2020.

Officers to Contact

Callum Faint, Chief Fire and Rescue Officer

callum.faint@leics-fire.gov.uk

0116 2105555

Chris Moir, Planning Manager

chris.moir@leics-fire.gov.uk

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Performance Update: April to September 2020

Table 1: Key Performance Indicators

Ref	Key Corporate Indicator	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Actual	3-Year Average	Differ
KCI 1 Incidents Attended																
I.1	Total incidents	580	741	643	613	656	701							3934	4346	-412
I.2	Fire incidents	172	248	189	182	166	170							1127	1375	-248
a	Primary fire incidents	76	106	94	83	78	93							530	673	-143
b	Secondary fire incidents	90	140	94	96	87	76							583	683	-100
c	Chimney fire incidents	6	2	1	3	1	1							14	19	-5
I.3	Fire false alarms	218	261	233	194	227	280							1413	1456	-43
a	Due to apparatus	98	101	117	88	121	146							671	853	-182
b	Good intent	114	151	113	104	102	126							710	545	165
c	Malicious attended	6	9	3	2	4	8							32	58	-26
I.4	Non-fire incidents	190	232	221	237	263	251							1394	1515	-121
a	Non-fire false alarms	7	7	6	7	4	12							43	58	-15
b	Special service	183	225	215	230	259	239							1351	1457	-106
-	Road traffic collision (RTC)	31	42	44	52	59	53							281	351	-70
-	Assist other agencies	68	82	78	70	80	73							451	284	167
-	Medical incident - co-responder/first responder	12	12	8	15	6	17							70	251	-181
-	Effecting entry / exit	18	14	14	13	20	32							111	146	-35
KCI 2 Fatalities and casualties																
2.1	Fatalities in fires	0	0	0	0	1	1							2	4	-2
2.2	Non-fatal casualties in fires	2	3	3	1	1	1							11	34	-23
2.3	Fatalities in non-fire incidents	9	3	4	4	3	6							29	25	4
2.4	Non-fatal casualties in non-fire incidents	37	53	56	62	64	60							332	461	-129
2.5	Number of TRIM (Trauma Risk Management):															
a	Notifications	10	4	6	5	4	8							37	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
b	Interventions	5	3	2	2	2	4							18	N/A	N/A
c	I to I's	0	0	1	0	0	2							3	N/A	N/A
2.6	Number of LFRS employees injured whilst attending incidents	0	0	0	0	0	0							0	0	0
KCI 3 Level of emergency response service provision																
3.1	Number of emergency calls received	1327	1569	1430	1338	1438	1553							8655	9467	-812
3.2	The total average response times of life threatening incidents (mins)	9:18	9:21	10:12	10:25	9:57	10:18							9:58	10:31	-0:33
a	Average call handling time	2:03	1:51	1:53	1:56	2:11	1:55							1:59	2:09	-0:10
b	Average appliance mobilisation time	1:23	1:28	1:35	1:33	1:22	1:36							1:30	1:57	-0:27
c	Average time to drive to the incident	5:52	6:02	6:44	6:56	6:24	6:47							6:29	6:25	0:04
d	Number of life threatening incidents attended	54	54	59	73	90	78							408	672	-264
3.3	The total average response times of non-life threatening incidents (mins)	10:10	9:41	10:13	9:55	9:36	10:06							9:56	9:50	0:06
a	Average call handling time	2:27	2:01	2:24	2:06	2:07	2:24							2:15	2:11	0:04
b	Average appliance mobilisation time	1:47	1:38	1:44	1:37	1:38	1:42							1:41	1:38	0:03
c	Average time to drive to the incident	5:56	6:02	6:05	6:12	5:51	6:00							6:00	6:01	-0:01
d	Number of non-life risk incidents attended	518	671	573	532	558	615							3467	3610	-143
3.4	The total average response times to primary fires (as recorded by Home Office)	9:01	9:07	10:00	10:31	8:54	9:29							9:30	9:55	-0:25
a	Average call handling time	1:34	1:32	1:38	1:40	1:30	1:39							1:36	1:44	-0:08
b	Average appliance mobilisation time	1:53	1:30	1:26	1:42	1:30	1:36							1:35	1:37	-0:02
c	Average time to drive to the incident	5:34	6:05	6:56	7:09	5:54	6:14							6:19	6:34	-0:15
d	Number of primary fire incidents attended	70	95	86	73	75	82							481	531	-50
3.5	The % availability of Wholtime fire appliances	99.8%	99.5%	99.1%	99.0%	98.2%	98.1%							98.9%	98.2%	0.7%
3.6	The % availability of On-Call fire appliances	87.5%	85.2%	83.1%	75.3%	70.3%	72.8%							79.0%	61.4%	17.6%
3.7	The % of people satisfied with our overall response	100%	100%	100%	100%	100%	94%							99%	100%	-1%
a	The % of people satisfied with their initial contact with the service	100%	100%	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%							100%	100%	0%

Ref	Key Corporate Indicator	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Actual	3-Year Average	Differ
KCI 4 Home Fire Safety Checks and Smoke Alarms																
4.1	Home safety checks	446	277	493	517	775	853							3361	3474	-113
4.2	Home safety feedback surveys	230	135	164	139	179	166							1013	New Indicator	
a	Percentage satisfied	100%	100%	99%	100%	99%	100%							99.8%	New Indicator	
KCI 5 Fire Protection and Enforcement																
5.1	The % of fire safety audits that result in action plans and enforcement notices	0%	0%	0%	13%	18%	7%							11%	30%	-19%
a	Fire safety audits	1	6	13	38	49	82							189	188	1
b	Action plans and enforcement notices	0	0	0	5	9	6							20	57	-37
5.2	Fire protection survey – Overall how satisfied were you with the service received	100%	100%	100%	100%	100%	100%							100%	100%	0%
KCI 6 Capacity, staff and availability																
6.1	Average number of days/shifts lost to sickness by operational staff per person (inc COVID 19)	1.07 (1.77)			1.02 (1.37)			-			-			2.09 (3.14)	2.46	-0.37
a	Days/shifts lost to short-term sickness	90.94			121.46			-			-			212.40	263.84	-51.44
b	Days/shifts lost to long-term sickness	313.02			265.00									578.02	647.24	-69.22
c	Total days/shifts lost to sickness (COVID 19)	403.96 (263.86)			386.46 (135.99)			-			-			790.42 (399.85)	911.08	-120.66
6.2	Average number of days/shifts lost to sickness by support staff per person (inc COVID 19)	1.44 (2.44)			1.51 (1.75)			-			-			2.95 (4.19)	4.33	-1.38
a	Days/shifts lost to short-term sickness	8.84			27.97			-			-			36.81	113.57	-76.76
b	Days/shifts lost to long-term sickness	145.27			139.08			-			-			284.35	325.78	-41.43
c	Total days/shifts lost to sickness (COVID 19)	154.11 (107.47)			167.05 (27.10)									321.16 (134.57)	439.35	-118.19
6.3	Average number of staff on modified duties for the entire month	5	4	6	11	6	12							7.33	9.43	-2.10
a	Wholetime	1	2	3	6	1	5							3.00	4.66	-1.66
b	On-Call	3	2	3	4	4	6							3.66	4.61	-0.95
c	Support	1	0	0	1	1	1							0.67	0.16	0.51
6.3	Average number of staff on modified duties at some point throughout the month	14	13	16	4	12	12							11.83	11.60	0.23
a	Wholetime	10	10	12	2	8	6							8.00	7.88	0.12
b	On-Call	3	2	3	2	3	5							3.00	2.72	0.28

Ref	Key Corporate Indicator	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Actual	3-Year Average	Differ
c	Support	1	1	1	0	1	1							0.83	1.00	-0.17

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 September 2020

Of the 3934 incidents April to September 2020, 1413 (36%) were fire false alarms, 1394 (35%) non-fire incidents and 1127 (29%) were fire incidents. Most incidents occurred in Western, followed by Charnwood and Eastern. The 3-year average is 4346, so in comparison to this, there are 412 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 then June, July and August has seen the number of incidents reduce back down. September has seen the number of incidents increase back up, past the 700 incident total for the second time this year.

Table 2: Total incidents – April to September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	Apr to Sep 2020
1.1	Total incidents	377	512	619	288	192	165	162	278	614	330	397	3934

Looking at the 3 areas:

Fire incidents – reduction of 248 incidents compared to 3-year average.

False alarms – reduction of 43 incidents compared to the 3-year average.

Non-fire incidents – reduction of 121 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.

September 2020

Of the 701 incidents in September 280 (40%) were fire false alarms, 251 (36%) were non-fire incidents and 170 (24%) were fire incidents. Most incidents occurred in Charnwood, followed by Western and Central. The increase in incidents in September is due in most to a significant increase in fire false alarms. It is the highest number of fire false alarms since July 2018.

Table 3: Total incidents – September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	September 2020
I.1	Total incidents	94	86	105	41	36	27	26	55	108	55	68	701

The total number of incidents by day ranged from 11 at its lowest in a day, to 32 incidents at its peak. After a busy start to the month, the number of incidents decreased slightly during the month. On average, there were 23.37 incidents attended each day. The 701 incidents include fires, fire false alarms and non-fire related incidents.

Chart 1: The total number of incidents by day – September 2020

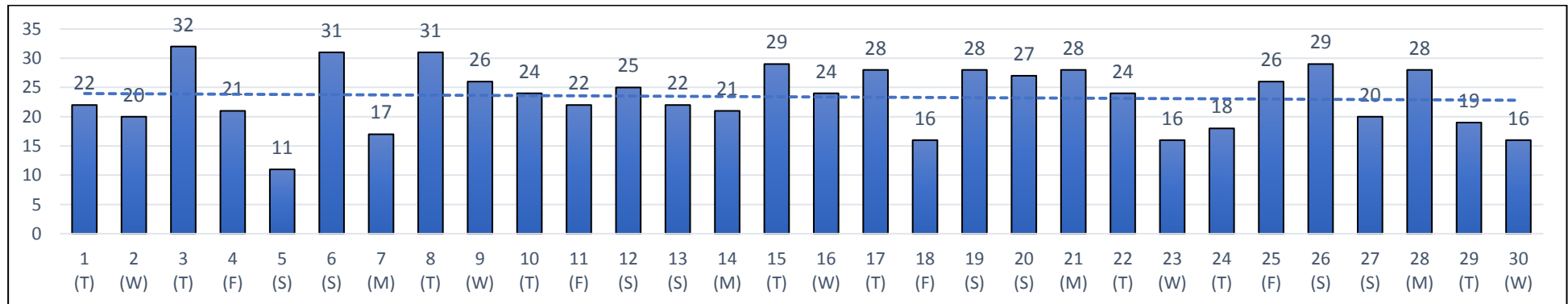
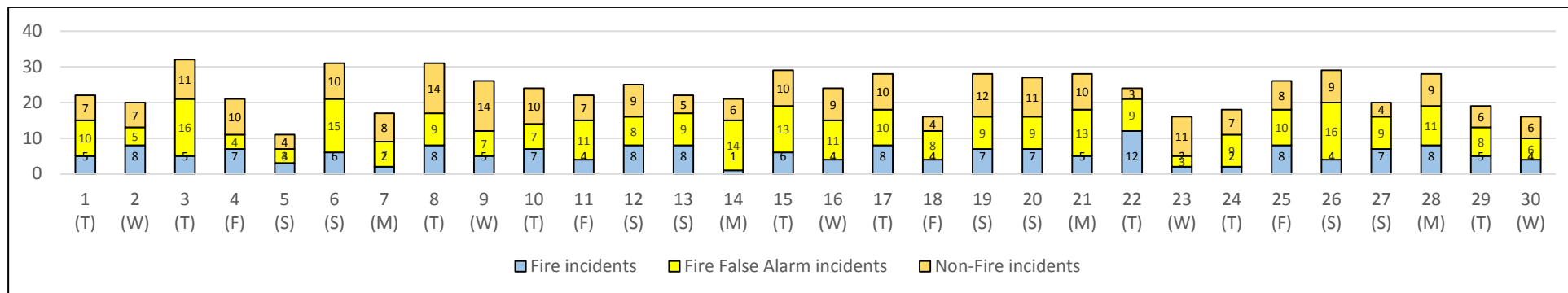


Chart 2: The total number of incidents broken down by type and day - September 2020



1.2 Fire incidents – April to September 2020

Of the 1127 fire incidents April to September 530 were primary fires, 583 were secondary fires and 14 were chimney fires. Most incidents occurred in Charnwood, Western and NWL. The 3-year average is 1375, so to have less at this point is pleasing, especially as we are now past the period of year where sustained drier spells can result in a spike in secondary fires.

Table 4: Fire incidents – April to September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	Apr to Sep 2020
1.2	Fire incidents	81	117	165	107	70	35	36	95	185	104	132	1127
a	Primary fire incidents	37	58	75	61	32	15	19	38	81	58	56	530
b	Secondary fire incidents	44	59	90	44	37	19	13	57	101	46	73	583
c	Chimney fire incidents	0	0	0	2	1	1	4	0	3	0	3	14

September 2020

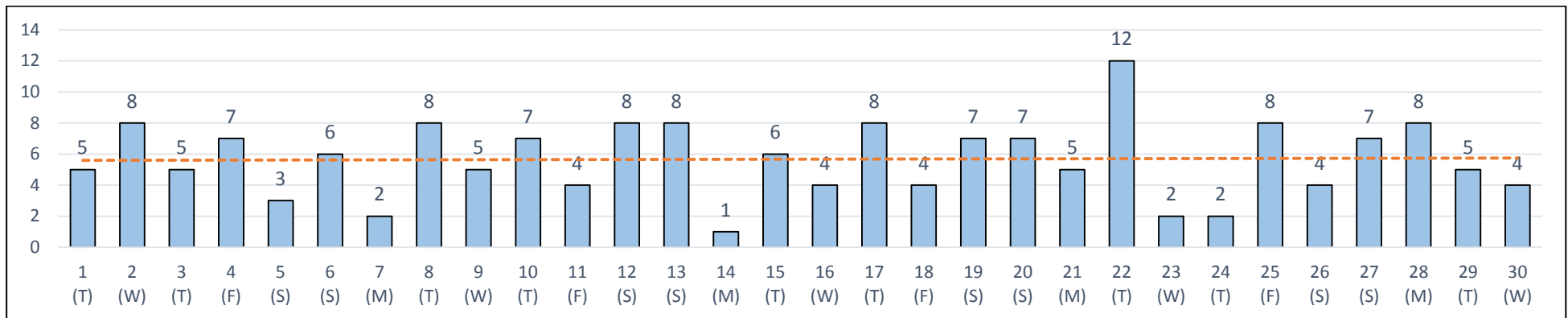
Of the 170 incidents in September 2020, 93 (54%) were primary fires, 76 (45%) were secondary fires and 1 (1%) was a chimney fire. Most incidents occurred in Charnwood, NWL and Western. This is an increase of 4 incidents from August (166).

Table 5: Fire incidents – September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	September 2020
I.2	Fire incidents	19	13	22	11	12	3	7	19	26	16	22	170
a	Primary fire incidents	7	9	11	10	6	3	5	9	15	9	9	93
b	Secondary fire incidents	12	4	11	1	6	0	2	10	11	7	12	76
c	Chimney fire incidents	0	0	0	0	0	0	0	0	0	0	1	1

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 number of incidents have remained consistently at the same level throughout the month. On average, there were 5.67 fire incidents attended each day.

Chart 3: The total number of fire incidents by day - September 2020



1.2a Primary fire incidents

There were 93 primary fire incidents in September, an increase of 15 from August (78). Of these, 60 were accidental fires, 32 were deliberate fires and 1 was not known. Charnwood had the most incidents with 15, followed by Eastern 11 and Harborough with 10.

Of the 60 accidental fires, there were 25 dwelling, 17 road vehicle, 12 non-residential, 4 outdoor structures and 2 other-residential. The main fire cause shows there were 11 faulty fuel supply – electricity, 9 fault in equipment or appliance and 7 careless handling - due to

careless disposal. The main ignition source shows 16 were vehicles only, 8 were cooking appliance and 7 were electricity supply. The main times of the incidents show 8 of the incidents occurring between the hours of 2.00pm – 3.00pm.

Of the 32 deliberate fires, the main property category was 16 road vehicle and 10 non-residential. There have only been 137 deliberate primary fires so far since April, so to have 32 in one month is something to look into. Of the 137 deliberate primary fires, there have now been 70 road vehicle deliberate primary fires and 28 non-residential deliberate primary fires. There were 18 non-residential deliberate primary fires April to August, including 5 prison incidents. There were 5 further prison incidents in September, including 3 at Welland Avenue, Lubenham. Deliberate primary prison fires have doubled in one month.

1.2b Secondary fire incidents

There were 76 secondary fire incidents in September, which is 11 less than August (87). Of these, 38 were accidental fires and 38 were deliberate fires. Central and NWL had the most incidents with 12, followed by Charnwood 11 and Western 11.

Of the 38 accidental fires, the main types of property were loose refuse (incl in garden) 10, private/domestic garden/allotment 10 and tree scrub (includes single trees not in garden) 3. The main times of the incidents shows 18 incidents occurring between the hours of 2.00pm – 8.00pm

Of the 38 deliberate fires, the main types of property were loose refuse (incl in garden) 6 and tree scrub (includes single trees not in garden) 5. The main times of the incidents show 9 of the incidents occurring between the hours of 6.00pm – 7.00pm. Western had 7 out of the 38 deliberate fires.

1.2c Chimney fire incidents

There was 1 chimney fire incident in September. This occurred in NWL.

1.3 Fire false alarms – April to September 2020

Of the 1413 fire false alarm incidents April to September, 671 were due to apparatus, 710 were good intent and 32 were malicious. Most incidents occurred in Western, Charnwood and Eastern. The 3-year average is 1456, so compared to the average, figures have decreased by 43.

Table 6: Fire false alarms – April to September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	Apr to Sep 2020
I.3	Fire false alarms	167	197	244	83	56	63	87	86	209	96	125	1413
a	Due to apparatus	116	90	121	39	26	28	55	28	92	40	36	671
b	Good intent	46	104	114	43	29	34	29	57	112	55	87	710
c	Malicious attended	5	3	9	1	1	1	3	1	5	1	2	32

September 2020

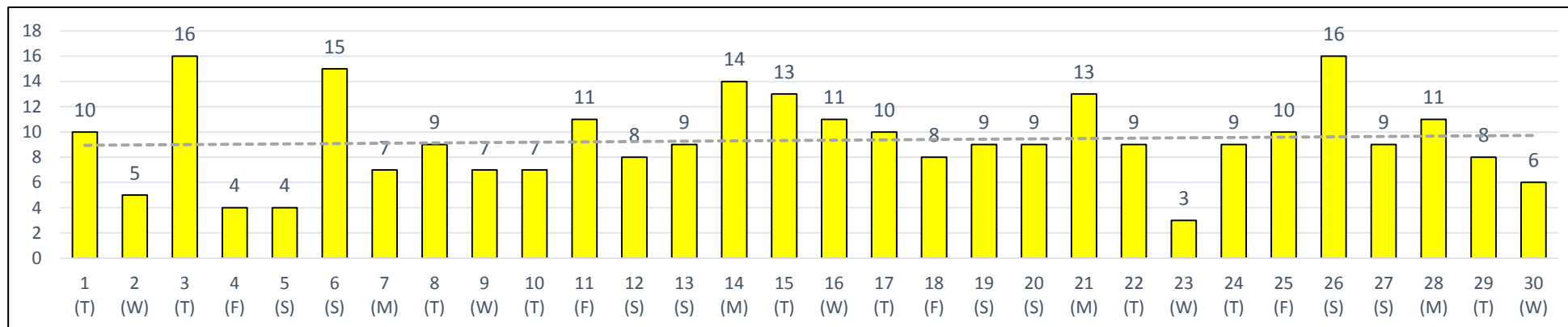
Of the 280 fire false alarm incidents in September, 146 were due to apparatus, 126 were good intent and 8 were malicious. Most incidents occurred in Charnwood, Central and Eastern. There were 227 in August, so September has seen an increase of 53. This is the highest month for fire false alarms since July 2018 when there were 299 fire false alarms.

Table 7: Fire false alarms – September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	September 2020
I.3	Fire false alarms	49	36	49	16	8	10	12	18	51	13	18	280
A	Due to apparatus	35	21	26	5	4	3	6	7	26	9	4	146
B	Good intent	13	14	22	11	3	6	6	10	23	4	14	126
C	Malicious attended	1	1	1	0	1	1	0	1	2	0	0	8

The total number of fire false alarm incidents by day ranged from 3 at its lowest in a day, to 16 incidents at its peak. On average, there were 9.33 fire false alarm incidents attended each day and it has reduced steadily towards the end of the month.

Chart 4: The total number of fire false alarm incidents by day - September 2020



1.3a Due to apparatus

There were 146 false alarms due to apparatus in September, an increase of 25 from August (121). Of these, 98 were dwelling, 27 were non-residential and 21 were other residential.

Of the false alarms due to apparatus in dwellings, the main causes were cooking/burnt toast 20, unknown 19 and faulty 15. The main times of the incidents show 16 of the incidents occurring between the hours of 12.00pm – 2.00pm.

Of the false alarms due to apparatus in non-residential, the main causes were unknown 7 and faulty 6. Of the false alarms due to apparatus in other residential, the main causes were cooking burnt/toast 4 and unknown 4.

1.3b Good intent

There were 126 good intent false alarms in September, an increase of 24 from August (102). Of these, 65 were dwelling, outdoor 41, road vehicle 10, non-residential 5, other residential 3 and outdoor structures 2.

Of the good intent false alarms, the main causes were due to controlled burning 21, bonfire 20 and reported incident/location not found 19. The main times of the incidents show 26 of the incidents occurring between the hours of 7.00pm – 9.00pm.

1.3c Malicious attended

There were 8 malicious false alarms in September, an increase of 4 from August (4). Of these, 2 were in Charnwood, 1 Blaby, 1 Central, 1 Eastern, 1 Melton, 1 Oadby & Wigston and 1 Western. They were all at different times and at various locations.

1.4 Non-fire incidents – April to September 2020

Of the 1394 non-fire incidents April to September, 43 were non-fire false alarms and 1351 were special service. Looking at the table below the most incidents occurred in Charnwood, Western and Eastern. The 3-year average is 1515, so compared to the average, figures have decreased by 121.

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 22 suicide attempts.

Table 8: Non-fire incidents – April to September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	Apr to Sep 2020
1.4	Non-fire incidents	129	198	210	98	66	67	39	97	220	130	140	1394
a	Non-fire false alarms	4	5	8	2	2	2	0	3	8	5	4	43
b	Special service	125	193	202	96	64	65	39	94	212	125	136	1351
-	Road traffic collision (RTC)	13	28	24	39	14	7	9	31	47	37	32	281
-	Assist other agencies	46	69	65	31	22	24	9	25	82	34	44	451
-	Medical incident - co-responder/first responder	4	7	13	3	3	12	2	0	8	6	12	70
-	Effecting entry / exit	15	13	32	2	7	4	2	7	8	13	8	111

September 2020

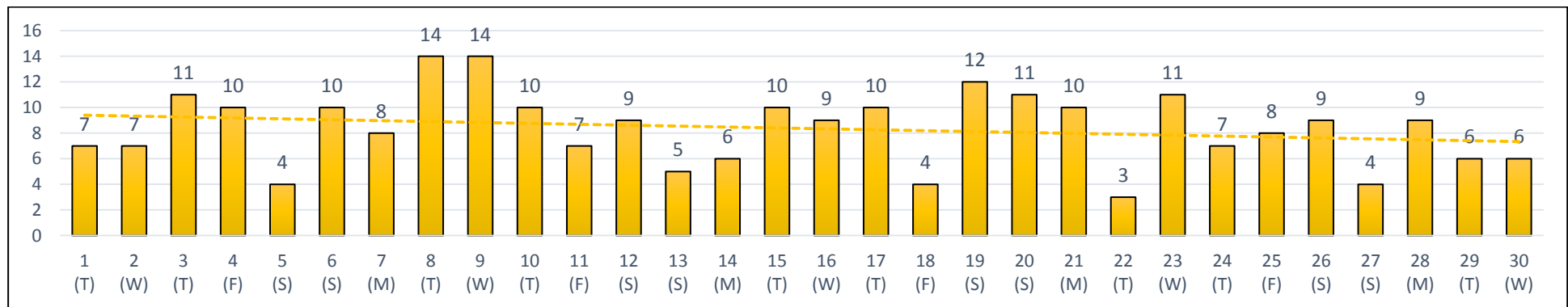
Of the 251 incidents in September, 12 were non-fire false alarms and 239 were special service. Looking at the table below the most incidents occurred in Eastern, Western and Charnwood. There were 263 in August, so September has seen a decrease of 12.

Table 9: Non-fire incidents – September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	September 2020
I.4	Non-fire incidents	26	37	34	14	16	14	7	18	31	26	28	251
a	Non-fire false alarms	0	3	2	0	1	1	0	0	2	1	2	12
B	Special service	26	34	32	14	15	13	7	18	29	25	26	239
-	Road traffic collision (RTC)	3	8	4	6	4	0	0	5	8	9	6	53
-	Assist other agencies	9	7	10	4	4	5	2	2	12	8	10	73
-	Medical incident - co-responder/first responder	1	2	3	2	0	5	2	0	1	0	1	17
-	Effecting entry / exit	9	2	6	1	4	0	0	2	2	3	3	32

The total number of non-fire incidents ranged from 3 at its lowest in a day, to 14 incidents at its peak. The number of incidents have decreased as we have gone through the month. On average, there were 8.37 non-fire incidents attended each day.

Chart 5: The total number of non-fire incidents by day - September 2020



1.4a Non-fire false alarms

Of the 12 non-fire false alarms in September, 3 were in Eastern. 2 Charnwood, 2 NWL, 2 Western, 1 Hinckley & Bosworth, 1 Melton and 1 Oadby & Wigston. This is 8 more than the number in August (4).

1.4b Special service

There were 239 special service incidents in September, a decrease of 20 from August (259). Of these, there were 73 assist other agencies, RTCs 53 and effecting entry / exit 32. Eastern had the most incidents with 37, followed by Western 34 and Charnwood 31. Assist other agencies has had 73 incidents in September, which is a decrease of 7 from August (80) and this type of incident has increased substantially over the past few years. From April to September there have now been 451 assist other agencies, compared to the 3-year average of (284). RTCs had remained low and this can be related to the significant reduction in traffic on the roads during lockdown, although the number of incidents has increased in the past few months. Medical incident - co-responder/first responder continues to be extremely low with 17 incidents attended in September and a total of 70 so far this year, compared to the 3 year-average (251). This is due to first responding being suspended.

2.1 Fatalities in fires – April to September 2020

The second fatality of the year was recorded in September.

The first fatality occurred on the early evening of Thursday 6 August, when fire crews from Loughborough attended a person on fire on wasteland off Cotes Road, Burton on the Wolds. A full scene examination was carried out by a Tier 2 Fire investigation officer and Crime scene investigation. A fire investigation report will be submitted to the HM Coroner and investigations by the police are continuing. The victim was a male and was 35 years old.

The second fatality occurred in the early hours of Wednesday 30 September in Belgrave, Leicester. The call initially came in as an Automated Fire Alarm in sheltered accommodation. Once in attendance, this incident became a confirmed flat fire on the ground floor, persons reported. An assistance message was relayed to control confirming this and requesting a total of 3 fire appliances, 2 Breathing Apparatus (BA) teams were committed to extinguish the fire and undertake search and rescue activities. One adult male casualty was located in the bedroom unconscious and not breathing and carried by the BA teams from the property to fresh air. Once outside the casualty was handed to East Midlands Ambulance Service who commenced CPR. Main cause was fault in equipment or appliance, fire was located in the corridor/hall, appliance was a mobility scooter and ignition source was apparatus - batteries, generator.

2.2 Non-fatal casualties in fires – April to September 2020

There have been 11 non-fatal casualties in fires April to September. This is 23 less than the 3-year average of 34. Of the 11 non-fatal casualties, 9 have occurred in fires in the City, 1 in Charnwood and 1 in Rutland.

Table 10: Non-fatal casualties in fires – April to September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	Apr to Sep 2020
2.2	Non-fatal casualties in fires	1	3	5	0	0	0	1	0	1	0	0	11

September 2020

There was 1 non-fatal casualty in September, which is the same as August (1).

The non-fatal casualty occurred on a Sunday in the early hours of the morning on 13 September in Oakham South Ward in Rutland. Crews attended a dwelling fire at a property. It was accidental, the cause was fault in equipment or appliance, fan and was located in the bed/sitting room. The person rescued was in a wheel chair and the nature of the injuries appeared to be slight and the victim went to hospital. The person injured was female and was 30 years old.

2.3 Fatalities in non-fire incidents – April to September 2020

There have been 29 fatal casualties in non-fire incidents April to September. This is 4 more than the 3-year average of 25.

Of the 29 fatalities, 19 were attended to assist other agencies, 2 were effecting entry / exit for a medical case, 2 were other rescue/release of persons, 2 were a RTC, 2 were suicide, 1 was making safe (not RTC) removal/retrieval of dead body and 1 was spills and leaks (not RTC). When looking at the circumstances, 19 were thought to be already dead when firefighters arrived, 7 were unable to resuscitate, confirmed dead at scene, 2 were not known and 1 was unable to resuscitate at scene, confirmed dead at hospital. There were 23 male fatalities and 6 female fatalities, aged 20, 25, 27, 30, 30, 36, 36, 40, 45, 49, 50, 50, 52, 57, 63, 63, 64, 67, 67, 70, 71, 72, 75, 76, 76, 78, 79, 90 and 90 years of age. The cause of death shows 17 were not known, 3 other medical condition, 3 chest pain/heart condition/cardiac arrest, 1 back/neck injury (spinal), 1 chest/abdominal injury, 1 drowning, 1 head injury, 1 other and 1 other physical injury.

Table 11: Fatalities in non-fire incidents – April to September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	Apr to Sep 2020
2.3	Fatalities in non-fire incidents	2	5	3	3	2	1	0	4	4	3	2	29

September 2020

There were 6 fatalities in non-fire incidents in September, compared to 3 in August.

Of the 6 fatalities, 4 were assist other agencies, 1 was a RTC and 1 was a suicide, of which 4 were thought to be already dead when firefighters arrived and 2 were unable to resuscitate, confirmed dead at scene. There were 3 male fatalities and 3 female fatalities, aged 20, 36, 36, 64, 70 and 76 years of age. The cause of death shows 3 were not known 1 back/neck injury (spinal), 1 chest pain/heart condition/cardiac arrest and 1 other physical injury. There were 2 fatalities in NWL, 1 in Charnwood, 1 in Eastern, 1 in Melton and 1 in Western.

Table 12: Fatalities in non-fire incidents – September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	September 2020
2.3	Fatalities in non-fire incidents	0	1	1	0	1	0	0	0	1	0	2	6

2.4 Non-fatal casualties in non-fire incidents – April to September 2020

There have been 332 non-fatal casualties in non-fire incidents April to September. This is 129 below the 3-year average of 461.

Of the 332 non-fatal casualties in non-fire incidents, 203 were in road vehicles, 111 in buildings, 16 in the outdoors, 1 on a train and 1 on an aircraft. The main types of injury attended, show back/neck injury 66, bruising 37 and fracture 32. There were 193 male non-fatal casualties, 136 female non-fatal casualties and 3 not known. The ages of the non-fatal casualties show 10 casualties aged between 0 – 9, 23 between 10 – 19, 54 between 20 – 29, 50 between 30 – 39, 38 between 40 – 49, 42 between 50 – 59, 49 between 60 - 69, 30 between 70 – 79, 27 between 80 – 89, 7 between 90 – 99 years of age and 2 not known. Charnwood has had most non-fatal casualties with 77. These can be related somewhat to the high number of special service incidents and road traffic collisions.

Table 13: Non-fatal casualties in non-fire incidents – April to September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	Apr to Sep 2020
2.4	Non-fatal casualties in non-fire incidents	28	24	28	24	23	6	7	33	77	34	48	332

September 2020

There were 60 non-fatal casualties in non-fire incidents in September, compared to 64 in August.

Of the 64 non-fatal casualties in non-fire incidents, 44 were in road vehicles, 17 in buildings, 2 outdoors and 1 an aircraft. The main types of injury attended, show back/neck injury 14, bruising 9, fracture 7, head injury 7 and not known 7. There were 26 female non-fatal casualties and 34 male non-fatal casualties. The ages of the non-fatal casualties show 2 casualties aged between 0 – 9, 4 between 10 – 19, 9 between 20 – 29, 9 between 30 – 39, 6 between 40 – 49, 12 between 50 – 59, 11 between 60 - 69, 4 between 70 – 79, 4 between 80 – 89 and 1 not known. The district with the most non-fatal casualties in non-fire incidents in September was Charnwood with 15. Looking into this, 13 were in road vehicles and this can be related to the number of road traffic collisions in September in Charnwood (8).

Table 14: Non-fatal casualties in non-fire incidents – September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	September 2020
2.4	Non-fatal casualties in non-fire incidents	7	6	4	3	5	1	0	4	15	4	11	60

2.5 Number of TRiM (Trauma Risk Management) – April to September 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 37 TRiM notifications April to September.

September 2020

There were 8 TRiM notifications in September, compared to 4 in August.

The 8 incidents that were reported, include 1 fire fatality, 1 suicide, 1 cardiac arrest, 3 serious RTC's, 1 sudden death co2, 1 gain entry for EMAS and 1 fall from height. All incidents have been filtered and actions put in place as required, with 2 personnel receiving phone calls from a practitioner. Renewal of the annual operating license, planning for a CPD training day with Leicestershire police and 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 September 2020

No injuries to report.

3.1 Number of emergency calls received – April to September 2020

There have been 8655 emergency calls received April to September. This is 812 below the 3-year average of 9467.

September 2020

There were 1553 emergency calls received in September, which is 115 more than August (1438). 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 5.22 seconds in September.

3.2 The total average response times of life threatening incidents – April to September 2020

There have been 408 incidents classed as life risk by Control between April to September. This is 264 below last year's total of 672. The total average response time for the 408 incidents was 9 minutes 58 seconds, compared to 10 minutes 31 seconds last year.

The 9 minutes 58 seconds can be broken down further:

Average call handling was 1 minute 59 seconds, a reduction of 10 seconds on last year's time (2 minutes 9 seconds).

Average mobilisation time was 1 minute 30 seconds, a reduction of 27 seconds on last year's time (1 minute 57 seconds).

Average drive time was 6 minutes 29 seconds, an increase of 4 seconds on last year's time (6 minutes 25 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 September there have been 44 investigations carried out by Control, 19 mobilisation investigations and 65 drive time investigations. This picks up any anomalies with the system and highlights any possible areas of concern.

Table 15: The total average response times of life threatening incidents (mins) – April to September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	Apr to Sep 2020
3.2	The total average response times of life threatening incidents (mins)	6.54	7.15	8.28	12.23	10.48	8.21	12.52	12.23	9.55	11.53	9.50	9.58
a	Average call handling time	1.39	1.50	1.55	1.54	2.04	2.10	2.08	2.21	1.58	2.08	1.53	1.59
B	Average appliance mobilisation time	1.10	1.10	1.26	1.51	1.51	1.29	1.08	1.24	1.19	1.54	1.45	1.30
c	Average time to drive to the incident	4.05	4.15	5.07	8.38	6.53	4.42	9.36	8.38	6.38	7.51	6.12	6.29
D	Number of life threatening incidents attended	22	46	59	40	21	13	14	36	67	37	53	408

September 2020

There have been 78 incidents classed as life risk by Control in September. This is 12 less than August (90). The total average response time for the 78 incidents was 10 minutes 18 seconds, compared to 9 minutes 57 seconds in August.

The 10 minutes 18 seconds can be broken down further:

Average call handling was 1 minute 55 seconds, a decrease of 16 seconds on the time in August (2 minutes 11 seconds).
 Average mobilisation time was 1 minute 36 seconds, an increase of 14 seconds on the time in August (1 minute 22 seconds).
 Average drive time was 6 minutes 47 seconds, an increase of 23 seconds on the time in August (6 minutes 24 seconds).

During September there have been 5 investigations carried out by Control, 6 mobilisation investigations and 16 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.

Table 16: The total average response times of life threatening incidents (mins) – September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	September 2020
3.2	The total average response times of life threatening incidents (mins)	5.44	7.44	7.17	13.09	11.50	0.00	11.47	11.34	10.25	12.16	11.32	10.18

a	Average call handling time	1.51	1.49	1.08	2.11	1.48	0.00	1.57	2.35	1.55	1.52	1.50	1.55
B	Average appliance mobilisation time	1.14	1.18	1.22	2.58	1.58	0.00	1.42	0.59	1.06	1.42	2.03	1.36
c	Average time to drive to the incident	2.39	4.37	4.47	8.00	8.04	0.00	8.08	8.00	7.24	8.42	7.39	6.47
D	Number of life threatening incidents attended	6	11	6	7	4	0	3	9	12	7	13	78

Chart 6: Average response times of life threatening incidents

The total average response times of life threatening incidents for September was 10 minutes 18 seconds.

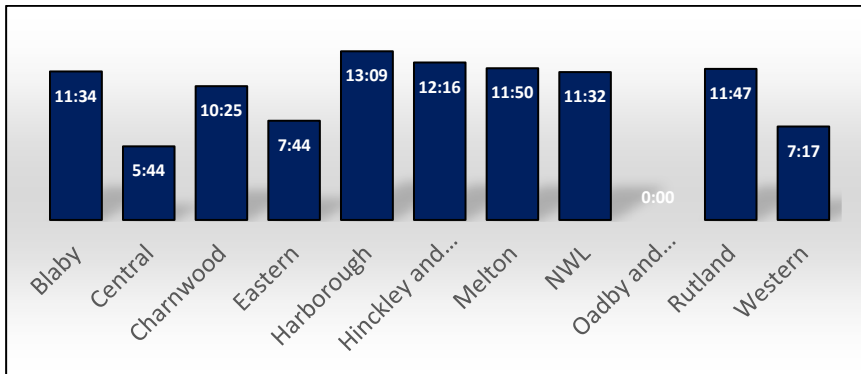


Chart 7: Average call handling time

The total average call handling time of life threatening incidents for September was 1 minute 55 seconds.

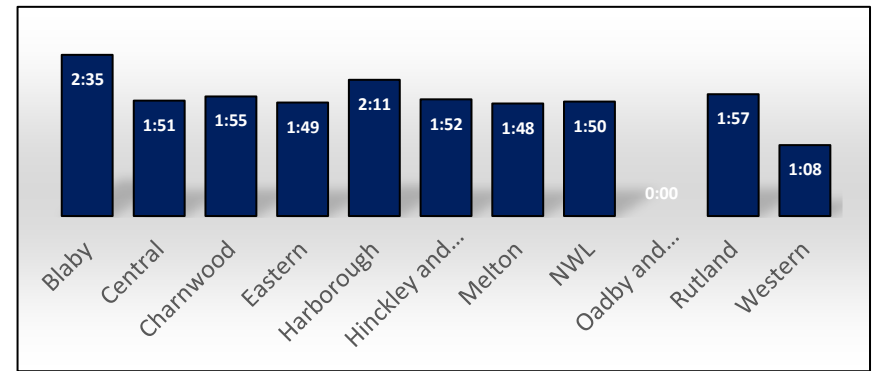


Chart 8: Average appliance mobilisation times

The total average appliance mobilisation times to life threatening incidents for September was 1 minute 36 seconds.

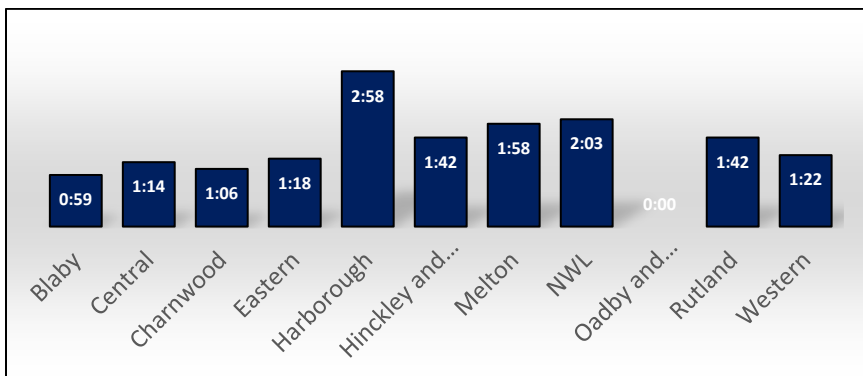
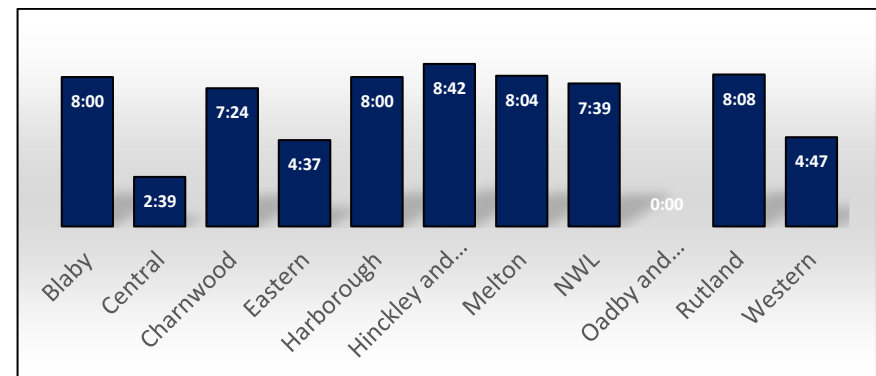


Chart 9: Average time to drive

The total average time to drive to life threatening incidents for September was 6 minutes 47 seconds.



3.3 The total average response times of non-life threatening incidents – April to September 2020

There have been 3467 incidents classed as non-life risk by Control April to September. This is 143 below last year’s total of 3610. The total average response time for the 3467 incidents was 9 minutes 56 seconds, compared to 9 minutes 50 seconds last year.

The 9 minutes 56 seconds can be broken down further:

Average call handling was 2 minutes 15 seconds, an increase of 4 seconds on last year’s time (2 minutes 11 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 0 seconds, a reduction of 1 second on last year’s time (6 minutes 1 second).

Please note: There were a total of 3526 non-life risk incidents attended April to September, but 59 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.

Table 17: The total average response times of non-life threatening incidents (mins) – April to September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	Apr to Sep 2020
3.3	The total average response times of non-life threatening incidents (mins)	8.35	7.57	8.54	12.42	11.27	9.05	10.48	10.57	9.27	11.22	11.50	9.56
a	Average call handling time	2.28	1.57	2.12	2.19	2.03	2.38	2.14	2.07	2.07	2.26	2.27	2.15
b	Average appliance mobilisation time	1.25	1.14	1.19	2.34	2.41	1.28	2.02	1.30	1.35	1.55	2.07	1.41
c	Average time to drive to the incident	4.42	4.46	5.23	7.49	6.43	4.59	6.32	7.20	5.45	7.01	7.16	6.00
d	Number of non-life threatening incidents attended	353	456	549	246	168	147	148	238	538	288	336	3467

September 2020

There have been 615 incidents classed as non-life risk by Control in September. This is 57 more than August (558).

The total average response time for the 615 incidents was 10 minutes 6 seconds, compared to 9 minutes 36 seconds in August.

The 10 minutes 6 seconds can be broken down further:

Average call handling was 2 minutes 24 seconds, an increase of 17 second on the time in August (2 minutes 7 seconds).

Average mobilisation time was 1 minute 42 seconds, an increase of 4 seconds on the time in August (1 minute 38 seconds).

Average drive time was 6 minutes 0 seconds, an increase of 9 seconds on the time in August (5 minutes 51 seconds).

Currently no investigations are carried out.

Table 18: The total average response times of non-life threatening incidents (mins) – September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	September 2020
3.3	The total average response times of non-life threatening incidents (mins)	8.12	8.27	9.41	14.29	10.39	10.20	9.15	11.05	9.37	11.18	12.24	10.06
a	Average call handling time	2.21	1.56	2.11	3.40	2.33	3.24	2.15	2.15	2.11	2.02	3.01	2.24
b	Average appliance mobilisation time	1.24	1.29	1.24	3.11	2.33	1.19	1.58	1.19	1.43	1.58	1.50	1.42
c	Average time to drive to the incident	4.27	5.02	6.06	7.38	5.33	5.37	5.02	7.31	5.43	7.18	7.33	6.00
d	Number of non-life threatening incidents attended	88	75	98	33	32	25	23	46	94	47	54	615

Chart 10: Average response times of non-life threatening incidents

The total average response times of non-life threatening incidents for September was 10 minutes 6 seconds.

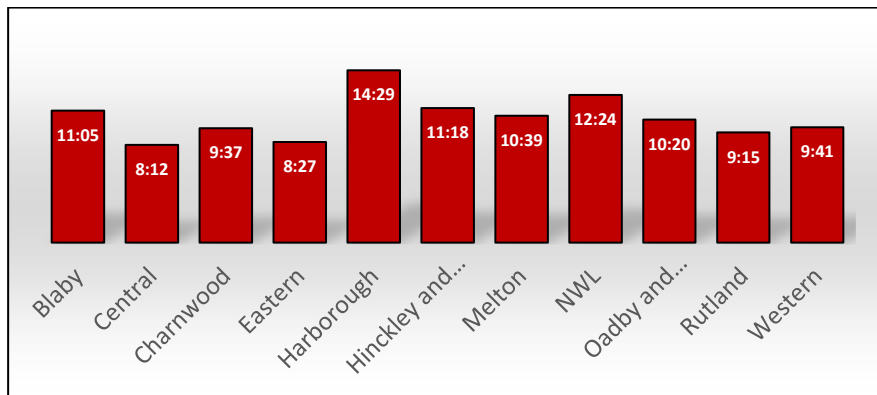


Chart 12: Average appliance mobilisation times

The total average appliance mobilisation times to non-life

Chart 11: Average call handling time

The total average call handling time of non-life threatening incidents for September was 2 minutes 24 seconds.

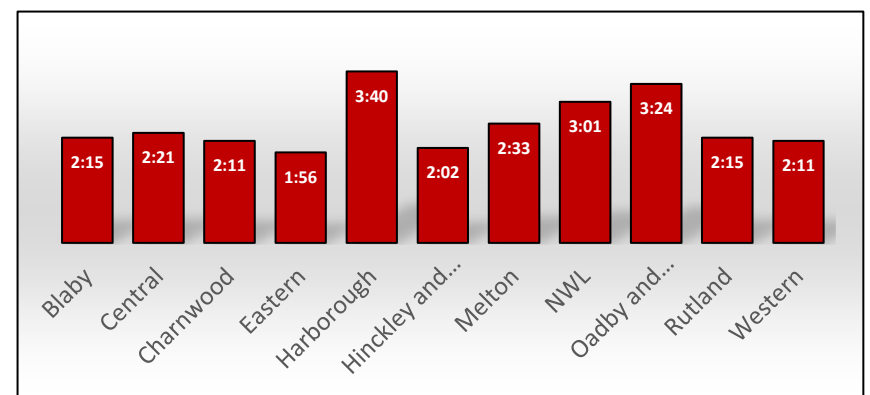
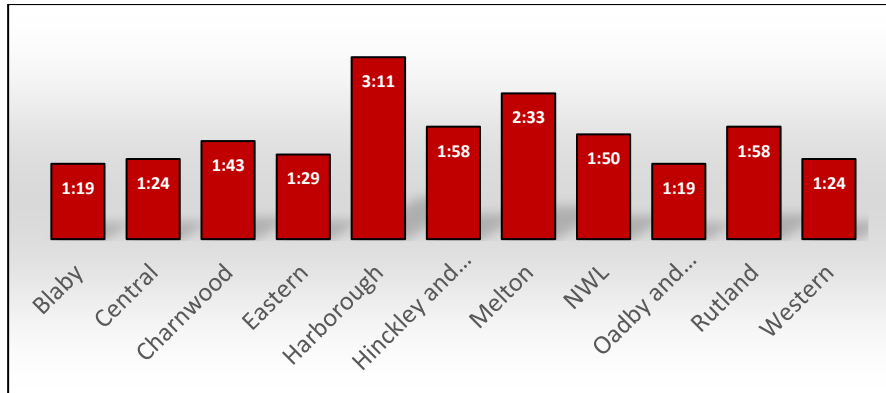


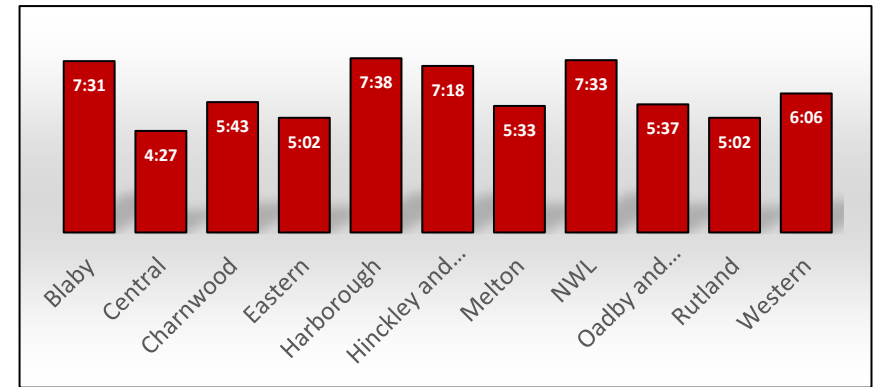
Chart 13: Average time to drive

The total average time to drive to life threatening

threatening Incidents for September was 1 minute 42 seconds.



incidents for September was 6 minutes 0 seconds.



3.4 The total average response times to primary fires (as recorded by Home Office) – April to September 2020

There were a total of 530 primary fires attended April to September, but 49 incidents have been excluded as per Home Office guidelines. So, the response time calculations for primary fires are based on 481 primary fires April to September.

The total average response time for the 481 primary fires is 9 minutes 30 seconds, compared to 9 minutes 55 seconds last year.

The 9 minutes 30 seconds can be broken down further:

Average call handling was 1 minute 36 seconds, a reduction of 8 seconds on last year's time (1 minutes 44 seconds).

Average mobilisation time was 1 minute 35 seconds, a reduction of 2 seconds on last year's time (1 minute 37 seconds).

Average drive time was 6 minutes 19 seconds, a reduction of 15 seconds on last year's time (6 minutes 34 seconds).

Table 19: The total average response times of primary fire incidents (mins) – April to September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	Apr to Sep 2020
3.3	The total average response times of primary fire incidents (mins)	8.05	6.46	7.53	13.12	11.47	7.56	11.04	8.52	8.25	10.34	10.58	9.30
a	Average call handling time	1.33	1.23	1.27	1.56	1.43	1.11	1.42	1.31	1.26	1.49	1.44	1.36
b	Average appliance mobilisation time	1.25	1.12	1.21	2.09	1.46	1.43	2.46	1.20	1.18	1.41	1.46	1.35
c	Average time to drive to the incident	5.07	4.11	5.05	9.07	8.18	5.02	6.36	6.01	5.41	7.04	7.28	6.19

d	Number of primary fire incidents attended	33	56	66	54	30	15	18	35	70	51	53	481
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September 2020

There have been 82 primary fires in September. This is 7 more than August (75).

The total average response time for the 82 incidents was 9 minutes 29 seconds, compared to 8 minutes 54 seconds in August.

This 9 minutes 29 seconds can be broken down further:

Average call handling was 1 minute 39 seconds, an increase of 9 seconds on the time in August (1 minute 30 seconds).

Average mobilisation time was 1 minute 36 seconds, an increase of 6 seconds on the time in August (1 minute 30 seconds).

Average drive time was 6 minutes 14 seconds, an increase of 20 seconds on the time in August (5 minutes 54 seconds).

Table 20: The total average response times of primary fire incidents (mins) – September 2020

Ref	Key Corporate Indicator	Central	Eastern	Western	Harborough	Melton	Oadby and Wigston	Rutland	Blaby	Charnwood	Hinckley	North West Leicester	September 2020
3.3	The total average response times of primary fire incidents (mins)	6.25	6.33	8.04	12.38	11.01	6.42	10.19	9.41	8.24	11.46	11.43	9.29
a	Average call handling time	1.42	1.22	1.36	1.58	1.23	1.25	1.41	1.47	1.25	1.52	1.55	1.39
b	Average appliance mobilisation time	1.29	1.24	1.30	2.45	1.08	1.37	1.20	1.18	1.27	1.37	1.40	1.36
c	Average time to drive to the incident	3.14	3.47	4.58	7.55	8.30	3.40	7.18	6.36	5.32	8.17	8.08	6.14
d	Number of primary fire incidents attended	6	9	9	9	5	3	4	8	12	8	9	82

Chart 14: Average response times of primary fire incidents

The total average response times of primary fire incidents for September was 9 minutes 29 seconds.

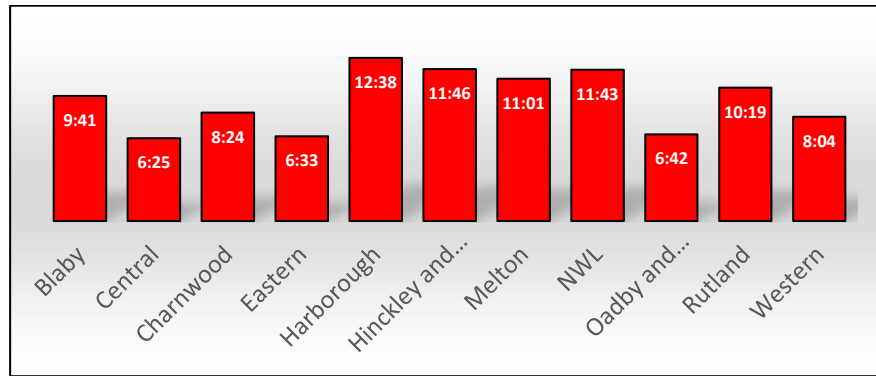


Chart 15: Average call handling time

The total average call handling time of primary fire incidents for September was 1 minute 39 seconds.

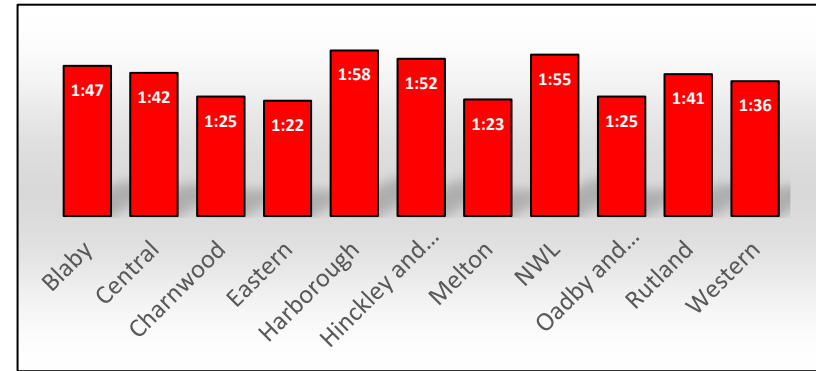


Chart 16: Average appliance mobilisation times

The total average appliance mobilisation times to primary fire incidents for September was 1 minute 36 seconds.

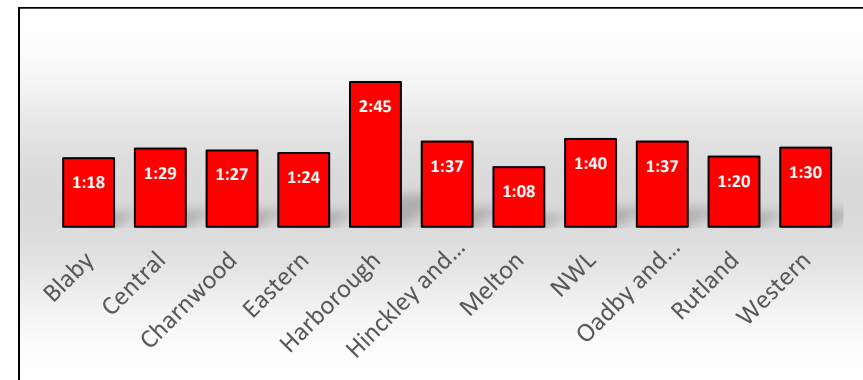
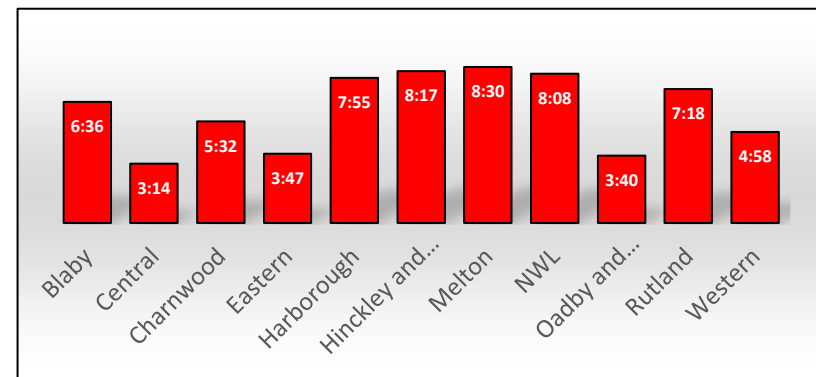


Chart 17: Average time to drive

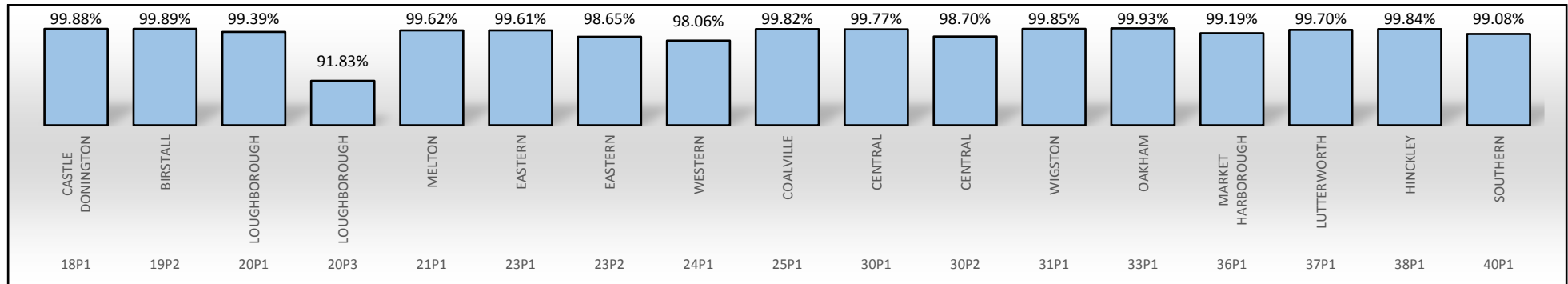
The total average time to drive to primary fire incidents for September was 6 minutes 14 seconds.



3.5 The % availability of Wholetime fire appliances – April to September 2020

For April to September, Wholetime fire appliances have been available 98.9% of the time due to crewing, an increase of 0.7% 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.

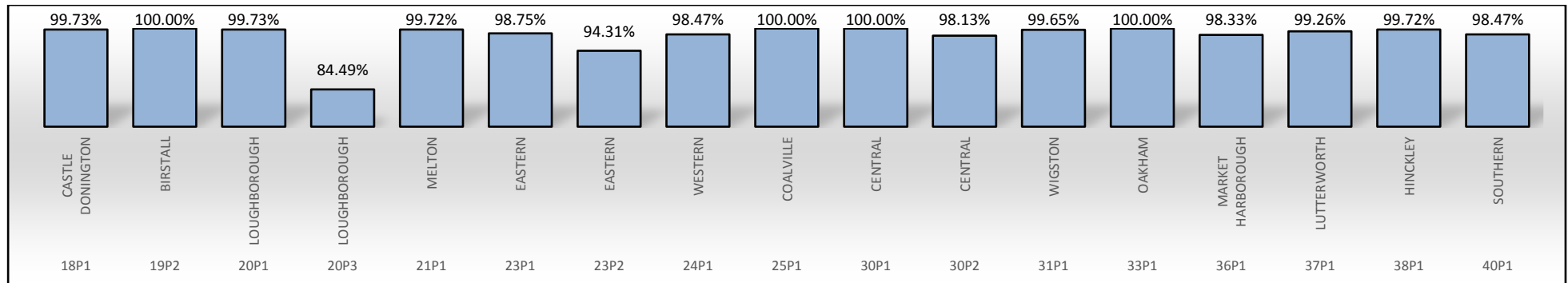
Chart 18: Wholetime Appliance Availability – April to September 2020



September 2020

For September, Wholetime fire appliances have been available 98.1% of the time due to crewing, a decrease of 0.1% compared to August (98.2%).

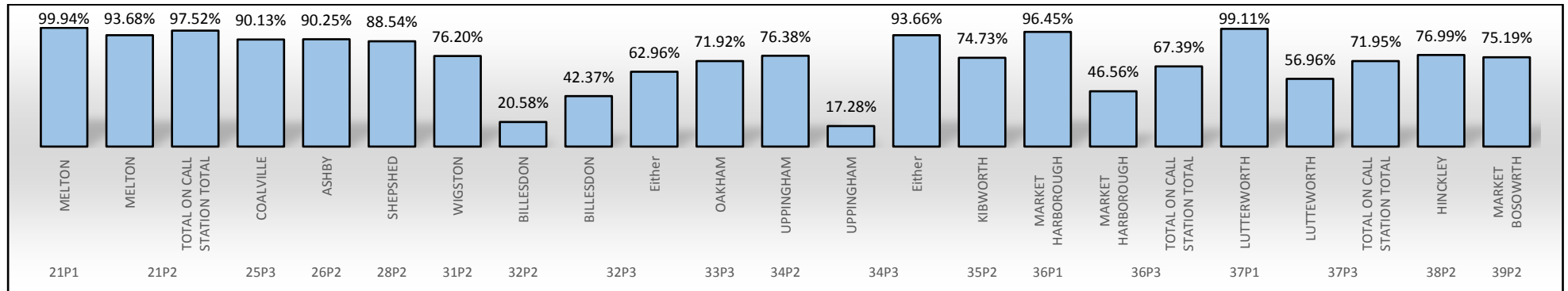
Chart 19: Wholetime Appliance Availability – September 2020



3.6 The % availability of On-Call fire appliances – April to September 2020

For April to September, On-Call fire appliances have been available 79.0% of the time due to crewing, an increase of 17.6% 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 during April to June, although figures are beginning to decline.

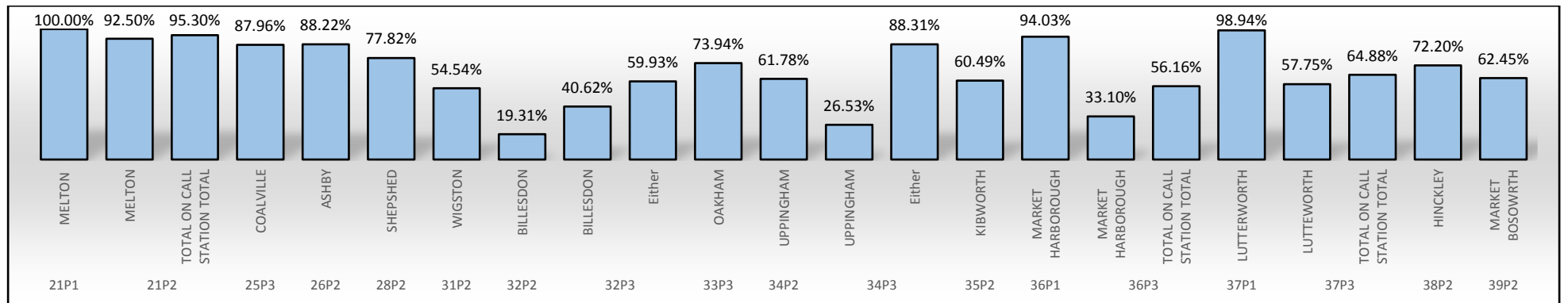
Chart 20: On-Call Appliance Availability – April to September 2020



September 2020

For September, On-Call fire appliances have been available 72.8% of the time due to crewing, an increase of 2.5% compared to August (70.3%).

Chart 21: On-Call Appliance Availability – September 2020



3.7 The % of people overall satisfied with our response – April to September 2020

We have received 99 public responses to our After the Incident Survey April to September. 99% of people responding to the survey stated that they are 'satisfied' with the overall service they received from Leicestershire Fire and Rescue Service. 1% of people responding stated

they were neither 'satisfied' or 'dissatisfied' with the overall service. This is 1% less than the previous year figure of 100%. The survey in this format is new and has only been running for the past year.

September 2020

For September, we have received 17 responses to our After the Incident Survey, which is the same as we have received in August (17). 1 person responding stated that they were neither 'satisfied' or 'dissatisfied' with the overall service.

3.7a The % of people satisfied with their initial contact with the service – April to September 2020

We have received 54 public responses to this question in our After the Incident Survey April to September. 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%.

September 2020

For September, we have received 12 responses to this question in our After the Incident Survey, which is 5 more than we have received in August (7).

3.7b The % of people satisfied with the service they received at the scene – April to September 2020

We have received 96 public responses to this question in our After the Incident Survey for April to September. 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%.

September 2020

For September, we have received 17 responses to this question in our After the Incident Survey, which is 2 more than we have received in August (15).

4.1 Home safety checks – April to September 2020

The impact by COVID 19 has 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 3361 home safety checks April to September. This is 113 less than the 3-year average of 3474. The previous year shows there were 3304 home safety checks completed during the same period.

The 3361 home fire safety checks can be broken down further:

Successful gain entry 415, a decrease of 2546 home safety checks on last year's (2961).

Successful advice no entry 2466, an increase of 2255 home safety checks on last year's (211).

Follow ups 480, an increase of 248 home safety checks on last year's (132).

Table 21: Home safety checks – April to September 2020

Ref	Key Corporate Indicator	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr to Sep 2020
4.l	Home safety checks	446	277	493	517	775	853							3361
a	Successful gain entry	32	42	65	65	113	98							415
b	Successful advice no entry	328	196	347	348	615	632							2466
c	Follow ups	86	39	81	104	47	123							480

The number of home safety checks are carried out by stations, community safety educators and partners.

The 3361 home fire safety checks can be broken down further:

Stations 1364, a decrease of 121 home safety checks on last year's (1485).

Community safety educators 1954, an increase of 347 home safety checks on last year's (1607).

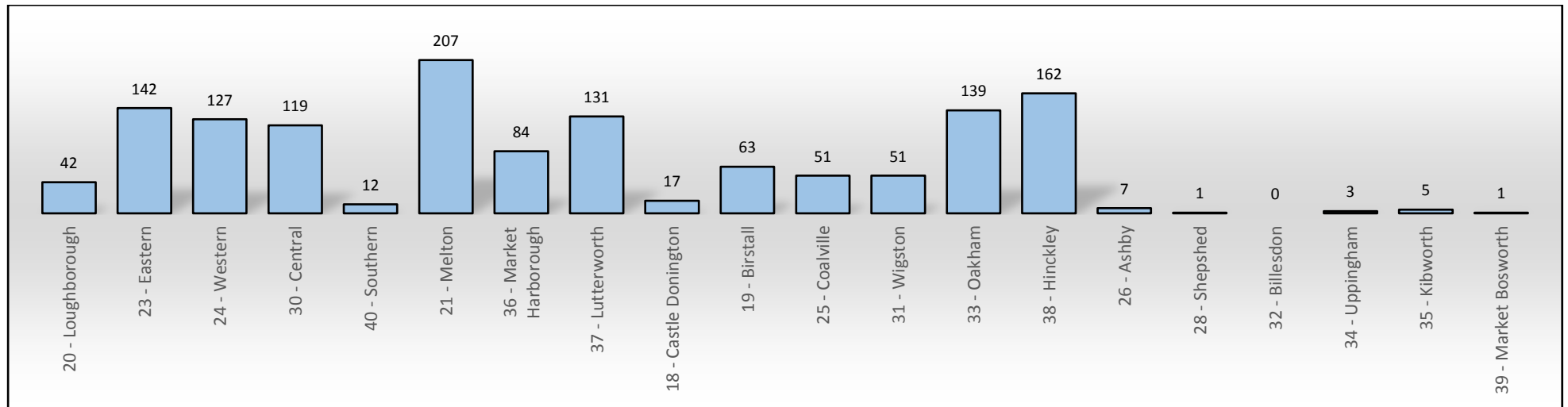
Partners 43, a decrease of 169 home safety checks on last year's (212).

Table 22: Home safety checks carried out by stations community safety educators and partners – April to September 2020

Ref	Key Corporate Indicator	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr to Sep 2020
4.l	Home safety checks	446	277	493	517	775	853							3361
a	Stations	39	38	176	164	468	479							1364
b	CSE	407	237	297	343	296	374							1954
c	Partners data	0	2	20	10	11	0							43

The 1364 home safety checks carried out April to September 2020 by stations are shown below.

Chart 22: Total Successful HSCs by Station April to September 2020



September 2020

For September, there were 853 home safety checks, which is 78 more than August (775).

Of the 853, there were 98 successful gain entry. 632 successful advice no entry and 123 follow ups. There were 479 carried out by stations, 374 carried out by community safety educators and none by partners.

4.2 Home safety feedback surveys – April to September 2020

There have been 1013 home safety feedback surveys April to September. This is a new indicator, which has only very recently started.

Of the 1013 surveys, 863 were first visits and 150 were repeat visits. Of the 863 first visits, 99.9% were satisfied (1 person wasn't satisfied) and of the 150 repeat visits, 99.3% were satisfied (1 person wasn't satisfied).

September 2020

For September, we have received 166 home safety feedback surveys, which is 13 less than in August (179). Of this, 143 were first visits in September, which is 22 less than in August (165) and 100% were satisfied. There were 23 repeat visits in September, which is 9 more than in August (14) and 100% were satisfied.

5.1 The % of fire safety audits that result in action plans and enforcement notices – April to September 2020

There have been 189 fire safety audits carried out April to September and there have been 20 action plans or enforcement notices. The number of fire safety audits carried out is 1 more than the 3-year average of 188 and the number of action plans or enforcement notices is 37 less than the 3-year average of 57.

The Fire Protection Department continue to work flexibility with a combination of remote 'virtual' audits together with the reintroduction of direct engagement with the Responsible Person on site. The ability for the team to be flexible in their approach is important as the lockdown restrictions in Leicester City continue. Across Leicester Leicestershire and Rutland, this blended approach has enabled an increase in completed audits from the Risk Based Inspection Programme.

September 2020

For September, there were 82 fire safety audits carried out, which is 33 more than in August (49). There were 6 action plans or enforcement notices issued, which is 3 less than were issued in August (9).

5.2 Fire protection Survey – Overall how satisfied were you with the service received – April to September 2020

There have been 41 surveys received April to September 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. We are beginning to carry out more audits, so the number of surveys returned is expected to increase. We are also looking 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.

September 2020

For September, there were 10 surveys received and they were all satisfied with the service they have received, which is 7 more than in August (17).

6.1 Average number of days/shifts lost to sickness by operational staff per person – April to September 2020

An average of 2.09 days/shifts per person were lost to sickness by operational staff during April to September, compared to the 3-year average of 2.46 days/shifts lost per person. In total, there have been 790.42 days/shifts lost to sickness, compared to the 3-year average of 911.08 days/shifts lost.

The 790.42 days/shifts lost April to September can be broken down further:

There were 212.40 short term days/shifts lost, a reduction of 51.44 days/shifts lost compared to the 3-year average of 263.84 days/shifts lost. Of the 212.40 short term days/shifts lost, 90.94 short term days/shifts lost were reported April to June, compared to 121.46 short term days/shifts lost July to September.

There were 578.02 long term days/shifts lost, a reduction of 69.22 days/shifts lost compared the 3-year average of 647.24 days/shifts lost. Of the 578.02 long term days/shifts lost, 313.02 long term days/shifts lost were reported April to June, compared to 265.00 long term days/shifts lost July to September.

The result of COVID 19 has also had an impact on sickness. If you include this data, an average of 3.14 days/shifts would be lost by operational staff during April to September. In total, there have been 399.85 days/shifts lost to COVID 19. There were 263.86 days/shifts lost to COVID 19 April to June and 135.99 days/shifts lost July to September. 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.

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Table 23: The total operational sickness – April to September 2020

Operational Sickness

Wholetime	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
20 - Loughborough	19.00	56.50	75.50	34.00	2.22
23 – Eastern	15.00	85.50	100.50	41.67	2.41
24 – Western	33.00	83.00	116.00	23.00	5.04
30 – Central	31.00	0.00	31.00	38.83	0.80
40 – Southern	27.00	10.00	37.00	28.00	1.32
Total	125.00	235.00	360.00	165.50	2.18
DC					
21 – Melton	3.64	36.15	39.79	11.00	3.62

Operational Sickness including COVID 19

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
75.50	26.00	101.50	34.00	2.99
100.50	17.50	118.00	41.67	2.83
116.00	31.00	147.00	23.00	6.39
31.00	43.50	74.50	38.83	1.92
37.00	61.50	98.50	28.00	3.52
360.00	179.50	539.50	165.50	3.26
DC				
39.79	0.00	39.79	11.00	3.62

36 – Market Harborough	4.43	22.72	27.15	11.50	2.36
37 – Lutterworth	3.54	0.00	3.54	11.00	0.32
Total	11.61	58.87	70.48	33.50	2.10
DCP					
18 – Castle Donington	6.39	0.00	6.39	11.67	0.55
19 – Birstall	4.22	0.00	4.22	11.67	0.36
25 – Coalville	1.53	0.00	1.53	11.33	0.14
31 – Wigston	8.80	19.05	27.85	11.00	2.53
33 – Oakham	11.21	81.42	92.63	14.00	6.62
38 – Hinckley	5.14	75.18	80.32	12.00	6.69
Total	37.29	175.65	212.94	71.67	2.97
Control	18.50	57.00	75.50	26.00	2.90
Non Station	20.00	51.50	71.50	81.83	0.87
Total Operational	212.40	578.02	790.42	378.50	2.09

27.15	10.49	37.64	11.50	3.27
3.54	12.52	16.06	11.00	1.46
70.48	23.01	93.49	33.40	2.79
DCP				
6.39	5.16	11.55	11.67	0.99
4.32	52.31	56.53	11.67	4.85
1.53	18.17	19.70	11.33	1.74
27.85	25.68	53.53	11.00	4.87
92.63	5.43	98.06	14.00	7.00
80.32	5.59	85.91	12.00	7.16
212.94	112.34	325.78	71.67	4.54
75.50	48.50	124.00	26.00	4.77
71.50	36.50	108.00	81.83	1.32
	399.85	1190.27	378.50	3.14

6.2 Average number of days/shifts lost to sickness by support staff per person – April to September 2020

An average of 2.95 days/shifts per person were lost to sickness by support staff during April to September, compared to the 3-year average of 4.33 days/shifts lost per person. In total, there have been 321.16 days/shifts lost to sickness, compared to the 3-year average of 439.35 days/shifts lost.

The 321.16 days/shifts lost April to September can be broken down further:

There were 36.81 short term days/shifts lost, a reduction of 76.76 days/shifts lost compared to the 3-year average of 113.57 days/shifts lost. Of the 36.81 short term days/shifts lost, 8.84 short term days/shifts lost were reported April to June, compared to 27.97 short term days/shifts lost July to September.

There were 284.35 long term days/shifts lost, a reduction of 41.43 days/shifts lost compared the 3-year average of 325.78 days/shifts lost. Of the 284.35 long term days/shifts lost, 145.27 long term days/shifts lost were reported April to June, compared to 139.08 long term days/shifts lost July to September.

The result of COVID 19 has also had an impact on sickness. If you include this data, an average of 4.19 days/shifts would be lost by operational staff during April to September. In total, there have been 134.57 days/shifts lost to COVID 19. There were 107.47 days/shifts lost to COVID 19 April to June and 27.10 days/shifts lost July to September. 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.

Table 24: The total support sickness – April to September 2020

Support Sickness

Support	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
Business Support					
Area Manager	0.00	0.00	0.00	1.00	0.00
Estates and Facilities	1.00	0.00	1.00	4.00	0.25
Finance	4.73	0.00	4.73	6.72	0.70
Information and Technology	0.00	52.00	52.00	10.95	4.75
Service Support	3.43	0.00	3.43	12.86	0.27
Total	9.16	52.00	61.16	35.53	1.72
People and Organisational Development					
Area Manager	0.00	0.00	0.00	1.00	0.00
Human Resources	0.00	47.57	47.57	7.81	6.09
Learning and Development	3.00	63.62	66.62	10.40	6.40
Occupational Health	2.00	0.000	2.00	2.92	0.68
Total	5.00	111.19	116.19	22.13	5.25
Community Risk					
Emergency Planning and Resilience	0.00	0.00	0.00	2.00	0.00
Operational Risk	3.00	0.00	3.00	5.81	0.52
Safer Communities	11.00	111.00	122.00	18.17	6.72
Total	14.00	111.00	125.00	25.98	4.81
Directors					
Emergency Services Network Project Coordinator	0.00	0.00	0.00	1.00	0.00
Total	0.00	0.00	0.00	1.00	0.00
Operational Response					
Station Support Staff	4.00	0.00	4.00	6.05	0.66
Total	4.00	0.00	4.00	6.05	0.66
Service Assurance					
Business Assurance	3.00	0.00	3.00	1.00	3.00
Corporate Communications	1.00	0.00	1.00	3.00	0.33
Information Governance	0.65	10.16	10.81	9.40	1.15
Planning and Performance Management	0.00	0.00	0.00	4.33	0.00
Total	4.65	10.16	14.81	17.74	0.83
Service Delivery					
Service Delivery – Fire Control	0.00	0.00	0.00	0.33	0.00
Total	0.00	0.00	0.00	0.33	0.00
Total Support	36.81	284.35	321.16	108.76	2.95

Support Sickness including COVID 19

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
0.00	0.00	0.00	1.00	0.00
1.00	0.00	1.00	4.00	0.25
4.73	0.00	4.73	6.72	0.70
52.00	0.00	52.00	10.95	4.75
3.43	26.00	29.43	12.86	2.29
61.16	26.00	87.16	35.53	2.45
0.00	0.00	0.00	1.00	0.00
47.57	0.00	47.57	7.81	6.09
66.62	2.50	69.12	10.40	6.64
2.00	0.00	2.00	2.92	0.68
116.19	2.50	118.69	22.13	5.36
0.00	0.00	0.00	2.00	0.00
3.00	4.00	7.00	5.81	1.20
122.00	95.00	217.00	18.17	11.94
125.00	99.00	224.00	25.98	8.62
0.00	0.00	0.00	1.00	0.00
0.00	0.00	0.00	1.00	0.00
4.00	1.07	5.07	6.05	0.84
4.00	1.07	5.07	6.05	0.84
3.00	0.00	3.00	1.00	3.00
1.00	0.00	1.00	3.00	0.33
10.81	0.00	10.81	9.40	1.15
0.00	6.00	6.00	4.33	1.38
14.81	6.00	20.81	17.74	1.17
0.00	0.00	0.00	0.33	0.00
0.00	0.00	0.00	0.33	0.00
321.16	134.57	455.73	108.76	4.19

6.3 Average number of staff on modified duties for the entire month – April to September 2020

There have been on average, 7.33 members of staff that have been on modified duties for the entire month, per month April to September. This is 2.10 less than the 3-year average of 9.43.

The breakdown includes 3.00 from Wholetime, 3.66 from On-Call and 0.67 from Support.

September 2020

The breakdown of 12 members of staff on modified duties for the entire month in September:

- Wholetime – 5 – 1 Birstall, 1 Loughborough, 1 Market Harborough, 1 Western and 1 Non Station.
- On-Call – 6 - 2 Billesdon, 2 Oakham, 1 Melton and 1 Kibworth.
- Support – 1 – 1 Business Support.

6.4 Average number of staff on modified duties at some point throughout the month – April to September 2020

There have been on average, 11.83 members of staff that have been on modified duties at some point throughout the month, per month April to September. This is 0.23 more than the 3-year average of 11.60.

The breakdown includes 8.00 from Wholetime, 3.00 from On-Call and 0.83 from Support.

September 2020

The breakdown of 12 members of staff on modified duties at some point throughout the month in September:

- Wholetime – 6 – 2 Non Station, 1 Central, 1 Hinckley, 1 Lutterworth and 1 Western.
- On-Call – 5 – 2 Market Bosworth, 1 Ashby, 1 Lutterworth and 1 Melton.
- Support – 1 – 1 People and Organisational Development.

Status of Report: Public

Meeting: Corporate Governance Committee

Date: 18 November 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 progress made against the Internal Audit Plan 2020-21.

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. Changes to the previously reported position are presented in bold font.
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;
 - 1 audit has been completed to draft report stage;
 - 8 are work in progress (see paragraph 7 below);
 - 1 job has not yet commenced
 - 0 have been cancelled

7. It is important to note that 6 of the 7 audits (i.e. excluding any high importance follow up work) that are classified as 'work in progress' are at the appropriate stage in their timetable for delivery i.e. four audits cannot be completed yet as they rely on testing which will cover the first three quarters of the financial year (audits 3, 4, 6 and 8) and two have progressed as far as they can at this stage in the financial year (audits 7 and 9). In addition, the final audit (audit 2) requires further discussion with the incoming Interim 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. Importantly 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 30 October 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"> • Payroll Replacement – 21 /5
1 to draft report	<ul style="list-style-type: none"> • Covid-19 IT Assurance – 21 /10
8 areas of work in progress	<ul style="list-style-type: none"> • Contract Compliance – Systel - Fire Control Mobilising System – 21 /2 • Key Financial Systems – Reconciliations and Balances (*) – 21 /3 • Key Financials Payroll (*) – 21 /4 • Key Financials Pensions (*) – 21 /6

	<ul style="list-style-type: none"> • Pensions Replacement – 21 /7 • ICT controls (*) – 21 /8 • National Fraud Initiative – 21 /9 • High Importance Recs – N/A
1 not started	<ul style="list-style-type: none"> • Workshop Services – 21 /1
0 cancelled audits	<ul style="list-style-type: none"> • N/A

* = 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. Also any additional jobs that have been requested will be reported.

High Importance Recommendations

13. A total of four partial assurance reports and associated high importance recommendations are currently requiring progress to be reported back to this Committee in order to provide assurance that they have been adequately addressed. All the work relates to the coverage in 2019/20 and there have been no additional partial assurance/high importance recommendations in 2020/21 to date. Progress updates will be reported back to the Committee as 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"> • Roll out of procurement policies and procedures to budget holders • Storage and accessibility of (signed) contracts • 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 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 March 2021 Corporate Governance Committee (as agreed at the September 2020 meeting)
Change Control – Follow up of High Recommendation	N/A - Original Job 20-8	Change Control through a new Service Desk Management tool – a walkthrough of the tool was undertaken as part of our Covid IT assurance work and it will be tested as part of our Key ICT Controls coverage (update on progress will be given at March 2021 Corporate Governance Committee meeting)

14. As agreed by the Committee in September 2020, coverage of two further legacy 2019/20 partial assurance ratings (in respect of Key Controls Payroll and Key Financial Controls) is 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)

There are no staff, service users and stakeholder implications arising from this report.

19. Environmental

There are no environmental implications arising from this report.

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 2020-21 (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 30 October 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 30th October 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 30/10	Summary recommendations	Opinion
21 /5	Governance	Payroll Replacement	<ul style="list-style-type: none"> To provide on-going advice throughout the project lifecycle especially data migration plans 	Final Report Issued	Areas raised and areas for future consideration: <ul style="list-style-type: none"> Need for review of 'As is' processes Issue with Segregation of Duties identified – resolved at the close of the audit (e.g. an officer had HR input rights and Authoriser rights) Need for documenting of User Acceptance Testing Need for documenting of Project meetings Update and sign off of the Business Continuity Plan General Ledger interface file issue (resolved at the close of the audit) Process to be developed on maintaining consistency between information on Firewatch and ITrent in relation to Occupancy Post 	Not Applicable

					Reference Numbers	
21 /10		Emerging Issues	<p>Emerging issues</p> <p>As agreed at September 2020 Committee, time was used for the following audit:</p> <p><u>Covid-19 IT Assurance</u></p> <ul style="list-style-type: none"> • Remote Access and Security • Network Performance and Capacity Management • Access Management • Cyber Security Risks • Patching • Collaboration Tools • Asset Management • Change Control 	<p>Draft advisory report with client for feedback with no significant issues identified to date</p>	Not Applicable	Not Applicable

			<ul style="list-style-type: none">• IT expenditure monitoring			
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Work in progress

No.	Category	Auditable area	Potential assurance requirements....	Position at 30/10	Summary recommendations	Opinion
21 /2	Risk Management	Contract Compliance – Systel - Fire Control Mobilising System	<ul style="list-style-type: none"> • Robust contract management and compliance is in place to mitigate risk to an acceptable level 	<ul style="list-style-type: none"> • Work started in 19/20 – Further discussions requested with Interim Chief Fire & Rescue Officer re approach (dependent on the current status of the contract) 	Not Applicable	Not Applicable
21 /3	Internal Control	Key Financial Systems – Reconciliations and Balances (*)	<ul style="list-style-type: none"> • Key reconciliations and other agreed in scope processes are undertaken accurately and promptly <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>Testing in November</p> <p>Terms of Engagement agreed with Client and will incorporate follow up of partial assurance in 19/20.</p> <p><i>Note: Work could not commence until November 2020 to allow enough testing periods from the</i></p>	Not Applicable	Not Applicable

				<i>current financial year in order to provide a representative 20/21 sample.</i>		
21 /4	Internal Control	Key Financials Payroll (*)	<ul style="list-style-type: none"> • Payroll Starters, leavers and variations to pay are valid and accurately accounted for 	<p>Testing in November</p> <p>Terms of Engagement agreed with Client and will incorporate follow up of partial assurance issues identified previously in 19/20 with the new payroll provider.</p> <p><i>Note: Work could not commence until at least November 2020 to allow enough testing periods from the current financial year in order to provide a representative 20/21 sample.</i></p>	Not Applicable	Not Applicable
21 /6	Internal Control	Key Financials Pensions (*)	To provide assurance regarding operational processes for Fire Fighter Pensions. Topic area(s)	Draft Terms of Engagement sent to Client for agreement.		

			<p>will be risk assessed and then selected from the following:</p> <ul style="list-style-type: none"> • Starters, leavers and variations to pension are accurately accounted for in respect of pensionable adjustments required. • Contribution banding, pensions increases, and dependants' pension requirements are correctly applied. • To review the validity and accuracy of calculations with regard to payments for new pensions and lump sums 	<p>Note: Work cannot commence until February 2021 both to allow enough testing periods from the current financial year in order to provide a representative 20/21 sample and to enable the work to be undertaken in conjunction with the new providers.</p>		
21 /7	Governance	Pensions Replacement	<ul style="list-style-type: none"> • To provide on-going advice through the project lifecycle especially data migration plans 	<p>Work completed to date has involved reviewing:</p> <ul style="list-style-type: none"> • Project Initiation Document (PID) • Data Questionnaire (<i>review document</i>) 	Not Applicable	Not Applicable

				<p><i>and provide wording for the audit section)</i></p> <ul style="list-style-type: none"> • Data <u>Transfer</u> Questionnaire • Risks and Issues log • Project Plan • Stakeholder Analysis document <p>In addition, advice issued re retention of Project Board minutes and evidence of testing undertaken</p> <p>The next stage of the work will cover:</p> <ul style="list-style-type: none"> • Data migration, • User Acceptance Testing plan • Test strategy • Sample testing • Interfaces and reporting development, • Business continuity arrangements and • Security/access 		
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				docs.		
21 /8	Internal Control	ICT controls (*)	<ul style="list-style-type: none"> • 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 	<p>At testing stage.</p> <p>Note: Work could not commence until November 2020 to allow enough testing periods from the current financial year in order to provide a representative 20/21 sample.</p>	Not Applicable	Not Applicable
21 /9	Internal Control	National Fraud Initiative	<ul style="list-style-type: none"> • 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. 	<p>The client has successfully uploaded all relevant data sets to the NFI web portal. Creditors data was uploaded directly, whilst Pensions and Payroll data was uploaded by the relevant agency (Leicestershire County Council and Warwickshire County Council respectively).</p>	Not Applicable	Not Applicable

				<p>Subject to the uploaded data passing NFI data quality checks, no further activity is anticipated until matched reports are received back in February 2021.</p>		
N/ A	Various	High Importance Recs	<ul style="list-style-type: none"> Follow up testing of any high importance recommendations within our 19/20 coverage (and any in year high importance recommendations during 20/21) to ensure they have been addressed in a timely manner in order to mitigate risk to an acceptable level. 	<p>Key ICT Controls</p> <p>A walk through of the new Service Desk Management System (live from September) has been undertaken as part of our COVID related IT assurance work.</p> <p>The ability to successfully manage changes through the application (which corresponds with the remaining high importance recommendation) will</p>	Not Applicable	Not Applicable

				<p>be tested as part of our Key ICT controls coverage (ref 21/ 8).</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 21/ 4).</p> <p><u>Contract Procedure Rules</u></p> <p>As agreed by this Committee in September, due to the longer lead time for remedial action, this partial assurance report will not be followed up until March 2021.</p>		
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Jobs not started

No.	Category	Auditable area	Potential assurance requirements....	Position at 30 October	Summary recommendations	Opinion
21 /1	Governance	Workshop Services	<ul style="list-style-type: none"> • Work undertaken delivers value for money and is undertaken by suitably qualified staff. 	Deferred to allow further discussions re potential COVID-19 effects on this audit	Not Applicable	Not Applicable

Areas of the original plan that will not be undertaken and associated rationale

None specified as yet

Potential Substitute Jobs

None specified as yet

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 20th 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

<u>OUTCOME OF THE AUDIT</u>	<u>ASSURANCE RATING</u>
No recommendations 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
Recommendations include at least one HI 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>Partial assurance</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 HI 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 HI recommendations made are sufficient to seriously undermine any confidence in the controls that are currently operating.	Little or no assurance

Status of Report:	Public
Meeting:	Corporate Governance Committee
Date:	18 November 2020
Subject:	Update on developments on local (external) audit arrangements
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 Committee) with an update on developments in local (external) audit arrangements, that are associated with the Committee's responsibilities.

Recommendation

2. The Committee is asked to note the outcome of the Redmond Review and developments in local (external) audit arrangements that are associated with the Corporate Governance Committee's responsibilities

Executive Summary

3. A series of large-scale corporate governance and financial failings in both the private and public sectors and criticisms of the roles taken by auditors prompted a number of reviews of audit and governance arrangements in all sectors. At its meeting on 20 November 2019, the Corporate Governance Committee received a report providing information on the reviews and other developments.
4. The responsibilities for how local authority (including fire and rescue authority) audits are conducted is set down within the Local Audit and Accountability Act 2014. In June 2019 Sir Tony Redmond was asked by the Ministry of Housing, Communities and Local Government (MHCLG) to undertake an independent review of the effectiveness of local (external) audit and the transparency of local authority financial reporting. Announcement of the review met the MHCLG's commitment to undertake a post implementation review of the audit framework and financial reporting elements of the Act.
5. Redmond released his review report on 8 September. In short, he found the current local audit arrangements not fit for purpose and he made a number of recommendations some of which will require primary legislation but other more localised recommendations which could be implemented if chosen to do so. The general view amongst interested parties is that should all the

recommendations be implemented, the local audit experience should be much improved, but it may come at some additional cost.

6. Almost in tandem to Redmond, the National Audit Office (NAO) consulted on changes to the Code of Audit Practice and associated guidance to auditors in support of the Code, to which auditors must have regard when carrying out their work. The Code must be reviewed, and revisions considered at least every five years.
7. The new Code came into force in April 2020. Among the changes adopted are the inclusion of additional narrative commentary by auditors to explain how audited bodies are improving value for money (VfM), along with greater attention to financial sustainability and governance. Redmond commended this improvement. The outcome of the consultation on this major change has recently been issued. Responses were on the whole positive but there is a risk that the extra work needed to form a more robust VfM opinion will increase fees. Audit work under the new Code will begin from the 2020-21 financial year onwards, meaning the first Auditor's Annual Reports will be issued in 2021.
8. Recommendations arising from other reviews of audit arrangements at the time (Kingman, the Competition and Markets Authority and Brydon) were evaluated and reflected in Redmond's review and report.
9. This report is for information only as an update one year on, because it is evident that the CFA's officers and members will need to evaluate a lot of detail and agree on whether localised Redmond recommendations are accepted and the impact of changes to auditors' responsibilities under the new Code of Audit Practice.
10. For all references to local authority in the report, please read fire and rescue authority.

Background

Independent Review into the Oversight of Local Audit and the Transparency of Local Authority Financial Reporting (the Redmond Review)

11. The guiding principles of the Redmond Review were accountability and transparency asking questions such as how are local authorities accountable to service users and taxpayers; how are auditors accountable for the quality of their work; how easy is it for service users and taxpayers to understand how their local authority has performed and what assurance they can take from external audit work.
12. The review team received 156 responses to 'Calls for Views' and carried out more than 100 interviews. Interested parties included local government practitioners, audit firms, professional accounting bodies, academia and the media and the general public. The review report (83 pages) was published on 8 September 2020. Substantial evidence collated from the 'Call for Views' and individual stakeholder meetings formed the basis of the report's findings. It

contains an Executive Summary and 19 recommendations that are applicable to larger sized local authorities. It is broken down into 4 key component areas: -

- a. The direction, regulation, procurement and performance of local (external) audit: Sections 2-4
 - b. Governance arrangements in place locally for responding to audit recommendations: Section 5
 - c. Audit work on the financial resilience of local authorities: Section 6. – (This links to the next section in this update report on the new Code of Audit Practice (2020) and associated Audit Guidance Notes (AGN) in particular AGN 03 which sets out how local auditors are expected to approach and report on their Value for Money (VfM) work).
 - d. Financial reporting in local government: Section 7.
13. A further section (8) covers issues related to smaller audits, including parish/town councils that members may be interested to note.

Summary of Key Findings – note these may not be applicable to the CFA

14. **The direction, regulation, procurement and performance of local (external) audit** – the review found there is a lack of coherence in local audit arrangements. Currently there are six different entities with a statutory role in overseeing and/or regulating elements of the local authority accounting and audit framework including regulating the quality, price and effectiveness of external audit. However, none of the six entities has a statutory responsibility, either to act as a system leader or to make sure that the framework operates in a joined-up and coherent manner. A very high percentage of respondents and stakeholders who were interviewed, expressed a preference for a single regulatory body. Additionally: -
- a. Almost all education authorities responding questioned auditors qualifying their VfM opinion solely because of an “inadequate” Ofsted rating. There was no evidence of reports by other inspectorates leading to modifications to the auditor’s opinion. The review thought auditors should engage more with other inspectorates to discuss reports or take into consideration any improvements that a local authority may have made since an inspectorate rating had been issued.
 - b. The report raised concerns at various points regarding the balance of audit price and quality. Audit fees in the local authority sector have dropped significantly at the same time that fees in other sectors have significantly risen. Overall levels of audit fees have dropped significantly from 2014/15, whilst fee variations have increased, much to local authorities concerns. Evidence gathered suggested that the cost of local audit is 25% lower than is required to fulfil current local audit requirements. As a result, the quality of auditors has reduced. A very high proportion of local authorities think that the current procurement process does not drive the right balance between cost reduction, quality of work, volume of external auditors and mix of staff undertaking the work.
 - c. There is concern that outside of the Key Audit Partners, auditors do not have sufficient experience or knowledge of local authorities. The two

areas of particular concern were the knowledge and continuity of working level audit staff and whether audit work always covered the most important areas of the accounts from a financial resilience and service user perspective. Underpinning the concerns about the quality and continuity of working level audit staff is a concern that there are not enough audit examiners with local authority expertise, and that this is an area in which accountancy trainees no longer wish to specialise.

- d. Internal Audit is not used much by External Audit as the Code of Audit Practice does not require them to liaise with internal audit work although there is a feeling that they could assist.
- e. For the first time in 2019-20, having insufficient qualified individuals to deliver all audits at the appropriate time was included as a reason for some of the delays in audit opinions being issued by the statutory publication deadline.
- f. There is a large expectation gap between what local authorities expect a VfM opinion should provide and what it actually provides. The VfM conclusion is viewed by many local authorities to be an exercise with limited use to them as it is too retrospective and often states what the local authority often already knows.

15. **Governance arrangements in place locally for responding to audit recommendations** – the review questioned whether on the whole Audit Committees are equipped to provide effective challenge to either auditors or the organisation's Statutory Officers in an effective way. Additionally: -

- a. There are relatively low numbers of independent Audit Committee members.
- b. In practice the auditor tends to present matters to the Audit Committee, which decides if a matter is serious enough to be referred to Full Council (the CFA). Whilst most local authorities feel that this arrangement is appropriate, the review identified some bad examples where external auditors had insights from their work, that could have provided assurance to Elected Representatives whether their local authority was not being run effectively. The review suggests that the external auditor should report to Full Council (the CFA) on risks identified and conclusions reached, in a transparent and understandable format.
- c. The review questioned the role of the three statutory officers in relationship to audit – do they engage with the auditor together on an informal or formal basis and how regularly.
- d. Not always the expertise in local authority finance departments in completing the accounts process.

16. **Audit work on the financial resilience of local authorities** – this section of the report attempts to draw a definition of financial resilience, including drawing reference to potential risks to it, such as commercialisation agendas. Section 6.3 reviews the audit assessment of this resilience through judgement of going concern and value for money (VfM) work. The report notes the need for a new model for England and refers to the Auditor Guidance Notes 03.

17. **Financial reporting in local government** - Section 7 raises questions and concerns regarding the format and usefulness of local authority statement of accounts and that they are complex and challenging for a service user or other taxpayer to understand. The current arrangements do not allow for the public to understand the accounts and more can be done to improve transparency of what local authorities do. The focus of audit on areas of technical not cash or budget nature, such as Property, Plant and Equipment and depreciation is considered over complex. The report identified three options to address this concern.
- a. Review International Financial Reporting Standards (IFRS) as a basis for preparation of the accounts and move to cash accounting – not favoured due to concerns regarding lack of consistency.
 - b. Expansion and standardisation of the current narrative statement – again this is not favoured due to the expansion of potential audit coverage and no guarantee it would address the visibility or clarity of the statements.
 - c. Introduce a new summary statement – this is the favoured option, and a number of examples are given for certain types of councils. These statements would still be subject to audit for consistency with the main statements.

Review conclusions

18. In summary, the review concluded that current local audit arrangements fail to deliver, in full, policy objectives underpinning the 2014 Act. The overriding concern was a lack of coherence and public accountability within the existing system. For local audit to be wholly effective it must provide a service which is robust, relevant, and timely; it must demonstrate the right balance between price and quality; and be transparent to public scrutiny. The evidence is compelling to suggest that the current local audit service does not meet those standards.

Review recommendations

19. The recommendations in the report centred on three aspects, namely: External Audit Regulation; Financial Resilience of local authorities and Transparency of Financial Reporting.
20. External Audit Regulation
- a. A new Office of Local Audit Regulation (OLAR) will be established and have responsibility for procuring, managing, overseeing and regulating local audits.
 - b. The current roles and responsibilities relating to local audits discharged by the six entities with a statutory role in overseeing and/or regulating elements of the local authority accounting and audit framework will be transferred to the OLAR.
 - c. A Liaison Committee will be established comprising key stakeholders and chaired by MHCLG, to receive reports from the new regulator on the development of local audit.

- d. The governance arrangements within local authorities should be reviewed by local councils with the purpose of: -
 - i. an annual report being submitted to full Council (the CFA) by the external auditor;
 - ii. consideration being given to the appointment of at least one independent member, suitably qualified, to the Audit Committee;
 - iii. formalising the facility for the Chief Executive Officer, Monitoring Officer and Chief Financial Officer to meet with the Key Audit Partner at least annually.
- e. All auditors engaged in local audit be provided with the requisite skills and training to audit a local authority irrespective of seniority.
- f. The current fee structure for local audit be revised to ensure that adequate resources are deployed to meet the full extent of local audit requirements.
- g. That quality be consistent with the highest standards of audit within the revised fee structure. In cases where there are serious or persistent breaches of expected quality standards, OLAR has the scope to apply proportionate sanctions.
- h. Statute be revised so that audit firms with the requisite capacity, skills and experience are not excluded from bidding for local audit work.
- i. External Audit recognises that Internal Audit work can be a key support in appropriate circumstances where consistent with the Code of Audit Practice.
- j. The deadline for publishing audited local authority accounts be revisited with a view to extending it to 30 September from 31 July each year.
- k. The revised deadline for publication of audited local authority accounts be considered in consultation with NHS (England) and the Department of Health and Social Care, given that audit firms use the same auditors on both Local Government and Health final accounts work.
- l. The external auditor be required to present an Annual Audit Report to the first Full Council (the CFA) meeting after 30 September each year, irrespective of whether the accounts have been certified; OLAR to decide the framework for this report.
- m. The changes implemented in the 2020 Audit Code of Practice are endorsed; OLAR to undertake a post implementation review to assess whether these changes have led to more effective external audit consideration of financial resilience and value for money matters.

21. Financial Resilience of local authorities

- a. MHCLG reviews its current framework for seeking assurance that financial sustainability in each local authority in England is maintained.
- b. Key concerns relating to service and financial viability be shared between Local Auditors and Inspectorates including Ofsted, Care Quality Commission and Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services prior to completion of the external auditor's Annual Report.

22. Transparency of Financial Reporting

- a. A standardised statement of service information and costs be prepared by each authority and be compared with the budget agreed to support the council tax/precept/levy and presented alongside the statutory accounts.
- b. The standardised statement should be subject to external audit.
- c. The optimum means of communicating such information to council taxpayers/service users be considered by each local authority to ensure access for all sections of the communities.
- d. CIPFA/LASAAC be required to review the statutory accounts, in the light of the new requirement to prepare the standardised statement, to determine whether there is scope to simplify the presentation of local authority accounts by removing disclosures that may no longer be considered to be necessary.

Post report publication and next stages

23. Sir Tony Redmond has presented his review outcomes to a number of bodies with an interest in local audit arrangements amongst them audit firms, Public Sector Audit Appointments Ltd, the LGA and CIPFA. There has been general support for the direction of the recommendations from all institutions. CIPFA (the professional public finance accountancy body which maintains four statutory codes that local authorities are required to 'have regard to) has a view that if the recommendations are fully implemented, and there is some primary legislation required to do that, then there will be a better audit service although changes will take time to bed in. The passage of time could however be a significant risk if audit firms choose to withdraw from an already fragile market.
24. At the recent CIPFA conference, Redmond revealed that the MHCLG had reacted generally positively to his recommendations. He couldn't guarantee how the department will react to individual parts of the report, but he had been given assurance that it would be taken extremely seriously by the Department's Ministers.
25. Whilst some of his recommendations (creation of the new regulatory body and liaison committee, changing the audit deadline etc) will require primary legislation, Redmond considers many of the recommendations around governance could be considered in the short-term. These include: -
 - a. training of local authority audit committee members;
 - b. the appointment of independent members;
 - c. how could Key Audit Partners report to full council;
 - d. CIPFA could look at a simplified statement of accounts and induction and training;
 - e. CIPFA/LASAAC could review the statutory accounts;
 - f. audit firms could review how they can conduct their work in the future and how to ensure they get the necessary training and support to the individuals who are engaged in local audit.

26. Officers and members of the CFA will need to fully understand and debate all options relating to the review outcomes and recommendations to fully understand the implications. A further report will be brought to the Corporate Governance Committee in due course.

The new Code of Audit Practice (2020)

27. The 2014 Act makes the National Audit Office (NAO) under the leadership of the Comptroller and Auditor General (C&AG) responsible for the preparation and maintenance of the Code of Audit Practice (the Code) and gives the C&AG power to issue guidance to auditors in support of the Code, to which auditors must have regard when carrying out their work. The Code must be reviewed, and revisions considered at least every five years.
28. In April 2020 a new Code of Audit Practice came into force and consultation started shortly afterwards on its application and guidance for 2020/21 external audits. The abovementioned Redmond Review included reference to the Audit Code. Consultation on the associated Auditor Guidance Notes (AGN's) closed early September 2020.
29. The C&AG has retained a single Code covering the audit of different types of local public body. This reflects the fact that the core statutory responsibilities placed on the auditors of the different types of local public body covered by the Code are essentially the same. The Code continues to take a principles-based, rather than a rules-based. A principles-based approach helps to ensure that the Code does not become out of date as the regulatory environment evolves. It allows the auditor to adopt a flexible approach that is responsive to sector developments and to the specific circumstances faced by the audited body.
30. The new Code of Audit Practice puts greater emphasis on timely and effective reporting by local auditors. Its focus on the areas that are important to local bodies will help them to strengthen their arrangements for securing value for taxpayers and provide transparency and accountability for the public on how well their money is being spent.
31. The revised code will focus even more on auditors obtaining assurance of organisational efficiency. Among the changes adopted are the inclusion of additional narrative commentary by auditors to explain how audited bodies are improving value for money, along with greater attention to financial sustainability and governance. Rather than require auditors to focus on delivering an overall, binary, conclusion about whether or not proper arrangements were in place during the previous financial year, the new code requires auditors to issue a commentary on each of the key criteria of financial resilience, governance and economy, efficiency and effectiveness. This will allow auditors to tailor their commentaries to local circumstances.
32. However, the proposed work on value for money, including the emphasis on more impactful reporting, will likely require greater audit resource, as well as a higher skill mix. It will be important for the NAO to provide guidance on the indicative likely range of days and specialist skill input required. This will help to

manage the expectations of local bodies before auditors begin work on new year audits.

33. The NAO consulted on the detailed statutory guidance that will support auditors to deliver work under the new Code. The consultation on Auditor Guidance Note 03 (AGN 03) Auditors' Work on Value for Money (VFM) Arrangements was launched on 10 June 2020 and closed on 2 September 2020. AGN 03 is 18 pages long and extremely detailed guidance.
34. The consultation outcome has only recently been released but seems to have been positively received. In summary (extracted from the response document):
 - a. respondents agreed that the scope of proper arrangements covers the key areas of focus within the public sector that auditors should consider and that this would help to improve consistency and quality of assessments. Some useful suggestions were made to help tighten the scope further.
 - b. There was strong support from respondents that it was helpful to define whether a weakness in arrangements is significant for both the auditor, and to aid the body's own understanding. Respondents were broadly supportive of the characteristics and illustrative examples.
 - c. There was agreement from respondents that the characteristics of a significant weakness are helpful. There was also general agreement that the examples to help consider whether or not a weakness is 'significant' are helpful
 - d. Under reporting, respondents were generally supportive of the considerations for deciding how to report a significant weakness
 - e. Very important was that respondents were generally supportive of the move to a commentary-based approach and recognised the objective to provide more meaningful reporting, where respondents stated this would provide a clearer focus for discussions with senior management and boards
 - f. Nevertheless, there were some concerns regarding the impact on the audit fee and capacity of auditors and that the commentary should not be just a description of what auditors have done.
35. The NAO's primary goals are to ensure that auditors are commenting publicly on key areas such as financial sustainability and governance, and for auditors to provide more timely and meaningful reporting that helps bodies understand what auditors see as the high priority issues so that they can take action. This could have implications for both the resources local auditors may need and the skill mix they may need to deploy.
36. Implementation of AGN 03 should provide clarity and consistency to VfM opinions.
37. Audit work under the new Code will begin from the 2020-21 financial year onwards, meaning the first Auditor's Annual Reports will be issued in 2021. The Committee will be kept informed of any changes.

Other developments relating to the wider external audit field

38. Whilst the updates above are specifically relevant to the local government sector, in the past three years, three independent reviews were published on elements of the statutory audit framework. Whilst the Kingman Review made specific recommendations regarding the local audit framework, the Competition and Markets Authority Study and the Brydon Review were solely focussed on the audit of Public Interest Entities (listed companies or entities with listed debt). Ministers have yet to decide whether/how to take forward all recommendations made by these reviews.
39. However, given that local authority audit is delivered by assurance practices that undertake both public and private sector audits and conducted in accordance with a common set of quality standards, some of the recommendations made by these reviews may be relevant to the future of local audit.
40. The Redmond Review listed the relevant recommendations made by all three reports and commented on how it had addressed them and/or how they may impact on the future of local authority audit.
 - a. ‘The Independent Review of the Financial Reporting Council (FRC)’ – the Kingman review was concluded in December 2018. The FRC regulates auditors, accountants and actuaries in the UK, sharing this responsibility with the professional membership bodies. The review recommended that the FRC be replaced with an independent statutory regulator, accountable to Parliament, with a new mandate, new clarity of mission, new leadership and new powers. The new regulator would be called the Audit, Reporting and Governance Authority.

Redmond concurred with four relevant recommendations and expanded two of them. One other was outside of scope.

- b. ‘Statutory Audit Services Market Study’, final report, April 2019. The Competition and Markets Authority (CMA). recommended changes to the statutory audit market that will impact on local audit. This review also made a specific recommendation that audit committees should come under greater scrutiny by the new regulator (see Kingman). This should increase accountability of audit committees. This recommendation could translate into the public sector and local government.

Redmond commented on four recommendations mostly with concern that the CMA proposals could affect the local audit market which is already fragile.

- c. ‘Independent review into the quality and effectiveness of audit’ (the Brydon review). The review was commissioned in response to the perceived widening of the “audit expectations gap” - the difference between what users expect from an audit and the reality of what an audit is and what auditors’ responsibilities entail. Recent company failures have

brought this gap into greater focus. There may be an additional gap between the information users of audited accounts believe is needed and what is available to them through audited financial statements or other publicly available information. A report to the Secretary of State for Business, Energy and Industrial Strategy is expected by the end of 2019.

41. Redmond was fairly even in agreeing to or asking for further detail over twenty recommendations that aligned to its review. However, on one Brydon recommendation, 'creating a separate new audit profession', Redmond was concerned that it has the potential to have a significant impact on the sustainability of the local authority and indeed the wider public sector audit market. Government and the proposed local authority audit regulator (OLAR) may need to consider whether the proposed corporate audit profession would continue to generate skills that are transferrable for public sector audit. If not, and it develops as suggested by Brydon, there is a risk that local audit market could come under even more stress. If skills are transferrable, consideration will need to be given to how to ensure that members of the new corporate audit profession retain the skills, knowledge and expertise to deliver high quality local authority audits.
42. The position with these other reviews will continue to be monitored and reported to Committee.

Report Implications/Impact

43. Legal (including crime and disorder)

Fire and rescue authorities are classed as a 'relevant authority' for the Local Audit and Accountability Act 2014 and therefore have the same status as a Local Authority for these purposes. As such any changes to auditing arrangements will impact the CFA. As identified in the report some of the recommendations will require changes in legislation. There may be a requirement for consequential changes to the CFA Constitution as well to reflect some of the governance changes – for example, the inclusion of independent members on the Corporate Governance Committee and the presentation of an annual report from the external auditor to the CFA.

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

There are no resource implications arising directly from this report at this stage, although there is a potential for higher external audit fees and accounts preparation costs in future years.

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

There are no risks arising from this report.

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

There are no staff, service user and stakeholder implications arising from this report.

47. Environmental

There are no environmental implications arising from this report.

48. Impact upon Our Plan Objective

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

Independent Review into the Oversight of Local Audit and the Transparency of Local Authority Financial Reporting (the Redmond review)

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/916217/Redmond_Review.pdf

The new Code of Audit Practice (2020)

https://www.nao.org.uk/code-audit-practice/wp-content/uploads/sites/29/2020/01/Code_of_audit_practice_2020.pdf

Auditor Guidance Note 03 (AGN 03) Auditors' Work on Value for Money (VFM).

<https://www.nao.org.uk/code-audit-practice/wp-content/uploads/sites/29/2020/06/New-draft-AGN-3-For-consultation-final.pdf>

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Status of Report: Public

Meeting: Corporate Governance Committee

Date: 18 November 2020

Subject: Industrial Action Business Continuity Planning

Report by: The Chief Fire and Rescue Officer

Author: Andy Galway, Area Manager – Service Assurance

For: Information Only

Purpose

1. To provide the Corporate Governance Committee with an update on progress made on the Industrial Action Business Continuity planning arrangements, specifically the employment of a third-party contingency provider, to ensure that appropriate arrangements are in place to continue service delivery in the event of industrial action and to satisfy the minimum response requirements of the Home Office.

Recommendation

2. It is recommended that the Committee notes the arrangements in place to employ a third-party contingency provider in order to put in place appropriate business continuity arrangements should the Leicestershire Fire and Rescue Service be exposed to periods of industrial action.

Executive Summary

3. The Combined Fire Authority (CFA) is required by law to have effective Business Continuity Plans and make every effort in the event of Industrial Action to maintain the full range of response services.
4. The CFA agreed at its meeting in September 2019 to approve the use of third-party contingency providers, supported by internal arrangements, in order to satisfy the minimum response suggested by the Home Office of maintaining six fire engines during periods of industrial action.
5. This report provides a summary of the approach adopted to ensure that there are appropriate business continuity arrangements in place should the Service be exposed to periods of industrial action that impacted on delivering the core function of a Fire and Rescue Service.

Background

6. The National Framework for Fire and Rescue Services 2018 states that “Fire and rescue authorities must have effective business continuity arrangements in place in accordance with their duties under the Civil Contingencies Act 2004. Within these arrangements, fire and rescue authorities must make every endeavour to meet the full range of service delivery risks and national resilience duties and commitments that they face. Business Continuity plans should not be developed on the basis of armed forces assistance being available”.
7. The CFA agreed in September 2019 to approve the use of third-party contingency providers, supported by internal arrangements, in order to satisfy the minimum response suggested by the Home Office of maintaining six fire engines during periods of industrial action.
8. This numerical figure of six equates to the Home Office guidance figure of maintaining 25% of their total number of operational fire engines as the minimum response during periods of industrial action. Senior Officers have previously provided assurance to the Home Office that the Authority’s minimum response of six fire engines (the Authority has 24 fire engines) is achievable.
9. However, due to establishment and personnel changes, the CFA was advised in September 2019 that there was less confidence that the number of staff that would be available to work in the event of industrial action would be sufficient to maintain the minimum response.
10. A project aimed to improve the Authority’s contingency response arrangements through the use of third-party contingency providers was agreed by the Senior Management Team (SMT) in October 2019. The project included reviewing associated policies and procedures.
11. Through this project approach, various stages were set out at the offset, with an aim to have project closure and a provider in place by July 2020.
12. In February 2020 a tender process was initiated through the East Midlands Tender Portal with a closing date of the 13 March 2020.
13. One provider submitted a response, the Project Board evaluated it and gave approval for their services on 18 March 2020, with procurement and legal assessments supported by Leicester City Council and Leicestershire County Council respectively.
14. There was an increase in the forecast costings of approximately six percent. The forecasted figure was based on details obtained during the summer of 2019 and the actual costs account for inflation. The Treasurer has been consulted, has assessed the impact and will tailor future forecasting of budgets in order to make the additional funds available. The SMT agreed to the deviation enabling the next stage to commence.

15. Due to the developing COVID-19 pandemic, this caused minor issues in finalising the contractual arrangements with the supplier. However, the three-year contract with an option to extend for a further two years in one-year increments commenced on 1 May 2020.
16. The associated procedures to support the triggering, implementing and deployment of the third-party provider arrangements have been completed.
17. By putting in place Business Continuity arrangements, the CFA now meets its obligations as set out in the duties under the Civil Contingencies Act 2004.
18. The Home Office, through their Inspectorate (Her Majesty's Inspectorate of the Constabulary and the Fire and Rescue Service), check and comment against the appropriateness of the Service's Business Continuity arrangements. It is anticipated that the next full inspection of the Leicestershire Fire and Rescue Service by the Inspectorate will be next year (the exact timing of this will be influenced by the present situation with the COVID-19 crisis).

Report Implications/Impact

19. Legal (including crime and disorder)

The Civil Contingencies Act 2004 requires Category 1 responders to maintain plans to ensure that they can continue to exercise their functions in the event of an emergency so far as is reasonably practicable. The duty relates to all functions, not just their emergency response functions.

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

- a) The costs associated with the use of the third-party provider are factored into our financial plans.
- b) The costs associated with accommodating the third-party provider if deployed is wholly dependent on the number of times and for how long they are used. Funding the use of them will be from earmarked reserves and the Treasurer is aware of this. The Treasurer will tailor future budget forecasts to accommodate this approach.

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

The Contingency Response Arrangements project has assessed all aspects of risk associated with the use of the third-party provider crews.

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

- i. The use of a third-party provider crews during periods of industrial action may not be popular with staff, especially those that need to

familiarise those crews with our equipment, fleet and estate.

- ii. The project invited representative bodies to engage during the various stages of the project, however representation was limited and only from the Fire and Rescue Service Association.
- iii. The arrangements with the third-party provider were communicated to the Staff Consultation Forum in September 2020 with an article in Service Matters (3 October) detailing the arrangements and why they are in place.

23. Environmental

There are no environmental implications arising from this report.

24. Impact upon Our Plan Objective

The Business Continuity Plan supports the Response strategy aim - respond effectively to incidents.

Background Papers

Report to the CFA December 2018 - Agenda item 9, Home Office Industrial Action Business Continuity Plan Review https://leics-fire.gov.uk/my-calendar/?mc_id=123

Report to the CFA 27 September 2019 – Agenda item 12, Industrial Action Business Continuity Planning https://leics-fire.gov.uk/my-calendar/?mc_id=140

Report to the CGC 11 March 2020 – Agenda item 13, Industrial Action Business Continuity Planning <https://leics-fire.gov.uk/your-fire-service/decision-making/cfa-meetings/>

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Status of Report: Public

Meeting: Corporate Governance Committee

Date: 18 November 2020

Subject: Service Development Programme and 'Our Plan 2020-24' – Appendix A tasks

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 September 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 September 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 16 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. A revised Home Office project plan is still awaited as further delays beyond the revised mid-2022 implementation date are expected.
6. Due to a lack of clarity from the Home Office regarding the ESN code of connection all remediation action plan activity is currently on hold.

7. Access to the coverage testing portal has been reinstated so although no activity has taken place on this recently, it can resume shortly.

Views Replacement

8. 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.
9. 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. Initial dashboards, focusing on IRS based key performance indicators have been created and are undergoing review and testing.
10. Progress has been slower than hoped due to the other Service priorities and the time it has taken for internal resources to become familiar with the new systems and functionality. A phased rollout of the dashboards will commence by December 2020 and be completed by August 2021.

High Reach Appliance Replacement

11. This project has been created to procure and deliver a high reach appliance to replace one of the existing Aerial Ladder Platform vehicles.
12. 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 November meeting of the TMT.

Appliance Replacement Project

13. Four replacement pumping appliances have been delivered and are all now operationally available. The project was extended to include the procurement of four further appliances identified in the 2020/2021 capital budget.
14. The supplier, Emergency One had a four-month period of closure due to the Covid-19 pandemic earlier in the year, and is currently closed for a further three weeks due to a local outbreak. The impact on the project deliverables has therefore been considerable. The current estimate is that the appliances will be built by the end of April 2021 (was December 2020) and handed over to Operational Response by the end of July 2021 (was March 2021).

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 the new Finance Manager commences their employment at the end of November 2020.

On-Call Review Project

16. 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.
17. 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.
18. 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, the TMT agreed to extend the stage completion until December 2020.

PPE Replacement Project

19. A project to procure replacement operational personal protective equipment. The project board chose to progress a managed service from the National Fire Chiefs Council National Framework as it offers the best value for LFRS. Bristol Uniforms were the successful supplier. The sizing exercise has been completed and manufacturing is taking place. The current contract expires in March 2021.

Virtual Fatal 4 (VF4) Replacement Project

20. 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. An exception report was approved by the TMT in July 2020 extending the current stage and the project completion date by three months. However, unfortunately, the pandemic has caused further delays in the supply chain. Current estimates are that the vehicle build will be completed by the end of January 2021.

ICT Service Management System Project

21. 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.
22. The chosen supplier FreshWorks have completed the build. The fully functioning cloud based system was successfully implemented at the end of October 2020.

Demountable Appliance Devices Project

23. The 31 devices have been successfully delivered, built and rolled out to stations.

24. 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.
25. The implementation of the mounts has been delayed further due to the supplier's priority being supporting the Airwave network. Negotiations are ongoing and it is hoped that the fitting of the mounts will start in December 2020.

Web GIS Project

26. A project to upgrade to a web-based geographical information mapping system.
27. 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 has been delayed due to additional internal technical development and implementation of additional software by the supplier. The stage is now due to be completed by the end of January 2021.

Replacement Payroll Provider Project

28. A project to establish payroll services with Warwickshire County Council (WCC).
29. The Senior Management Team (SMT) approved a 'go live' date of 17 July 2020. Since then, four monthly payrolls have been successfully undertaken by WCC.
30. Lessons learnt have been captured and SMT approved the project closure at the end of October 2020.

eOPAS Optimisation Project

31. A project to re-implement eOPAS, the occupational health system, making it fit for purpose to the benefit of Forge Health and LFRS.
32. Stage 1 involved the pre-employment screening process and was successfully implemented at the end of October 2020, which was one month later than planned due to internal resources not being available to complete the testing.
33. Stage 2 involves the referrals process and will be completed by the end of January 2021.

FireWatch Project

34. A project to develop and improve the functionality of FireWatch, the HR and personnel recording system.

35. Stage 1 involved defining a business case for 7.7.1/ Cloud migration/FireWatch App functionality and was completed at the end of July 2020. Stage 2 focused on process and reporting improvements and was completed at the end of October 2020.
36. The business case for moving to a cloud based infrastructure was approved by SMT on 26 August 2020.

Learning Management System Project

37. A project to develop a comprehensive Learning Management System.
38. A system called ORACLE provided by 'Learning Pool' has been selected.
39. Following delays during the procurement process in stage 1, the system build work is now complete. Stage 2, which includes learning pathways and maintenance of competence programmes is due to be completed by the end of February 2021.

Fleet Replacement Project 2020-2021

40. A Project to manage replacement of vehicles identified and supported via agreed Capital Bids.
41. The procurement of three Director cars and nine Fire Protection Officer cars to replace current leased vehicles is complete, with all of them being delivered by the end of October 2020.
42. Non-specialist replacement vehicles (station and workshop vans) are due to be delivered by the end of December 2020.

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.

43. The ongoing Covid-19 pandemic has resulted in Prevention and Protection activity having to be delivered in new innovative ways. As both prevention and protection have historically been delivered by direct interaction with the communities of Leicester, Leicestershire and Rutland (LLR), a more blended approach needed to be considered, whilst still ensuring Safer People Safer Places. An example within Prevention has been successfully delivering the new initiative of Home Safety Checks (HSC) by telephone. This method of delivery has proven to increase the efficiency and effectiveness of the HSC service and allows the communities of LLR to continue to receive advice and guidance. As Government guidance regarding Covid-19 changes, the delivery method of HSC has also changed with a blended mix of telephone and socially distanced 'door step' checks.

44. The Protection Team has continued to complete Fire Safety Audits in alternative ways, such as remotely and with the Responsible Person for the premises submitting building plans and records electronically for the consideration of the Fire Protection Inspecting Officer. The Officer will then carry out a compliance check in person at a later date. The Fire Protection Team has continued to carry out audits in person whilst adhering to Government guidelines.

Deliver a new Arson Strategy.

45. The joint Arson Strategy was signed by the senior officers for both Fire and Police in September 2020. Working groups and reference holders have been assigned. Work on identifying success measures and producing publicly available arson toolkits will be progressed as business as usual arrangements. This action is now closed as complete.

Develop an assurance process to indicate how effectively we identify new risks.

46. The first assurance report has been approved at the Operational Learning Board. This has led to actions being agreed by stakeholders. Reporting criteria and a regular meeting between Fire Protection and Operational Planning are two outcomes.
47. This assurance process will be included in the Provision of Operational Risk Information System (PORIS) procedure by the planned December 2020 deadline.

Evaluate how effective our protection and prevention work is and use the information for future plans.

48. The evaluation of the work carried out within protection and prevention was acknowledged as being vital in ensuring that all communities across LLR were engaged with and that the level of engagement was appropriate. A process was completed to identify the most effective way to capture information and feedback to provide for a more targeted approach to both protection and prevention. This process identified an app-based product as being the most effective way to evaluate work and assist with future planning. The app-based Snap Survey tool is now used across various departments within the organisation. The feedback captured at the time of any event or interaction can be as simple or in-depth as required and appropriate. The information captured is also shared across departments to assist with a more targeted approach when planning future initiatives. In consultation with the Inclusion Team the equalities information captured via Snap Survey will be consistent across all departments.

Deliver any required improvements identified in the reports following the Grenfell fire.

49. Covid-19 has affected the Service's planning arrangements with some recommendations being closed and others identified as being completed before

year end. Improvements include: training operational staff on risk inspection processes; replacing all fire ground radios and aligning radio channels to National standards; upgrading Command Support Vehicle technology and introducing M/ETHANE messaging (multi-agency agreed message format) for messages coming from incident grounds.

50. Approximately half of the remaining recommendations will be actioned from March 2021 meaning the deadline for delivering the recommendations in full will be exceeded. Several departments are linking department plan objectives through the Operational Learning Board.

Aim 2 – Respond effectively to incidents

Use our fire engines flexibly, aiming to attend life threatening incidents in an average of 10 minutes.

51. On 585 occasions, since 1 April 2020, fire appliances have been relocated from their normal location to alternative fire and rescue stations to ensure an appropriate allocation of resources to cover risks and meet targets for attendance times to incidents. The average length of time appliances spend at the alternative location is two hours.

Use our firefighters efficiently and flexibly to maximise our appliance availability.

52. From April to October, on 185 occasions On-Call firefighters have been used to provide operational cover at Wholetime stations where there has been a crewing deficiency. This has helped to achieve Wholetime appliance availability of over 99%. (149 full 12 hour shifts and 36 part shifts). This also gives On-Call staff greater exposure to operational incidents and assists with their development as competent firefighters.

Implement alternative crewing arrangements in the event of the Service moving away from the current Day Crewing Plus (DCP) duty system.

53. The CFA has resolved to move away from the DCP duty system in its current format by 2024. A service project to identify alternative arrangements for the DCP duty system will be initiated and deliver alternative solutions during the period of the current IRMP. This project will include staff, representative body and management representation.

Increase the availability of our On-Call appliances to respond to incidents.

54. To assist in the increase of On-Call appliance availability the service has undertaken a number of pieces of work. There has been an increase in recruitment with three recruitment campaigns per year with 12 individuals recruited per campaign.
55. Reduced training times for new starters. In the last 12 months this has reduced from 24 months to train an On-Call member of staff to 10 months, meaning new starters are available to crew appliances in a shorter period of time. The

reduced time to train has not reduced the training programme each firefighter receives.

56. Trials of alternative contracts - three On-Call sections are trialling new contracts of employment allowing a flexible approach to hours of availability and use of leave. This has led to increased availability from individuals. At the beginning of the work in 2018, On-Call availability was 50%. Since 1 April 2020 the average availability of On-Call appliances is 79%. Covid-19 has had a positive impact on On-Call appliance availability as On-Call staff have been working from their home addresses and supplying additional cover.

Aim 3 – Deliver value for money quality services

Purchase a second high reach appliance to replace the older one of the two vehicles.

57. 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 paragraphs 11 and 12 above. Implementation of the final vehicle is currently estimated to be November 2022.

Relocate and centralise our Learning and Development facilities.

58. A report outlining the current progress and preferred recommendation was approved by the Combined Fire Authority at its meeting on 23 September 2020.
59. The project is scaling back from a single consolidated site for the Learning and Development Centre to a cost-effective split site solution that incorporates less risks.

Procure replacement Personal Protective Equipment (PPE) for our firefighters.

60. As outlined in paragraph 19 above, 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.

61. A significant amount of collaboration has taken place recently due to the Covid-19 pandemic and this will continue over the coming months. A positive relationship is being developed with the Clinical Commissioning Group. The aim of this relationship is to enable each organisation to develop an understanding of the others' working practices, and to also swap information regarding vulnerable people. This will include the contact phone numbers to assist with telephone HSCs carried out.
62. Effective partnership working also continues within the Community Safety team as demonstrated by the number of partner referrals received. A total of 690

referrals have been received, triaged and prioritised by the team so far this year.

Develop the bistro area of the headquarters building to maximise office space and explore opportunities for leasing the space to generate income.

63. The development of the Bistro area at Headquarters has not been progressed significantly to date. An estimate of the redevelopment costs has been received and lease opportunities are being discussed within the Senior Management Team.

Aim 4 – An engaged and productive workforce

Enable our staff to do the right thing to help our communities.

64. Alongside the extensive activities the Service has been undertaking in supporting Communities and partner agencies during the pandemic, the Learning and Development team have adapted operational training to suit current conditions to ensure that staff remain competent in skills required to respond to incidents. This includes moving incident command to a blended approach for delivery and full and mini hazardous material forums delivered via Zoom to the Hazardous Materials Environmental Protection Advisors. They have also been developing driver training, amending the BA procedure and upskilling station-based workplace trainers so that they are suitably qualified and competent to maintain standards of all operational crews.
65. The Occupational Health team aim to continue to keep the workforce healthy and this has included the purchase of 209 flu vaccines. The People and Organisational Development team have continued to help employees understand what is the 'right' thing to do. The work the team is delivering helps people understand 'what good looks like'. This has been described in the services competency framework, which has been used recently in promotion processes. Work has commenced in mapping all support staff roles to the competency framework too.

Implement a Learning Management System (LMS) to record operational competence.

66. The new LMS project is currently on target for an implementation in February 2021. The build stage is 95% complete with 560 courses having been added to the system. The project team is working with individual teams/stakeholders to create the required look, feel and content of these courses.

Undertake a staff survey, sharing the results and developing improvement plans.

67. The 2020 staff survey commenced on 26 June; it was open for 5 weeks, closing on 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.

68. The results contained some very positive responses and were published internally at the end of September 2020. Work has now commenced on discussing and sharing the results and identifying actions to address areas which were identified as requiring attention.

Embed the Service's values and behaviours throughout the organisation.

69. The staff survey results confirmed that LFRS staff have a high level of awareness of the Service behaviours. It showed that that 97% of respondents are aware of them and 99% of them believe they show the behaviours in their work. There is an opportunity to test whether they are being 'lived' and embedded and further work will be done in this area. This will be linked to a proposal for Organisational Development within LFRS that will be completed by the end of the year.
70. Additionally, the National Fire Chiefs Council has started consultation on the Code of Ethics and there is an opportunity to progress both pieces of work in collaboration.

Aim 5 – Provide assurance

Implement a performance management system.

71. The internal development is continuing with the creation of a data warehouse with links to some of the Service's major data systems. Early provision of dashboard performance reports for primary and secondary fires and community safety feedback are being made available, with further work ongoing in relation to delivering other key performance indicator data via this method. The project is hopeful that the new dashboards containing IRS data will be available by December 2020, with all other system data incorporated by August 2021.

Complete the Black, Asian and minority ethnic (BAME) community safety initiative.

72. The project has experienced delays due to the Covid-19 restrictions. Although one focus group has now taken place with a positive response from all attendees, work has moved to the delivery stage. A report is being created by the University of Leicester which will outline recommendations for improving engagement with BAME communities. The report will be presented to TMT in January 2021.

Implement our HMICFRS Improvement Plan.

73. Progress is continuing on delivery of the Improvement Plan produced to address the areas highlighted in the inspection report produced by Her Majesty's Inspectorate of Constabulary's and Fire and Rescue Services (HMICFRS). There are now 37 actions completed and work continues to complete the outstanding actions. Highlights of those actions completed include: additional training in Marauding Terror Attacks by specialist Service National Interagency Liaison Officers, a 5-year Equality, Diversity and Inclusion Plan now in place, A new promotions procedure has been implemented

following engagement with staff and representative bodies, and representative bodies have stated that they are happy with their level of involvement in decision making.

Implement a universal web based mapping system.

74. The project to implement Cadcorp GIS Web Mapping (Corporate platform of Web based maps and data) is progressing. Geographical maps are being accessed from the internet 'Cloud' meaning no manual updates are required and the latest maps are always available for use; aerial mapping is also being introduced.
75. A data warehouse is being built, with both incident data and water data (hydrant locations etc.) now available. Software to enable user defined and led 'self-service' access to the data is being installed in early November.
76. Overall software performance has been increased providing a much improved software launch time and map refresh enabling more timely access to maps and data. The Web GIS has undergone significant aesthetic changes including an improved user experience and application of Corporate Branding. It is anticipated that the new Web GIS platform will be rolled out to all Service staff later this year and then be further developed beyond that.

Publish Annual Data Protection Officer's (DPO) report.

77. The annual report is due for publication in January 2021 (covering the period 1 January to 31 December 2020). The Data Protection Officer continues to publish quarterly monitoring and update of activity reports to TMT, the latest one covering activities between 1 July and 30 September 2020.

Improve how we communicate using social media and our website.

78. The use of animations has increased across social media platforms and internal communications channels, such as an animation to promote the Staff Survey in July, and creation of 'Celebrate Safely' animations in September (which have just been released in a toolkit to stations).
79. Loughborough station has also facilitated the Service's first virtual open day on 20 September, which was hosted on Facebook. Posters were shared through social media and networks to local primary schools to gain interest, and advised the leads on best practice for the day, how to live stream from a personal Facebook account to the station page, etc. A promotional video was edited and shared on social media, boosting it to gain traction. The open day was successful, with the social media posts reaching 266,965 people, page 'likes' went up 169%, and this set a good benchmark for other stations to explore the possibility of hosting virtual open days during the pandemic.

Improve engagement with our communities.

80. Community Safety videos were posted on social media in September for International Deaf Week, around specialised smoke alarms for the deaf/hard of hearing. The upcoming Have A Go Days (HAG) were also promoted for the next round of recruitment, including positive action HAG days. The annual '30 Days, 30 Ways' campaign was also supported, and sharing content throughout the month of September around how communities can be better prepared for an emergency.

Report Implications/Impact

81. 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.

82. 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.

83. 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 currently being undertaken. 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 appliance replacement, VF4 and demountable devices projects are those most affected currently.

84. 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.

85. Environmental

Environmental impacts are considered within the delivery of each project or task. There are no items for Corporate Governance Committee's attention.

86. 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.

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Status of Report: **Public**

Meeting: **Corporate Governance Committee**

Date: **18th November 2020**

Subject: **Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services Improvement Plan and COVID-19 Inspection**

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 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 in September 2020. This report also details the recent HMICFRS its COVID-19 inspection of the Service.

2. Recommendation

The Committee is recommended to note the progress of the Improvement Plan since the last update in September 2020 and also the recent HMICFRS COVID-19 inspection, the outcome of which is awaited.

Executive Summary

3. A report was presented to the Corporate Governance Committee in September 2020 showing progress made against the Improvement Plan. 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 presented to the Committee at its meeting in March 2021.
4. HMICFRS has now completed its COVID-19 inspection and the Service is awaiting the outcome.

Background

5. Since the Improvement Plan was published in August 2019, the Service has been working hard to improve and address the feedback. In September 2020, it was reported to the Committee that 37 actions from the Improvement Plan had been completed and 51 more were being addressed. Work continues in all these areas.
6. During the week commencing 26 October 2020, the HMICFRS inspected the Service for their response to COVID-19. This is part of a national programme to

inspect all Fire and Rescue Services, which began in September and will run through to December.

7. The COVID-19 inspection has been conducted 'virtually', with Strategic Leads from the Service being interviewed by the Service Liaison Lead and another inspector. During the week, the Strategic Leads for Prevention, Protection, Response and Control, Finance and Human Resources took part in extensive interviews, providing evidence of how the Service responded and dealt with the initial impact of COVID-19 from April – July. Also interviewed was the Chief Fire and Rescue Officer and the Chair of the Strategic Coordinating Group, a Deputy Chief of Police.
8. A large quantity of documents and reports have been provided as evidence to support the excellent work carried out by staff during the early stages of the pandemic. As well as the areas described above, HMICFRS also looked into business continuity, pandemic procedure, appliance availability, absences and how staff were used to support efforts to help the community. They also looked into how the Service supported the Tripartite agreement and the extra lengths utilised to support all elements of this. They further examined how COVID-19 risk was assessed by the Service and the measures in place to keep staff safe and well throughout this period.
9. The inspection outcome will be in the form of a public letter and will not be graded. This is expected to be released in December along with the annual 'State of Fire Report' by the HMICFRS. However, verbal feedback will be given to the Chief Fire and Rescue Officer the week following the inspection.

Report Implications/Impact

10. 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, the Service is committed to showing progress and diligence in its function in carrying out these duties.

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

The cost 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 the Senior Management Team.

12. 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. The COVID-19 inspection is not graded by the HMICFRS but a negative review of the Service following this inspection could lead to negative media reporting and lower community confidence in the Service.

13. 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.

14. Environmental

There are no environmental implications arising from this report.

15. Impact upon Our Plan Objective

Delivery of the Improvement Plan will positively contribute towards the aims and objectives of Our Plan 2020-24. The COVID-19 inspection by HMICFRS will demonstrate the Service's commitment to Safer People, Safer Places.

Background Papers

Report to the Corporate Governance Committee November 2019 – Agenda Item 11 - Her Majesty's inspectorate of Constabulary and Fire and Rescue Services Improvement Plan https://leics-fire.gov.uk/my-calendar/?mc_id=147

Report to the Corporate Governance Committee 11 March 2020 – Agenda Item 14 - Her Majesty's inspectorate of Constabulary and Fire and Rescue Services Improvement Plan <https://leics-fire.gov.uk/your-fire-service/decision-making/cfa-meetings/>

Report to the Corporate Governance Committee 16 September 2020 – Agenda Item 13 - Her Majesty's inspectorate of Constabulary and Fire and Rescue Services Improvement Plan <https://leics-fire.gov.uk/your-fire-service/decision-making/cfa-meetings/>

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Status of Report: Public

Meeting: Corporate Governance Committee

Date: 18 November 2020

Subject: Annual Procurement Report 2019/20

Report By: Callum Faint, Chief Fire and Rescue Officer

Author: Mick Grewcock, Assistant Chief Fire and Rescue Officer (Service Support)

For: Information

Purpose

1. The purpose of this report is to inform the Corporate Governance Committee of procurement related activity and compliance for the financial year 2019/20.

Recommendation

2. The Committee is asked to note the summary of procurement activity in 2019/20, as required by Rule 19.2 of the Contract Procedure Rules.

Executive Summary

3. The Combined Fire Authority (CFA) agreed an updated set of Contract Procedure Rules at its meeting in December 2018. This included a new requirement at Rule 19.2, for the Corporate Governance Committee to receive a report annually to include:
 - i. EU contract procurement over the preceding 12 months;
 - ii. Compliance with these Rules, including a summary of waivers;
 - iii. Any changes to these Rules.

Background

4. Leicester City Council, led by its Head of Procurement, continued to provide strategic oversight and support for procurement activity to the CFA in 2019/20.

Procurement

5. On a number of significant tenders, the provision of initial advice led to direct involvement in the full procurement project at an additional charge to the CFA.

This included:

- i. New third-party contingency response provider;
- ii. New Learning Management System;
- iii. Replacement Payroll system;

- iv. Replacement Pensions Administrators (regional project with Nottinghamshire and Derbyshire Fire authorities).

The latter two were not planned at the beginning of 2019/20 but were required to be undertaken at short notice to meet imposed short timescales.

6. Two Procurement Policy Notes were issued in March 2020. Both were in relation to a response to Covid-19 and gave information on procurement processes and payment relief for suppliers. The notes did not give new powers but described how existing provisions (under the Public Contracts Regulations 2015) could be used to respond to the impact of Covid-19.
7. Internal Audit work has identified administrative improvements required for the retention of contract documentation and entries onto the contract register.
8. The contracts register identifies one procurement at the EU contract level (above £189,000) that concluded in 2019/20. This is for Personal Protective Equipment (PPE) with a contract value of £306,033 per annum over eight years effective from April 2021. This was procured through the National Fire Commercial Transformation Programme framework.
9. Other significant procurement, identifying the procurement route and total contract cost, are noted below:
 - i. Vehicle CCTV – procured through tender competition: (£122,056);
 - ii. Mobile Telephony – refresh of existing contract that was over 10 years old, procured through Crown Commercial Service Framework: (£128,250);
 - iii. Demountable Appliance Devices – procured through Home Office FireLink framework (£113,457);
 - iv. Fire Ground radio replacement – Upgrade required to existing analogue radios which no longer supported the channel assignments for the National Operational Guidance compliance, procured through RM3808 Lot 11 framework: (£98,191);
 - v. Replacement Payroll Provider – procured through ESPO framework for period of three years: (£113,320);
 - vi. Fleet – fire appliances and other replacement vehicles – procured through frameworks: (£2,296,957).

Waivers

10. The Contract Procedure Rules require a summary of waivers to be presented. The table below shows an analysis of the waivers approved during 2019/20 and is shown by departments with a broad categorisation of the reason for the waiver.

Reason for Waiver	Quantity	Value	Department(s)
One Year Contract Extension	1	£11,359	Learning and Development
Six Month Contract Extension	1	£8,925	People and Organisational Development
Four Month Contract Extension	1	£2,921	Learning and Development
One Month Contract Extension	1	£2,921	Learning and Development
Limited Supply Market	1	£11,620	Information Communication and Technology
TOTAL	5	£37,746	Not Applicable

Joint working and 2020/21

11. The service provided 2018/19 spend analysis data as part of a national exercise conducted by the national Fire Commercial Transformation Programme. With this data, fire services have the opportunity to work more collaboratively, enable savings and deliver greater value for money from procurements.
12. Planned procurement activity for 2020/21 includes:
 - Conclusion of procurement for: Third party contingency provider, replacement pension administrator and service desk management system;
 - Continued maintenance and publication of the Procurement Plan and Contracts Register;
 - The embedding of the Contract Procedure Rules and detailed procedural guidance;
 - The provision of further training where required;
 - Further review of the Contract Procedure Rules, particularly in light of any impact arising from the exit of the United Kingdom from the European Union.
13. No breaches of the rules were identified and there was no legal action taken against the CFA.

Report Implications/Impact

14. Legal (including crime and disorder)

- a. The Contract Procedure Rules form part of the Constitution of the CFA, therefore this report satisfies the Constitution requirements in relation to reporting and procurement procedures.
- b. Each procurement process will need to follow due process in accordance with internal and legislative requirements.

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

Contracting activity on the Procurement Plan is a statement of intent and is subject to the necessary funding being available. The Plan provides a strategic approach to achieving value for money through major procurement activity.

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

Ineffective procurement can lead to an inability to achieve value for money, efficiency and effectiveness, openness to fraud and loss of reputation.

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

Procurement is used to drive wider social value, i.e. to bring about improvements in economic, social and environmental well-being.

18. Environmental

There are no environmental implications arising from this report.

19. Impact upon Our Plan Objective

An effective procurement contributes to the Finance and Resources Strategy of achieving Value for Money and increased efficiency and effectiveness.

Background Papers

Review and Revision of the Constitution of the Combined Fire Authority (CFA report 12 December 2018): https://leics-fire.gov.uk/my-calendar/?mc_id=123

Annual Procurement Report 2018/19 (Corporate Governance Committee report 17 July 2019): https://leics-fire.gov.uk/my-calendar/?mc_id=137

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