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<b>To:</b> Members of the Governance, Audit and Scrutiny Committee	<b>Enquiries to:</b> Samm Campbell <b>Email:</b> <a href="mailto:committeemanager@humbersidefire.gov.uk">committeemanager@humbersidefire.gov.uk</a> <b>Tel. Direct:</b> (01482) 393205 <b>Date:</b> 6 September 2019
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Dear Member

I hereby give notice that a meeting of the **GOVERNANCE, AUDIT AND SCRUTINY COMMITTEE** of Humberside Fire Authority will be held on **MONDAY, 16 SEPTEMBER 2019 at 10.00AM** at **HUMBERSIDE FIRE & RESCUE SERVICE HEADQUARTERS, SUMMERGROVES WAY, KINGSTON UPON HULL, HU4 7BB.**

The business to be transacted is set out below.

Yours sincerely



**Mathew Buckley**  
**Monitoring Officer & Secretary to Fire Authority**

Enc.

## **A G E N D A**

Business	Page Number	Lead	Primary Action Requested
<b><u>Procedural</u></b>			
1. Apologies for absence	-	Monitoring Officer/ Secretary	To record
2. Declarations of Interest (Members and Officers)	-	Monitoring Officer/ Secretary	To declare and withdraw if pecuniary
3. Minutes of the meeting of 15 July 2019	(pages 1 - 6)	Chairperson	To approve
4. Matters arising from the Minutes, other than on the Agenda	-	Chairperson	To raise
<b><u>Governance</u></b>			
5. Update: Matters Arising/ Feedback from Fire Authority	verbal	Chairperson and Monitoring Officer/ Secretary	To consider and make any recommendations to the HFA

<b>Business</b>	<b>Page Number</b>	<b>Lead</b>	<b>Primary Action Requested</b>
<b><u>Audit</u></b>			
6. Internal Audit Report	(pages 7 - 9)	Internal Audit (TIAA)	To consider and make any recommendations to the HFA
7. Annual Audit Letter 2018-19	(pages 10 - 24)	External Audit (Mazars)	To consider and make any recommendations to the HFA
8. External Audit Progress report	(pages 25 - 32)	External Audit (Mazars)	To consider and make any recommendations to the HFA
<b><u>Performance, Risk and Programme Management</u></b>			
9. Performance and Risk Report (First Quarter 2019)	(pages 33 - 42)	Director of Service Improvement	To consider and make any recommendations to the HFA
10. Health & Safety Executive Report (First Quarter 2019)	(pages 43 - 53)	Director of Service Improvement	To consider and make any recommendations to the HFA
11. Operational Assurance Report (First Quarter 2019)	(pages 54 - 61)	Director of Service Improvement	To consider and make any recommendations to the HFA
12. Absence Management Report (First Quarter 2019)	(pages 62 - 66)	Director of People and Development	To consider and make any recommendations to the HFA
13. Management Accounts - Period ending 30 June 2019	(pages 67 - 69)	Head of Finance	To consider and make any recommendations to the HFA
14. Annual Update Report on the Declaration and Registration of Interests by Members	verbal	Monitoring Officer/Secretary	To consider and make any recommendations to the HFA
15. HMICFRS update	verbal	Head of Service Improvement	To consider and make any recommendations to the HFA
<b><u>Scrutiny Programme</u></b>			
16. Effectiveness of the Cost Recovery Model for Emergency Medical Response	(pages 70 - 75)	Director of Service Delivery	To consider and make any recommendations

Business	Page Number	Lead	Primary Action Requested
			to the HFA
17. Scrutiny Programme 2019/20	(pages 76 - 79)	Monitoring Officer/Secretary	To approve
18. Any Other Business	-	All Members	To raise

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**HUMBERSIDE FIRE AUTHORITY**

**GOVERNANCE, AUDIT AND SCRUTINY COMMITTEE**

**15 JULY 2019**

**PRESENT:** Independent Co-opted Members Mr M Allingham, Mr D Chapman (Chairperson), Mr J Doyle, Mrs P Jackson, Mr A Smith, Mrs M Thomlinson and Mr C Vertigans

Director of Service Delivery, Director of Service Delivery Support, Director of People and Development, Head of Finance, Head of Corporate Assurance, Monitoring Officer/Secretary, Committee Manager, Mr A McCulloch (Internal Audit - TIAA) and Mr G Barker (External Audit - Mazars) were also present.

The meeting was held at the Humberside Fire and Rescue Service Headquarters, Kingston upon Hull. Meeting commenced at 10.00 a.m.

*(The Chairperson welcomed Councillors Briggs and all others present.)*

**PROCEDURAL**

**16/19 APOLOGIES FOR ABSENCE** - There were no apologies for absence.

**17/19 DECLARATIONS OF INTEREST** - There were no declarations of interest.

**18/19 MINUTES - *Resolved*** - That the minutes of the meeting of the Committee held on 14 June 2019 be confirmed as a correct record.

**19/19 MATTERS ARISING FROM THE MINUTES, OTHER THAN ON THE AGENDA** - Members discussed the following matters arising from the minutes of the meeting held on 14 June 2019:

- Minute 4/19 - The outcomes of the mock phishing exercise conducted as part of the 2018/19 internal audit process would be reported as a green (confidential) paper to the Fire Authority.
- Minute 11/19 - The reporting of fraudulent activity to two nominated Members of the Committee would be discussed with the Executive Director of Corporate Services/Section 151 Officer. The Committee expressed that its understanding was that two Members nominated by the Committee would be informed at the point that an investigation began.

**GOVERNANCE**

**20/19 UPDATE: MATTERS ARISING/FEEDBACK FROM FIRE AUTHORITY** - The Monitoring Officer/Secretary provided a verbal update summarising the consideration given by the Authority at its meeting on 28 June 2019 to the draft minutes of the meeting of the Committee held on 14 June 2019 and also providing feedback on other items considered by the Fire Authority at its meeting of 28 June 2019.

***Resolved*** - That the report be received.

**AUDIT**

**21/19 EXTERNAL AUDIT REPORT** - Mr G Barker submitted the Audit Completion Report for the year ending 31 March 2019.

The Audit Completion Report was the first to have been completed by Mazars since it had been commissioned to undertake external audit for the Service. The Fire Authority was due to consider the Report at its meeting to be held on 29 July 2019. The audit activities undertaken during 2018/19 had resulted in anticipated 'unqualified' conclusions in relation to both the audit opinion and value for money. No local electors had exercised their right to raise queries or concerns with the external auditor in the time allotted prior to the Report's consideration by the Fire Authority. At the time of the meeting, auditors were awaiting assurance from the audit of the pension fund and had only recently received accounts amended to reflect national changes. However, no associated issues were anticipated.

Materiality had been defined in the planning stage of the audit and had been set at £1.385m using a benchmark of 2 percent of gross operating expenditure. The auditors' final assessment of materiality, based on final financial statements and qualitative factors, had been £1.372 using the same benchmark. The trivial threshold was the level under which individual errors would not be communicated to the Authority and had been set at £41,000 based on a benchmark of 3 percent of materiality.

At the planning stage of the auditing process, four significant risks had been identified for particular focus:

- management of override controls;
- revenue recognition;
- property, plant and equipment valuation, and
- defined benefit liability valuation.

Throughout the audit, pension funds had been a local and national issue. The Service and its employees contributed to two pension schemes: the Firefighters Pension Scheme and the Local Government Pension Scheme. The Firefighters Pension Scheme was not funded and ultimate responsibility for it remained with the Home Office. However, its high value remained a financial risk to the Authority and a key aspect of the audit process. The Local Government Pension Scheme was managed by East Riding of Yorkshire Council and its management and investment decisions were not undertaken by the Service or Authority. The recent judgements in the Lord Chancellor v McCloud case concerning age discrimination in relation to publically funded pensions had found that changes made to pension schemes had discriminated against a group of firefighters and a group of judges on the grounds of age. The Government had since been denied the right of appeal by the Supreme Court. This had resulted in the Service revising its actuarials and the changes had been accounted for in the Authority's financial statements. It was estimated that the Court's decision would result in a £25m liability but this would not affect the Authority's other accounts.

The Service's staff had been helpful and forthcoming throughout the audit process and the auditors had not need to resort to the use of any of their formal powers. Overall, Mazars considered that it had provided a challenging audit with good outcomes for the Authority.

A Member queried the section of the Report entitled, 'Summary of Misstatements', which contained the misstatements above the trivial threshold of £41,000 identified for adjustment during the audit. However, adjustments had been relatively insignificant and one such adjustment had been the result of uncertainty in the methods used to value the Authority's property. The Head of Finance clarified that the focus of a valuation exercise was on the cost of rebuilding any part of the Authority's estate and represented a technical point of accounting rather than the practical value of a given property. Additionally, some of the

Authority's properties had been developed in partnership with other local public sector organisations.

**Resolved -** (a) That the update be received, and

(b) that Mr G Barker be thanked for providing a comprehensive presentation of the Audit Completion Report.

**22/19 INTERNAL AUDIT PROGRESS UPDATE** - Mr A McCulloch (TIAA) submitted a report summarising the progress of TIAA's internal audit 2019/20.

The draft Internal Audit Plan 2019/20 had been approved by Humberside Fire Authority at its meeting of 15 March 2019 and dates had been agreed for audit activities. The first two audit activities, relating to fleet management and procurement, had been due to commence in July 2019. The fleet management audit had been deferred but the outcomes of the audit exercise pertaining to procurement would be reported to both the Committee and the Authority at their meetings due to be held in September 2019.

**Resolved -** That the update be received.

**23/19 AUDITED ANNUAL STATEMENT OF ACCOUNTS 2018/19** - The Head of Finance submitted a report in relation to the Annual Statement of Accounts for 2018/19.

The Committee had considered the unaudited Annual Statement of Accounts 2018/19 at its meeting of 14 June 2019 (Minute 9/19 refers). Since the Committee's previous meeting, Mazars, in consultation with the Authority's finance team, had substantially completed the audit of the Annual Statement of Accounts and the outturn position had remained a £162,000 underspend.

**Resolved -** (a) That the report be received, and

(b) that particular recognition be accorded to the Finance Manager for his diligent work in relation to the Annual Statement of Accounts 2018/19.

### **PERFORMANCE, RISK AND PROGRAMME MANAGEMENT**

**24/19 DRAFT ANNUAL PERFORMANCE REPORT 2018/19 (INCLUDING ABSENCE MANAGEMENT ANNUAL REPORT 2018/19)** - The Head of Corporate Assurance submitted a report summarising the Service's performance in 2018/19, including absence management.

The Report was due to be considered for approval by the Authority at its meeting due to be held on 29 July 2019. Overall, despite a national increase in the number of incidents requiring emergency fire and rescue response, the Service had continued to perform at a high standard according to key performance indicators. Accidents and instances of sickness absence had continued to decrease. The Service had recently appointed to the post of Head of Occupational Health and would seek to improve employees' wellbeing and further reduce sickness absence. In accordance with the Committee's recommendation, the final version of the Report would include a section relating to compliments and complaints.

A Member queried the targets set by the Authority in relation to response-times. While the Service had exceeded response-time targets, performance in 2018/19 had not been as good as in 2017/18. As well as monitoring performance in accordance with targets, the Service also monitored trends and did not seek to treat targets as a cause for complacency. The Committee also agreed that the Report should be updated to include rolling three-year comparators throughout.

A Member noted that the Equality and Inclusion Statement contained in the Report referenced some of the Service's work from 2017 and requested that the final version of the report include more up-to-date information on the progress made in the intervening time.

- Resolved -**
- (a) That the report be received;
  - (b) that the quality of the outcomes in relation to key performance indicators and the successful ongoing reduction of instances of sickness absence be commended;
  - (c) that the Report be updated to reflect the Service's progress in relation to equality and inclusion during 2018/19, and
  - (d) that the Report should be updated to include rolling three-year comparators throughout.

**25/19 ANNUAL STATEMENT OF ASSURANCE 2018/19** - The Head of Corporate Assurance submitted a report summarising the Annual Statement of Assurance 2018/19.

The Fire and Rescue National Framework for England (Revised 2018) set out the requirement for all fire and rescue authorities to provide annual assurance based on the Department for Communities and Local Government Guidance on Statements of Assurance for Fire and Rescue Authorities in England (2013). The Statement was published annually on the Service's website and demonstrated that the Service had abided by the Framework.

**Resolved -** that the report be received.

**26/19 HMICFRS INSPECTION UPDATE** - The Head of Corporate Assurance provided the Committee with a verbal update in relation to the recently published report of Her Majesty's Inspectorate of Constabulary and Fire and Rescue Service's (HMICFRS) inspection of Humberside Fire and Rescue Service.

A Member Day had been held on 5 July 2019 to brief Members on the contents of the report. HMICFRS had made 17 recommendations for improvement and, together with another 16 identified by the Service itself, they had been incorporated into an improvement plan. The Director of Service Improvement and the Head of Corporate Assurance would meet with each of the Service's directors to refine the draft plan before presenting it as a standing item for both the Committee and the Authority from September 2019. The improvement plan would be subjected to a three-week consultation with the Service's staff and would also take account of staff members' views on how prepared they felt for the inspection.

- Resolved -**
- (a) That the update be received, and
  - (b) that the Committee support the Service's improvement plan through its Scrutiny Work Programme.

**27/19 GAS COMMITTEE SCRUTINY PROGRAMME 2019/20** - The Committee Manager submitted a report summarising the Committee's Scrutiny Programme for 2019/20.

The Programme contained the scopes for four items planned for 2019/20:

<b>GAS Committee Scrutiny Programme 2019/20</b>		
<b>Meeting Date</b>	<b>Responsible Officer</b>	<b>Item and Scope</b>
16 September 2019	<b>Paul McCourt</b>	<p><b>Effectiveness of the Cost Recovery Model for Emergency Medical Response.</b></p> <ul style="list-style-type: none"> <li>• How has EMR developed since its inception?</li> <li>• How can the Committee be assured that EMR is a successful venture?</li> <li>• How effective has the Cost Recovery Model been?</li> <li>• What are the benefits of EMR (in relation both to residents of Humberside and HFRS itself)?</li> <li>• What challenges does EMR face in the future?</li> </ul>
11 November 2019	<b>Miriam Heppell</b>	<p><b>Training, Promotion and Development for Operational and Non-Operational Staff.</b></p> <ul style="list-style-type: none"> <li>• What are processes are currently in place in relation to training, promotion and development for operational and non-operational staff?</li> <li>• Is provision for operational and non-operational staff equitable?</li> <li>• How does the Service intend to address HMICFRS' comments regarding difficulty in accessing training and development for non-operational staff?</li> <li>• How will the Service ensure that its development and promotion processes for operational staff are equitable and consistent?</li> </ul>
21 February 2019	<b>Steve Topham</b>	<p><b>Business Safety Risk-Based Inspection Programme.</b></p> <ul style="list-style-type: none"> <li>• The most recent HMICFRS inspection report states: "While the service responds to consultations, building regulation requests and complaints, it doesn't target its protection work on its greatest risks. The service can't carry out its risk-based inspection programme to the expectations set out in its IRMP because it doesn't have enough qualified staff."</li> <li>• How does the Service intend to improve its Risk-Based Inspection Programme?</li> <li>• There remain concerns around the impact of false alarms on</li> </ul>

		<p><i>service delivery; how can this be addressed?</i></p> <ul style="list-style-type: none"> <li>• <i>How will the Service ensure that it has the capacity and skills to deliver the Programme?</i></li> </ul>
6 April 2019	<b>Steve Topham</b>	<p><b><i>Effectiveness of the Risk-Based Targeting Strategy.</i></b></p> <ul style="list-style-type: none"> <li>• <i>How is public protection activity targeted according to risk and intelligence?</i></li> <li>• <i>What systems does the Service use to undertake its risk-based targeting activities?</i></li> <li>• <i>How does the Service gather the intelligence necessary to target intervention effectively?</i></li> <li>• <i>How does the Service respond to referrals for intervention that would not necessarily result in action according to the Risk-Based Targeting Strategy?</i></li> </ul>

Members considered the Programme and agreed to update the scopes as follows:

- **Effectiveness of the Cost Recovery Model for Emergency Medical Response** - to include comparisons to other fire and rescue services' Emergency Medical Response models and to include feedback from Yorkshire Ambulance Service.
- **Training, Promotion and Development for Operational and Non-Operational Staff** - to include feedback in accordance with the Committee's previous scrutiny of the Control Room as part of the item, 'Review of Business Continuity - Agreed Management Actions' (Minute 5840 refers) and to clarify what the Service did to develop leaders.

**Resolved** - (a) That the Scrutiny Work Programme be approved subject to the amendments above, and

(b) that progress in relation to the Committee's recommendations be reviewed biannually.

#### **28/19 ANY OTHER BUSINESS -**

**EAST COAST CONSORTIUM** - The Director of Service Delivery Support informed the Committee that work towards joining the Consortium was ongoing and, while particular date was not yet certain, it was anticipated that the Service would join by the end of 2019.

**EMERGENCY FLEET WORKSHOP** - Two Members had visited the Emergency Fleet Workshop which was operated in partnership with Humberside Police. The visit had been informative and Members had been reassured in relation to previous concerns around organisational culture.

**RESCUE DAY** - The annual Rescue Day had been held on 13 July 2019 and all of the emergency services present had acquitted themselves well and the quality of the partnerships between them had been clear for members of the public to see.

*Meeting closed at 11.15am.*

## **Humberside Fire and Rescue Service**

### **Audit Progress Report**

Governance, Audit & Scrutiny (GAS) Committee:  
16th September 2019

**2019/20**

**September 2019**

## Introduction

1. This summary report provides the Governance, Audit & Scrutiny (GAS) Committee with an update on the progress of our work at Humberside Fire and Rescue Service as at 2<sup>nd</sup> September 2019.

## Progress against the 19/20 Annual Plan

2. Our progress against the Annual Plan for 2019-20 is set out in Appendix A.

## Audits Completed since the last report to Committee

3. The table below sets out details of audits finalised since the previous meeting of the GAS Committee.

Review	Evaluation	Key Dates			Number of Recommendations			
		Draft issued	Responses Received	Final issued	1	2	3	OE
Procurement	Reasonable	24/07/19	12/08/19	14/08/19	0	3	5	1

## Emerging Governance, Risk and Internal Control Related Issues

4. We have identified no emerging risks which could impact on the overall effectiveness of the governance, risk and internal control framework of the organisation.

## Changes to the Annual Plan 19/20

5. There are no changes proposed to the Annual Plan at this time.

## Frauds/Irregularities

6. We have not been advised of any frauds or irregularities in the period since the last meeting of the GAS Committee.

## Responsibility/Disclaimer

7. This report has been prepared solely for management's use and must not be recited or referred to in whole or in part to third parties without our prior written consent. The matters raised in this report not necessarily a comprehensive statement of all the weaknesses that exist or all the improvements that might be made. No responsibility to any third party is accepted as the report has not been prepared, and is not intended, for any other purpose. TIAA neither owes nor accepts any duty of care to any other party who may receive this report and specifically disclaims any liability for loss, damage or expense of whatsoever nature, which is caused by their reliance on our report.

## Progress against the Annual Plan for 2019/20

System	Planned Quarter	Days	Current Status	Comments
Fleet Management Usage	1	6	Site work being undertaken	Originally booked for 1 <sup>st</sup> July; cancelled by HFRS due to staff unavailability.
Disaster Recovery	2	4	To be arranged	
Procurement	2	6	Completed	Final report to GAS September 2019
Business Planning	2	4	Proposed start 31/10/19	
Performance Management	3	4	Proposed start 13/12/19	
Workforce Planning	3	6	To be arranged	
Business Safety	3	6	To be arranged	
Risk Management Framework	4	4	To be arranged	
Key Financial Controls	4	9	To be arranged	
Follow Up	4	3	To be arranged	

**KEY:**

	=	To be commenced
	=	Site work commenced
	=	Draft report issued
	=	Final report issued



# Annual Audit Letter

Agenda Item No. **7**

Humberstone Fire Authority

Year ending 31 March 2019





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1. Executive summary
2. Audit of the financial statements
3. Value for Money conclusion
4. Other reporting responsibilities
5. Our fees
6. Forward look

Our reports are prepared in the context of the 'Statement of responsibilities of auditors and audited bodies' issued by Public Sector Audit Appointments Ltd. Reports and letters prepared by appointed auditors and addressed to members or officers are prepared for the sole use of the Authority and we take no responsibility to any member or officer in their individual capacity or to any third party.

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# 1. EXECUTIVE SUMMARY

## Purpose of the Annual Audit Letter

Our Annual Audit Letter summarises the work we have undertaken as the auditor for Humberside Fire Authority for the year ended 31 March 2019. Although this letter is addressed to the Authority, it is designed to be read by a wider audience including members of the public and other external stakeholders.

Our responsibilities are defined by the Local Audit and Accountability Act 2014 (the 2014 Act) and the Code of Audit Practice issued by the National Audit Office (the NAO). The detailed sections of this letter provide details on those responsibilities, the work we have done to discharge them, and the key findings arising from our work. These are summarised below.

Area of responsibility	Summary
Audit of the financial statements	<p>Our auditor's report issued on 29 July 2019 included our opinion that the financial statements:</p> <ul style="list-style-type: none"><li>• give a true and fair view of the Authority's financial position as at 31 March 2019 and of its expenditure and income for the year then ended; and</li><li>• have been prepared properly in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2018/19.</li></ul>
Other information published alongside the audited financial statements	<p>Our auditor's report issued on 29 July 2019 included our opinion that:</p> <ul style="list-style-type: none"><li>• The other information in the Statement of Accounts is consistent with the audited financial statements.</li></ul>
Value for Money conclusion	<p>Our auditor's report concluded that we are satisfied that in all significant respects, the Authority has put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ended 31 March 2019.</p>
Reporting to the group auditor	<p>In line with group audit instructions issued by the NAO, on 29 July 2019 we reported that your activity was below the threshold set by the NAO, meaning we were not required to review the Whole of Government Accounts return.</p>
Statutory reporting	<p>Our auditor's report confirmed that we did not use our powers under s24 of the 2014 Act to issue a report in the public interest or to make written recommendations to the Authority.</p>

## 2. AUDIT OF THE FINANCIAL STATEMENTS

Opinion on the financial statements

Unqualified

### The scope of our audit and the results of our work

The purpose of our audit is to provide reasonable assurance to users that the financial statements are free from material error. We do this by expressing an opinion on whether the statements are prepared, in all material respects, in line with the financial reporting framework applicable to the Authority and whether they give a true and fair view of the Authority's financial position as at 31 March 2019 and of its financial performance for the year then ended.

Our audit was conducted in accordance with the requirements of the Code of Audit Practice issued by the NAO, and International Standards on Auditing (ISAs). These require us to consider whether:

- the accounting policies are appropriate to the Authority's circumstances and have been consistently applied and adequately disclosed;
- the significant accounting estimates made by management in the preparation of the financial statements are reasonable; and
- the overall presentation of the financial statements provides a true and fair view.

Our auditor's report, issued to the Authority on 29 July 2019, stated that, in our view, the financial statements give a true and fair view of the Authority's financial position as at 31 March 2019 and of its financial performance for the year then ended.

### Our approach to materiality

We apply the concept of materiality when planning and performing our audit, and when evaluating the effect of misstatements identified as part of our work. We consider the concept of materiality at numerous stages throughout the audit process, in particular when determining the nature, timing and extent of our audit procedures, and when evaluating the effect of uncorrected misstatements. An item is considered material if its misstatement or omission could reasonably be expected to influence the economic decisions of users of the financial statements.

Judgements about materiality are made in the light of surrounding circumstances and are affected by both qualitative and quantitative factors. As a result we have set materiality for the financial statements as a whole (financial statement materiality) and a lower level of materiality for specific items of account (specific materiality) due to the nature of these items or because they attract public interest. We also set a threshold for reporting identified misstatements to the Authority. We call this our trivial threshold.

The table below provides details of the materiality levels applied in the audit of the financial statements for the year ended 31 March 2019:

Financial statement materiality	Our financial statement materiality is based on 2% of Gross Revenue Expenditure at Surplus/deficit on Provision of Services level	£1,372,000
Trivial threshold	Our trivial threshold is based on 3% of financial statement materiality.	£41,000
Specific materiality	We applied a lower level of materiality to the following areas of the accounts: <ul style="list-style-type: none"><li>• Members allowances</li><li>• Senior Officer Remuneration</li></ul>	£1,000 £5,000

1. Executive summary

2. Audit of the financial statements

3. Value for Money conclusion

4. Other reporting responsibilities

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## 2. AUDIT OF THE FINANCIAL STATEMENTS (CONTINUED)

### Our response to significant risks

As part of our continuous planning procedures we considered whether there were risks of material misstatement in the Authority's financial statements that required special audit consideration. We reported significant risks identified at the planning stage to the Governance, Audit and Scrutiny Committee and the Full Authority within the Audit Strategy Memorandum and provided details of how we responded to those risks in our Audit Completion Report. The table below outlines the identified significant risks, the work we carried out on those risks and our conclusions.

Identified significant risk	Our response	Our findings and conclusions
<p><b>Management override of controls</b></p> <p>In all entities, management at various levels within an organisation are in a unique position to perpetrate fraud because of their ability to manipulate accounting records and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. Due to the unpredictable way in which such override could occur, we consider there to be a risk of material misstatement due to fraud and thus a significant risk on all audits.</p>	<p><b>How we addressed this risk</b></p> <p>We addressed this risk through performing audit work over:</p> <ul style="list-style-type: none"> <li>Accounting estimates impacting on amounts included in the financial statements;</li> <li>Consideration of identified significant transactions outside the normal course of business; and</li> <li>Journals recorded in the general ledger and other adjustments made in preparation of the financial statements.</li> </ul>	<p>Our audit work has provided the assurance we sought and has not identified any material issues to bring to your attention. There is no indication of management override of controls.</p>
<p><b>Revenue Recognition</b></p> <p>In accordance with ISA 240 we presume there is a risk of fraud in respect of the recognition of revenue because of the potential for inappropriate recording of transactions in the wrong period. ISA 240 allows the presumption to be rebutted but, given the Authority's range of revenue sources and their volatility we have concluded that there are insufficient grounds for rebuttal in 2018/19. This does not imply that we suspect actual or intended manipulation but that we continue to deliver our audit work with appropriate professional scepticism.</p>	<p><b>We addressed this risk by performing work in the following areas:</b></p> <p>We addressed this risk by evaluating the design and implementation of controls to mitigate the risk of income being recognised in the wrong period. In addition, we undertook a range of substantive procedures including:</p> <ul style="list-style-type: none"> <li>testing receipts in March, April and May 2019 to ensure they have been recognised in the right year;</li> <li>testing any material reductions in income categories against budget and the previous year; and</li> <li>testing adjustment journals as above for management override with particular focus on journals moving revenue between years.</li> </ul>	<p>Our audit work has provided the assurance we sought and has not identified any material issues to bring to your attention. There is no indication of revenue being recognised in the wrong year.</p>

## 2. AUDIT OF THE FINANCIAL STATEMENTS (CONTINUED)

Identified significant risk	Our response	Our findings and conclusions
<p><b>Property, Plant and Equipment Valuation</b></p> <p>The financial statements contain material entries on the Balance Sheet as well as material disclosure notes in relation to the Authority's holding of PPE. Although the Authority uses a valuation expert to provide information on valuations, there remains a high degree of estimation uncertainty associated with the revaluation of PPE due to the significant judgements and number of variables involved in providing revaluations. In 2017/18 there was a downward revaluation of £27m primarily due to different assumptions made by the new valuer. We therefore identified the valuation of PPE to be an area of significant risk.</p>	<p><b>We addressed this risk by performing work in the following areas:</b></p> <p>We addressed this risk by considering the Authority's arrangements for ensuring that PPE values are reasonable and engaged our own expert to provide data to enable us to assess the reasonableness of the valuations provided by the external valuer. We also assessed the competence, skills and experience of the valuer.</p> <p>We discussed methods used with the valuer and examined test valuations. We used indices provided by our own expert to confirm the assets not revalued are unlikely to have materially changed in value. We tested all revaluations in year to valuation reports and supporting calculation sheets and ensured the calculations were correct and source data agreed with floor plans.</p>	<p>Our audit work has provided the assurance we sought and have not identified any material issues to bring to your attention. An immaterial error by the valuer was identified and is disclosed as an unadjusted error in our completion report.</p>
<p><b>Defined benefit liability valuation</b></p> <p>The financial statements contain material pension entries in respect of retirement benefits. The calculation of these pension figures, both assets and liabilities, can be subject to significant volatility and includes estimates based upon a complex interaction of actuarial assumptions. This results in an increased risk of material misstatement.</p>	<p><b>We addressed this risk by performing work in the following areas:</b></p> <p>We discussed with key contacts any significant changes to the pension estimates. In addition to our standard programme of work in this area, we evaluated the management controls you have in place to assess the reasonableness of the figures provided by the Actuary and considered the reasonableness of the Actuary's output, referring to an expert's report on all actuaries nationally.</p> <p>We reviewed the appropriateness of the key assumptions included within the valuations, compared them to expected ranges and reviewed the methodology applied in the valuation. We also considered the adequacy of disclosures in the financial statements.</p>	<p>Our work has provided the assurance sought. A material error relating to the impact of the McCloud legal case on pension liabilities is a national issue and the Authority has adjusted the accounts. This and other errors arising from national issues in respect of pensions are described in our completion report.</p>

# 2. AUDIT OF THE FINANCIAL STATEMENTS (CONTINUED)

## Internal control recommendations

As part of our audit we considered the internal controls in place that are relevant to the preparation of the financial statements. We did this to design audit procedures that allow us to express our opinion on the financial statements, but this did not extend to us expressing an opinion on the effectiveness of internal controls. We identified the following deficiencies in internal control as part of our audit.

<b>Description of deficiency</b>	The Authority sent out annual positive declarations to those charged with governance to identify whether there were any relevant related party transactions that required disclosure in the financial statements, but one member did not return the relevant form and has now left the Authority.
<b>Potential effects</b>	There is a risk that relevant related party transactions that should be disclosed in the financial statements have not been identified and disclosed.
<b>Recommendation</b>	The Authority should work with principal authorities to ensure that all members return these declarations within two months of financial year-end.
<b>Management response</b>	Fire Authority Members receive a number of reminders to complete the related party disclosure and the Fire Authority endeavours to achieve a 100% return from all Members that have served on the Fire Authority during the year. The Fire Authority will continue to issue reminders to Members to complete the declarations when requested.

### 3. VALUE FOR MONEY CONCLUSION

Value for Money conclusion

Unqualified

#### Our approach to Value for Money

We are required to consider whether the Authority has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources. The NAO issues guidance to auditors that underpins the work we are required to carry out in order to form our conclusion, and sets out the criterion and sub-criteria that we are required to consider.

The overall criterion is that, *'in all significant respects, the Authority had proper arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people.'* To assist auditors in reaching a conclusion on this overall criterion, the following sub-criteria are set out by the NAO:

- Informed decision making
- Sustainable resource deployment
- Working with partners and other third parties

Our auditor's report, issued to the Authority on 29 July 2019, stated that that, in all significant respects, the Authority put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ended 31<sup>st</sup> March 2019.

Sub-criteria	Commentary	Arrangements in place?
Informed decision making	<p>We reviewed financial, performance and risk management reports throughout the year and attended meetings of the Governance, Audit and Scrutiny Committee. We did not identify any concerns regarding data quality or the decision-making process.</p> <p>We considered the following aspects of proper arrangements specified by the National Audit Office as part of our risk assessment, and, based on our risk-based approach, we did not identify any significant issues or exceptions in the Authority's arrangements:</p> <p>a) Acting in the public interest, through demonstrating and applying the principles and values of sound governance;</p> <p>b) Understanding and using appropriate and reliable financial and performance information to support informed decision making and performance management;</p> <p>c) Reliable and timely financial reporting that supports the delivery of strategic priorities; and</p> <p>d) Managing risks effectively and maintaining a sound system of internal control.</p>	Yes

### 3. VALUE FOR MONEY CONCLUSION (CONTINUED)

Sub-criteria	Commentary	Arrangements in place?
Sustainable resource deployment	<p>Financial and performance reports demonstrate a history of achieving cost reductions without adversely affecting services to date and a balanced medium term financial strategy is in place up to 2022/23 with identified savings of £1.2m and general reserves of c£5m maintained.</p> <p>We considered the following aspects of proper arrangements specified by the National Audit Office as part of our risk assessment, and, based on our risk-based approach, we did not identify any significant issues or exceptions in the Authority's arrangements:</p> <ul style="list-style-type: none"> <li>a) Planning finances effectively to support the sustainable delivery of strategic priorities and maintain statutory functions;</li> <li>b) Managing and utilising assets effectively to support the delivery of strategic priorities; and</li> <li>c) Planning, organising and developing the workforce effectively to deliver strategic priorities.</li> </ul>	Yes
Working with partners and other third parties	<p>The joint Emergency Service Fleet Management workshop and Estates Department with Humberside Police illustrate the Authority's commitment to increase collaboration and build on long-established partnership arrangements to improve community safety.</p> <p>We considered the following aspects of proper arrangements specified by the National Audit Office as part of our risk assessment, and, based on our risk-based approach, we did not identify any significant issues or exceptions in the Authority's arrangements:</p> <ul style="list-style-type: none"> <li>a) Working with third parties effectively to deliver strategic priorities;</li> <li>b) Commissioning services effectively to support the delivery of strategic priorities; and</li> <li>c) Procuring supplies and services effectively to support the delivery of strategic priorities.</li> </ul>	Yes



# 3. VALUE FOR MONEY CONCLUSION (CONTINUED)

## Significant Value for Money risks

The NAO's guidance requires us to carry out work to identify whether or not a risk to the Value for Money conclusion exists. Risk, in the context of our Value for Money work, is the risk that we come to an incorrect conclusion rather than the risk of the arrangements in place at the Council being inadequate. In our Audit Completion Report, we reported that we had not identified any significant Value for Money risks.



## 4. OTHER REPORTING RESPONSIBILITIES

Exercise of statutory reporting powers	No matters to report
Completion of group audit reporting requirements	Below testing threshold
Other information published alongside the audited financial statements	Consistent

The NAO's Code of Audit Practice and the 2014 Act place wider reporting responsibilities on us, as the Authority's external auditor. We set out below, the context of these reporting responsibilities and our findings for each.

### Matters on which we report by exception

The 2014 Act provides us with specific powers where matters come to our attention that, in our judgement, require reporting action to be taken. We have the power to:

- Issue a report in the public interest;
- Make a referral to the Secretary of State where we believe that a decision has led to, or would lead to, unlawful expenditure, or an action has been, or would be unlawful and likely to cause a loss or deficiency; and
- Make written recommendations to the Authority which must be responded to publicly.

We have not exercised any of these statutory reporting powers.

### Reporting to the NAO in respect of Whole of Government Accounts consolidation data

The NAO, as group auditor, requires us to complete the WGA Assurance Statement in respect of its consolidation data. We submitted this information to the NAO on 29 July 2019.

### Other information published alongside the financial statements

The Code of Audit Practice requires us to consider whether information published alongside the financial statements is consistent with those statements and our knowledge and understanding of the Authority. In our opinion, the other information in the Statement of Accounts is consistent with the audited financial statements.

# 5. OUR FEES

## Fees for work as the Authority's auditor

We reported our proposed fees for the delivery of our work in the Audit Strategy Memorandum, presented to the Governance, Audit and Scrutiny Committee in January 2019 and the Full Authority in February 2019.

We have completed our work for the 2018/19 financial year, but at the time of producing this report, we have not yet finalised our audit fees for the year. If the final fee varies from that in the table below, we will write to the Chief Financial Officer setting out the proposed variation and any reasons for the variation, and seeking agreement to it. Any variations to the final fee will also require the approval of Public Sector Audit Appointments Limited, which manages the contracts for our work.

Area of work	2018/19 proposed fee £	2018/19 final fee £ ***
Delivery of audit work under the NAO Code of Audit Practice	24,561	24,561

\*\*\* Please note that at the time of producing this report, the audit fee has not yet been finalised.

## Fees for other work

We confirm that we have not undertaken any non-audit services for the Authority in the year.

## 6. FORWARD LOOK

### Financial outlook

The Authority's external funding for 2019/20 is 40% (£11.5M) lower than it was in 2011/12. The Authority has done well to maintain services over this period whilst keeping within budget every year and it has set a balanced medium term financial plan up to 2023/23, including identified savings of £1.2M.

In the Value for Money Conclusion section of this letter we indicated that the greatest financial challenge may lie further ahead because the Government is reviewing the approach it will take to funding fire and rescue from 2020/21, but has indicated that it will not release the results of the review until late 2019. The Authority currently receives £7.9M of funding in revenue support grant, which the Government has indicated it wishes to phase out as part of the review and although it is expected much of this will be compensated through other funding the Authority's reliance on grant funding increases the risk of a further reduction in overall resources following the review.

In addition to the reduction in government funding the Authority has several other financial pressures including:

- a risk that actual pay awards for firefighters exceed the provision included in the base budgets as although there has been recent progress, settlement has not yet been reached;
- rising employer contributions to the pension schemes with uncertainty as to the extent to which the Government will fund the increased costs; and
- the continuation of a cap on the percentage to which fire authorities can increase council tax without a costly referendum.

The Authority has modelled alternative scenarios for different combinations of funding reductions and cost pressures and in the worst case scenario would need to deliver an additional £5M of savings. The Authority has prudently set aside reserves to cover this scenario in the medium term. However, a permanent solution would be required after 2022/23.

### Operational challenges

The Authority has recently been inspected by HMICFRS. The inspection report was published on 20 June 2019 and the ratings were:

- Effectiveness – Good;
- Efficiency – Good; and
- People – Requires Improvement.

Each of these ratings is equal to or better than at least half of the other fire and rescue services assessed in tranche 2. The Authority has developed an action plan, focusing its response on the aspects of the inspection requiring improvement. However, it will be challenging to deliver this action plan in the context of the diminishing financial resources referred to above.

### Legislative / environmental changes

The Police and Crime Act (2017) establishes a new duty on fire authorities to collaborate with other emergency services and the Authority is planning to give the Police and Crime Commissioner voting rights on the Fire Authority in 2019/20.

### How we will work with the Authority

We are grateful to the Authority, its Members and officers for the cooperation and open dialogue during the year and look forward to continuing to work closely with them in delivering our Code of Audit Practice responsibilities.

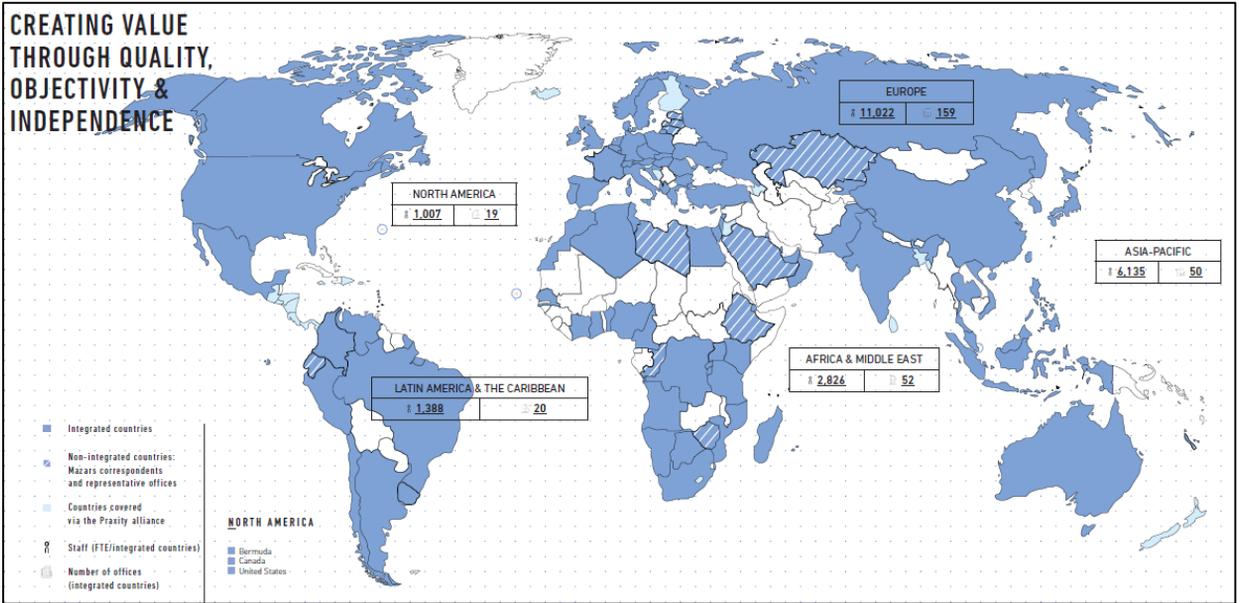
We are also keen to help the Authority face its many challenges through the delivery of added value work. The Engagement Manager is a former National and Regional Fire Service Lead with the Audit Commission and has substantial experience of added value work in the fire and rescue sector. We would be happy to discuss the potential for added value work as the scale of the financial challenge referred to above becomes clearer.

# MAZARS AT A GLANCE

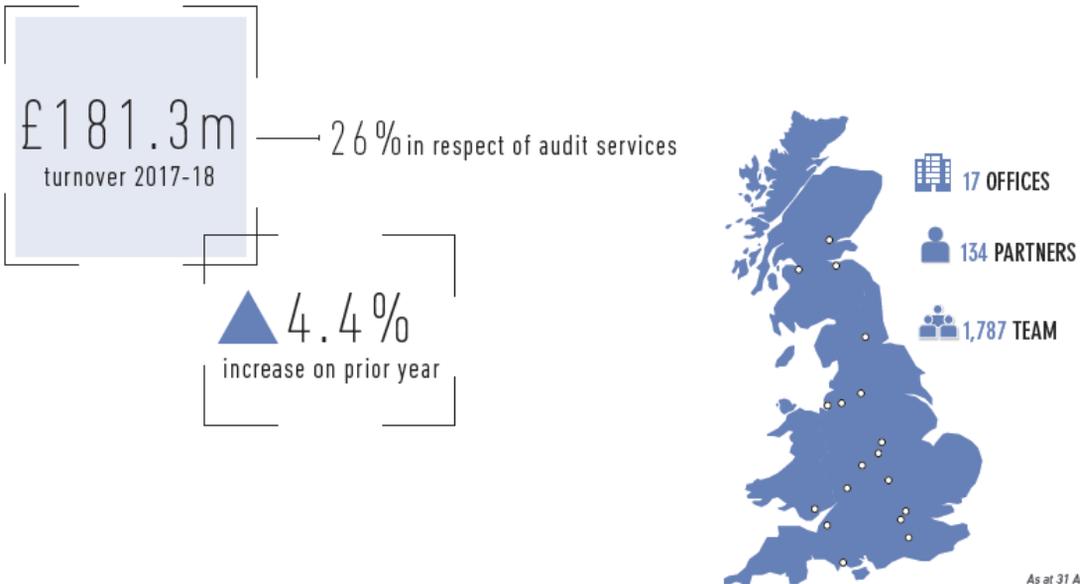
## Mazars LLP

- Fee income €1.6 billion
- Over 86 countries and territories
- Over 300 locations
- Over 20,000 professionals
- International and integrated partnership with global methodologies, strategy and global brand

## Mazars Internationally



## Mazars in the UK



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# Audit Progress Report

## Humberstone Fire Authority

September 2019





## CONTENTS

1. Audit progress
2. National publications
3. Contact details

This document is to be regarded as confidential to Humberside Fire Authority. It has been prepared for the sole use of the Governance and Audit Scrutiny Committee. No responsibility is accepted to any other person in respect of the whole or part of its contents. Our written consent must first be obtained before this document, or any part of it, is disclosed to a third party.

# 1. AUDIT PROGRESS

## Audit progress

This report sets out progress on the external audit.

### 2018/19 Audit

At the Governance and Audit Scrutiny meeting on 15 July 2019 we presented our audit completion report, which indicated that the audit was substantially complete and confirmed that we were on track to complete the audit by 31 July, in line with the statutory timetable.

On 29 July 2019 we issued an:

- unqualified opinion on the Authority's financial statements; and
- unqualified value for money conclusion.

We have discussed our annual audit letter with senior management and will be presenting it as a separate agenda item to this meeting. This marks the formal conclusion of our 2018/19 audit and summarises our work and findings as well as outlining future challenges.

### 2019/20 Audit

We have already commenced our planning work in relation to the 2019/20 audit. This will begin to shape our Audit Strategy Memorandum for the 2019/20 audit, which we intend to present to the January 2020 meeting of this committee.

## 2. NATIONAL PUBLICATIONS AND OTHER UPDATES

	Publication
1	The Guide To Local Government Finance, April 2019, CIPFA, April 2019
2	Framework To Review Programmes, NAO, April 2019
3	National Co-ordination and Advisory Framework for the Fire Service in England, Home Office, April 2019
4	Progress Delivering the Emergency Services Network, NAO, May 2019
5	Local Government Governance and Accountability, Public Accounts Committee, May 2019
6	Fire and Rescue Incident Statistics – England, Year-Ending December 2018, Home Office, May 2019
7	The Regulatory Reform (Fire Safety) Order 2005: Call for Evidence, Home Office, June 2019
8	Fire and Rescue Service Inspections 2018/19 – A Summary of Findings From Tranche 2 , HMICFRS, June 2019
9	Rethinking Social Value: Unlocking Resources to Improve Lives, Mazars, June 2019

### 1. The Guide To Local Government Finance, CIPFA, April 2019

This guide covers the current arrangements and provides insights into possible future changes at a time when political uncertainty makes future developments difficult to foresee.

Covering both revenue and capital financing, this guide provides the reader with an introduction to the technical complexities of funding each type of expenditure.

The publication is presented in dedicated service areas that have their own funding streams and financial complexities. For those requiring more of an introduction to local government finance, CIPFA also produces an Introductory Guide to Local Government Finance that summarises the key information in a way that is aimed at non-finance specialists and those new to the sector.

<https://www.cipfa.org/policy-and-guidance/publications/t/the-guide-to-local-government-finance-2019>

### 2. Framework To Review Programmes, NAO, April 2019

Major programmes are expensive, high profile and carry great uncertainties and risks. It is not surprising that many fall short of their objectives, in terms of cost and/or outcomes.

The NAO has completed about 140 reports on major projects and programmes since 2010. Based on this experience, this framework draws together the key questions the NAO ask when they review major programmes. It was developed for NAO value-for-money auditors to use when reviewing programmes, but may be useful for those seeking an overview of the NAO work on projects and programmes.

The questions are structured into four sections:

- Purpose: Is there a strategic need for the programme and is this the right programme to meet the business need?
- Value: Does the programme provide value for money?
- Programme set-up: Is the programme set up in accordance with good practice and are risks being well managed?
- Delivery and variation management: Are mechanisms in place to deliver the intended outcomes and respond to change, and is the programme progressing according to plan?

There are 18 key questions, each illustrated with examples of good practice and lessons learnt from previous NAO reports. The Framework also outlines the NAO's related resources that provide further support for examining issues in more depth.

<https://www.nao.org.uk/report/framework-to-review-programmes/>

## 2. NATIONAL PUBLICATIONS CONTINUED

### 3. National Co-ordination and Advisory Framework for the Fire Service in England, Home Office, April 2019

This guidance has been developed jointly between the National Fire Chiefs Council (NFCC) and the Home Office (HO) to provide advice and guidance to fire and rescue services in order to deliver the effective coordination of resources before, during and after major incidents. Furthermore, it sets out the critical situational awareness reporting arrangements which will facilitate central government's decision making that is designed to protect and reassure local communities during emergencies.

The Framework has been designed to provide robust and flexible response arrangements to major emergencies that can be adapted to the nature, scale and requirements of the incident. The Fire & Rescue Service National Framework 2018 requires Fire and rescue authorities (FRAs) to proactively engage with and support these arrangements including the lead operational role of the NFCC.

<https://www.gov.uk/government/publications/national-coordination-and-advisory-framework-for-england>

### 4. Progress Delivering the Emergency Services Network, NAO, May 2019

The Emergency Services Network (ESN) is the Government's chosen option to replace the Airwave system, which 107 police, fire and ambulance services in England, Scotland and Wales (the emergency services) use for communications between control rooms and the field. It is intended to save money by sharing an existing commercial 4G network, unlike Airwave, which is fully dedicated to its users. ESN should also allow better use of mobile data than Airwave.

The Home Office previously expected that emergency services would start using ESN in September 2017, allowing Airwave to be replaced in December 2019. The NAO reported on ESN in September 2016 and concluded that the Home Office was underrating the risks to delivering ESN successfully. By 2017, the Home Office realised that its plan for delivering ESN was not achievable.

In September 2018, the Home Office announced a 'reset' of its approach, based on a phased introduction of ESN services, rather than launching the whole programme at once. This involved revising the whole programme, for example to extend timetables and renegotiate contracts. This report examines what the 2018 reset means for the ESN programme and the extent to which the reset has addressed the programme's most significant risks.

<https://www.nao.org.uk/report/progress-delivering-the-emergency-services-network/>

### 5. Local Government Governance and Accountability, Public Accounts Committee, May 2019

The Public Accounts Committee (PAC) concluded that the Ministry of Housing, Communities and Local Government (MHCLG) 'has been reactive and ill-informed in its approach to oversight of the local governance system'. The report recommends that MHCLG write to the PAC within 6 months setting out:

- its overall plan for improving its oversight;
- its progress in working more effectively with other government departments to understand overall pressures on service sustainability;
- its objectives for the promised local governance panel and the means by which the panel's effectiveness will be assessed;
- progress in setting up the new panel, including its work programme, and
- the concrete actions the panel will take; the timetable and intended outcomes the panel will be working towards.

The report also makes recommendations designed to identify why some authorities are dissatisfied with their external auditors, identifying authorities at risk of financial failure and the need for greater transparency over engagement on governance issues with individual authorities.

<https://publications.parliament.uk/pa/cm201719/cmselect/cmpubacc/2077/207702.htm>

## 2. NATIONAL PUBLICATIONS CONTINUED

### 6. Fire and Rescue Incident Statistics – England, Year-Ending December 2018, Home Office, May 2019

This release contains statistics about incidents attended by fire and rescue services (FRSs) in England for the year ending December 2018. The statistics are sourced from the Home Office's online Incident Recording System (IRS) and include statistics on all incidents, fire-related fatalities and casualties from fires.

The report finds that nationally there was a five per cent increase in fires compared with the previous year, which was driven by an 11 per cent increase in secondary fires resulting from the hot, dry summer of 2018. The number of primary fires fell slightly as did the number of fatalities after excluding those arising from the Grenfell Tower fire.

<https://www.gov.uk/government/statistics/fire-and-rescue-incident-statistics-england-year-ending-december-2018>

### 7. The Regulatory Reform (Fire Safety) Order 2005: Call for Evidence, Home Office, June 2019

The government has launched a public consultation, *Building a Safer Future: Proposals for reform in the building safety regulatory system*. This takes forward the recommendations of the Independent Review of Building Regulations and Fire Safety, led by Dame Judith Hackitt following the Grenfell Tower Tragedy. The consultation seeks views on proposals for a radically new building and fire safety system, covering all multi-occupied residential buildings of 18 metres or higher.

The Regulatory Reform (Fire Safety) Order 2005 – the Fire Safety Order – is the cornerstone of general fire safety legislation and extends to England and Wales, regulating fire safety in a wide spectrum of non-domestic premises, including workplaces and the parts used in common in multi-occupied residential buildings. The application of the Fire Safety Order, particularly in relation to the parts used in common in high rise multi-occupied residential buildings, was considered by Dame Judith Hackitt during her Review.

This Call for Evidence, which complements and is being published alongside the *Building a Safer Future* consultation, is the first step in a process to ensure that the Fire Safety Order continues to be fit for purpose as part of the Government's consideration of the wider building safety landscape. It only considers the application of the Fire Safety Order in relation to non-domestic premises located in England.

<https://www.gov.uk/government/consultations/the-regulatory-reform-fire-safety-order-2005-call-for-evidence>

### 8. Fire and Rescue Service Inspections 2018/19 – A Summary of Findings From Tranche 2 , HMICFRS, June 2019

HMICFRS have inspected 16 services in the second tranche of inspections, following on from the publication of the first tranche of 14 reports in December 2018. Each inspection assessed how effective and efficient the service is, how it protected the public against fires and other emergencies and how it responded to the same. They also assessed how well each service looks after the people who work there. Until they inspect every service, they don't have a complete national picture, but some themes are emerging, which they have reflected in this report. They will form judgments and make recommendations as part of the first State of Fire and Rescue report, which they will publish later this year, but this report contains two recommendations:

- there should be more consistency, for example, in how fire and rescue services define risk and calculate and communicate response standards to the public; and
- the fire sector also needs more support to change and modernise.

The Tranche 2 grades were slightly more positive, particularly in relation to people, than the Tranche 1 grades, with only 1 service rated 'inadequate'. However, for the first time HMICFRS identified a serious gap in one service's ability to respond to a terror attack.

<https://www.justiceinspectorates.gov.uk/hmicfrs/publications/fire-and-rescue-service-inspections-2018-19-tranche-2/>

### 9. Rethinking Social Value: Unlocking Resources to Improve Lives, Mazars, June 2019

We have been taking views from our clients in the public and not-for-profit sectors on how social value is defined, delivered and its impact on communities.

## 2. NATIONAL PUBLICATIONS CONTINUED

We are pleased to share the results of this research in our brand new report: *'Rethinking social value: unlocking resources to improve lives'*. The report focuses on:

- the opportunities around social value;
- leadership, communication, and building support;
- case studies highlighting innovative approaches in charities, not-for-profits and private sector partnerships; and
- how to measure the impact of social value.

<https://www.mazars.co.uk/Home/Industries/Public-Services/Public-Services-Insights/Rethinking-Social-Value>

### 3. CONTACT DETAILS

Please let us know if you would like further information on any items in this report.

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Governance, Audit and Scrutiny Committee  
13 September 2019

Report by the Director of Service  
Improvement

## SERVICE PERFORMANCE AND RISK REPORT End of the 1st QUARTER 2019 - 2020

**1 April 2019 – 30 June 2019**

### REPORT EXECUTIVE SUMMARY

This report provides information relating to the Service's Performance and Risk Framework.

#### Report Highlight Summary Table

Prevention Performance		
Accidental Dwelling Fires	19.7% below 3 year average.	
Other Accidental Fires (exc. Vehicles)	11.4% below 3 year average.	
Deliberate Primary Fires	11.6% above 3 year average.	
Deliberate Secondary Fires	14.1% above 3 year average.	
Automatic Fire Alarms	10% below 3 year average.	
Fatalities	0 fatalities (aspirational target 0)	
Injuries	8 injuries (aspirational target 0)	
Response Performance		
First engine response	8.61% better than target	
Second engine response	8.19% better than target	
Projects Update		
<ul style="list-style-type: none"> <li>Infrastructure</li> <li>ICT</li> <li>Collaboration</li> </ul>	A summary of progress for Strategic Projects is provided at Paragraph 8 within the body of this Report.	
Strategic Risks		Level
Reduction in external financial support	Further efficiencies being considered with a view to decisions being made in early 2020.	<b>Critical</b>
East Coast and Hertfordshire Control Room Project (ECHCR).	Humberside is currently reviewing plans for system sustainability prior to cutover.	<b>Critical</b>
Impact of Brexit	Work is ongoing with the LRF in monitoring the outcome of the EU exit.	<b>Critical</b>
Complaints		
Quarter 1 Detail		
Driving related	2 Upheld	0 Not Upheld
Conduct of employees	2 Upheld	1 Not Upheld
Performance of employees	0 Upheld	0 Not Upheld
Damage to property whilst responding to incidents	0 Upheld	0 Not Upheld
Other	0 Upheld	3 Not Upheld
Current and Previous Quarter for comparison		
	Current Quarter	Previous Quarter
Totals	4 Upheld   4 Not Upheld	0 Upheld   2 Not Upheld
Compliments and Messages of Thanks		
23 compliments and messages of thanks were received and posted on our Website: <a href="#">Compliments and Messages of Thanks</a>		

## RECOMMENDATIONS

1. That Members consider the report's detail and make any recommendations to the Fire Authority as necessary.

## BACKGROUND

2. Regular performance and risk reviews are undertaken internally to jointly review any issues at Strategic Leadership Team (SLT), and Project level. SLT provide the oversight of Projects and therefore there are two levels of risk register; one for Strategic Risks and separate registers for individual projects.
3. The ownership of performance and risk is detailed below:-

<b>Strategic Leadership Team</b>	Strategic Objectives Strategic Risk Register
<b>Directors</b>	Director Workstream Objectives Directorate Risk Register
<b>Heads of Functions</b>	Function Workstream Objectives Directorate Risk Register
<b>Project Owners</b>	Project Risks and performance against project milestones.

4. The Strategic Leadership Team in conjunction with the Tactical Leadership Team, Head of Corporate Assurance and GAS Committee provides an internal scrutiny function for Strategic Risks and Service Performance Indicators.
5. All performance and risk information is managed through automated systems which enable managers at all levels to have access to information which is as up to date as possible, and in many instances is live information.
6. The Strategic Risk Register is publicly accessible via the Service website [Our-performance](#). Members can also view the Action Plans relating to any performance or identified risks electronically at meetings through the Corporate Information Portal.

## PERFORMANCE ISSUES OF NOTE

7. A summary of all key performance can be seen at Appendix 1. The following performance issues of note have arisen during this reporting period.

### a) Accidental Dwelling Fires (ADFs)

The number of accidental fires to the end of Quarter 1 is 19.7% below the 3-year average. This is a notable decrease from Quarter 1 last year where these incidents were 13% above the 3-year average. However, the number of incidents rated as high severity to the end of Quarter 1 was still low as can be seen in Appendix 2.

### Intervention Activities of note

- ✓ My Community Alerts continues to be utilised by the Service to push targeted messages out to hotspot geographical areas.
- ✓ In North Lincolnshire, fire fatality profile addresses have been produced and provided to crews and Blue Light Brigade volunteers to undertake targeted Safe and Well visits.

- ✓ Hull Community Safety team are involved in a project to engage with letting agents and landlords to promote fire safety messages and also be aware of any tenants who could fall into our high-risk profiles.
- ✓ Work continues with the NFCC on a series of regional workshops to embed standard reporting of a core set of data for Safe and Well visits. This will help improve analysis and provide greater assurance to HMICFRS about standard approach.

b) Deliberate Secondary Fires

Deliberate secondary fires remain a cause for concern and having seen an ongoing decrease in previous quarters have seen a rise this quarter. In Quarter 1 last year they were 2.7% higher than the 3-year average but this quarter are 14.1% above the 3-year average.

Intervention Activities of note

- ✓ K9 Fire Dog sessions have now been given to years 5 and 6 in 15 Hull primary schools to assist with the delivery of arson prevention messages and has received excellent feedback from schools and councillors.
- ✓ In North Lincolnshire, we are working with PCSO's in Scunthorpe Town Centre to support the homeless. We are providing data to Humberside Police on Operation Proteus to regenerate the town centre following a number of deliberate fires.
- ✓ We are now receiving data from Humberside Police on fire related incidents that we have not attended. This data will be incorporated into our data systems to enable increased risk profiling.
- ✓ We have been invited to work with Humberside Police on Operation Endurance, in which a more visible uniformed presence is being used to reduce anti-social behaviour in Bridlington over the next year.

The impact of all initiatives is being assessed and monitored.

c) Deliberate Primary Fires

Deliberate primary fires are 11.6% above the 3-year average this quarter compared to 5.6% below the 3-year average for the same quarter last year.

Intervention Activities of note

- ✓ We are working with Humberside Police in North Lincolnshire on creating a highly visible presence in Westcliff where vehicles have been stolen and used for criminal offences, linked to drugs. Arson posters, CCTV and proactive patrols are being used.
- ✓ In Hull, operational crews are being given information regarding the most frequent location and times for arson in their area and have been encouraged, where possible, to show a presence as a disruptive technique.
- ✓ Across the area, we are sharing data with Humberside Police as part of Operation Yellowfin, which is looking to address the issues related to deliberate vehicle fires. Where appropriate, CCTV from fire engines is retrieved to assist Humberside Police.

- ✓ In North Lincolnshire, to address the link between deliberate fires in dwellings and mental health, we have improved the referral pathways for individuals who need additional support.
- d) Automatic Fire Alarm false alarm calls (AFA)
- The number of false alarms in commercial premises is significantly lower than the 3-year average. In Quarter 1 this year they are 10% below the 3-year average compared to being 3.3% above the 3-year average in Quarter 1 last year.
- A list of repeat offenders has been compiled and will be used to push out targeted information. Crews in the East Riding are being given the training on how to identify issues when at locations and refer to the Business Safety Team where necessary.
- The Authority recently approved a non-attendance and charging policy for Unwanted Fire Signals. The new process will be established ready for implementation by the agreed go live date of October 2019.
- e) Other Accidental Fires (excluding vehicles)
- This quarter has seen a significant decrease in Other Accidental Fires (Excluding vehicles) and is 11.4% below the 3-year average compared to 73.1% above the 3-year average during Quarter 1 last year.

## STRATEGIC PROJECTS

### 8. Notable developments in Strategic Projects:

#### a) East Coast and Hertfordshire Control Room Project

Capita are progressing well with the new telephone system. Services are now required to obtain Airwave compliance certificates to allow transition to Vision 4. Humberside is currently reviewing plans for Vision 3 sustainability prior to cutover. Ongoing work is being carried out by Capita to address some software issues.

#### b) The Ark Flood Preparation and Response Centre

The Ark National Flood Rescue Centre project gives the Service an opportunity to develop a unique facility, within the UK, for the training of first responders in flooded urban environments. CFO Blacksell and Dave Richards, Hull University attended a further meeting at Westminster ahead of meeting with the Secretary of State for DEFRA, Michael Gove. This meeting went well, with Mr Gove committing to speak directly with the Treasury to release funds, linked to CSR in all likelihood. Steve Topham and colleagues from Hull University attended the Environmental Agency Flood & Coast Conference in Telford and met senior representatives from the Environmental Agency and DEFRA. Several other meetings including sponsors board have taken place. Feedback is awaited from Michael Gove's Office / DEFRA on funding.

#### c) Enterprise Resource Planning System

The introduction of a Corporate Availability System will allow the Service to manage individual's availability and aggregate these details to populate rotas. Fire engine availability details need to flow into the CAPITA provided command and control system (Soon to be Vision 4) and details of incidents extracted for pay purposes. Any payments or allowances will be captured and transferred to the Service's payroll provider, which will generate efficiencies in what is currently a labour intensive process. Both potential suppliers have now carried out a presentation and the evaluation team has finalised it's scoring.

## STRATEGIC PLAN COMPATIBILITY

9. This report supports the delivery of all of our Strategic Objectives in the most effective and efficient way and is a key part of the underpinning Governance Framework.

## FINANCIAL/RESOURCES/VALUE FOR MONEY IMPLICATIONS

10. Any area of improvement in performance without an increase in resources adds value for money and the proactive management of risks is important to ensure financial stability.

## LEGAL IMPLICATIONS

11. None arising directly.

## EQUALITY IMPACT ASSESSMENT/HR IMPLICATIONS

12. None arising.

## PERFORMANCE AND RISK MANAGEMENT IMPLICATIONS

13. This report details the information for Members to provide assurance as to the proactive management of performance and risk by the Service.

## HEALTH AND SAFETY IMPLICATIONS

14. Performance against the second engine response standard directly contributes to the Health and Safety of operational crews.

## COMMUNICATION ACTIONS ARISING

15. None arising.

## DETAILS OF CONSULTATION AND/OR COLLABORATION

16. None applicable.

## BACKGROUND PAPERS AVAILABLE FOR ACCESS

17. None.

## RECOMMENDATIONS RESTATED

18. That Members consider the report's detail and make any recommendations to the Fire Authority as necessary.

**N MCKINIRY**

Officer Contact: GM Simon Rhodes ☎ 01482 567479  
Head of Corporate Assurance

Humberside Fire & Rescue Service  
Summergroves Way  
Kingston upon Hull

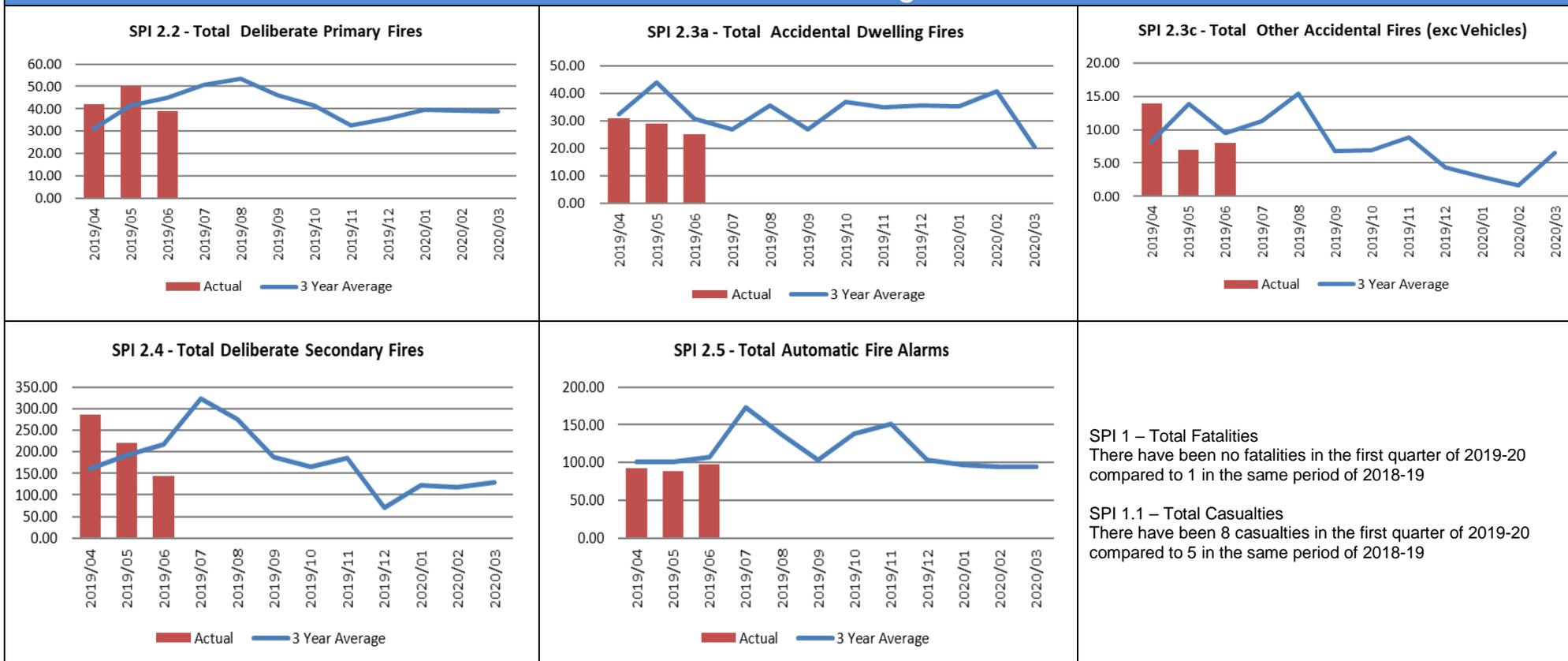
SR  
26 July 2019



## Service Performance and Risk Report – 1<sup>st</sup> Quarter 2019-20 1 April 2019 – 30 June 2019

Service Performance Indicators		
<ul style="list-style-type: none"> <li>SPI 1 – Total Fatalities – 0 Fatalities</li> </ul>	<ul style="list-style-type: none"> <li>SPI 1.1 – Total Casualties – 8 Casualties</li> </ul>	<ul style="list-style-type: none"> <li>SPI 2.2 – Total Deliberate Primary Fires – 11.6% above three-year average</li> </ul>
<ul style="list-style-type: none"> <li>SPI 2.3a – Total Accidental Dwelling Fires – 19.7% below three-year average</li> </ul>	<ul style="list-style-type: none"> <li>SPI 2.3c – Total Other Accidental Fires (exc Vehicles) 11.4% below three-year average</li> </ul>	<ul style="list-style-type: none"> <li>SPI 2.4 – Total Deliberate Secondary Fires – 14.1% above three-year average</li> </ul>
<ul style="list-style-type: none"> <li>SPI 2.5 – Total Number of Automatic Fire Alarms – 10% below three-year average</li> </ul>		

### How are we doing?



## Service Performance Indicators

<ul style="list-style-type: none"> <li>SPI 2 – Standard of First Appliance in Attendance is met</li> </ul>		<ul style="list-style-type: none"> <li>SPI 2.1 – Standard of Second Appliance in Attendance is met</li> </ul>	
Actual – 98.61%	Objective – 90%	Actual – 88.19%	Objective – 80%

## Average First Appliance attendance times for the Service

1 <sup>st</sup> Quarter - Average 1 <sup>st</sup> appliance attendance time – Dwellings	1 <sup>st</sup> Quarter - Average 1 <sup>st</sup> appliance attendance time – RTC's
Actual – 5 Minutes 49 Seconds	Actual – 6 Minutes 32 Seconds

## Average Second Appliance attendance times for the Service

1 <sup>st</sup> Quarter - Average 2nd appliance attendance time – Dwellings	1 <sup>st</sup> Quarter - Average 2nd appliance attendance time – RTC's
Actual – 7 Minutes 10 Seconds	Actual – 8 Minutes 58 Seconds

## Rescues

Between 1<sup>st</sup> April 2019 and 30<sup>th</sup> June 2019, the Service rescued 242 people in incidents across the Service area. This table shows the number of people rescued and the type of incident, for the end of the 1st quarter period April 2019 to June 2019.

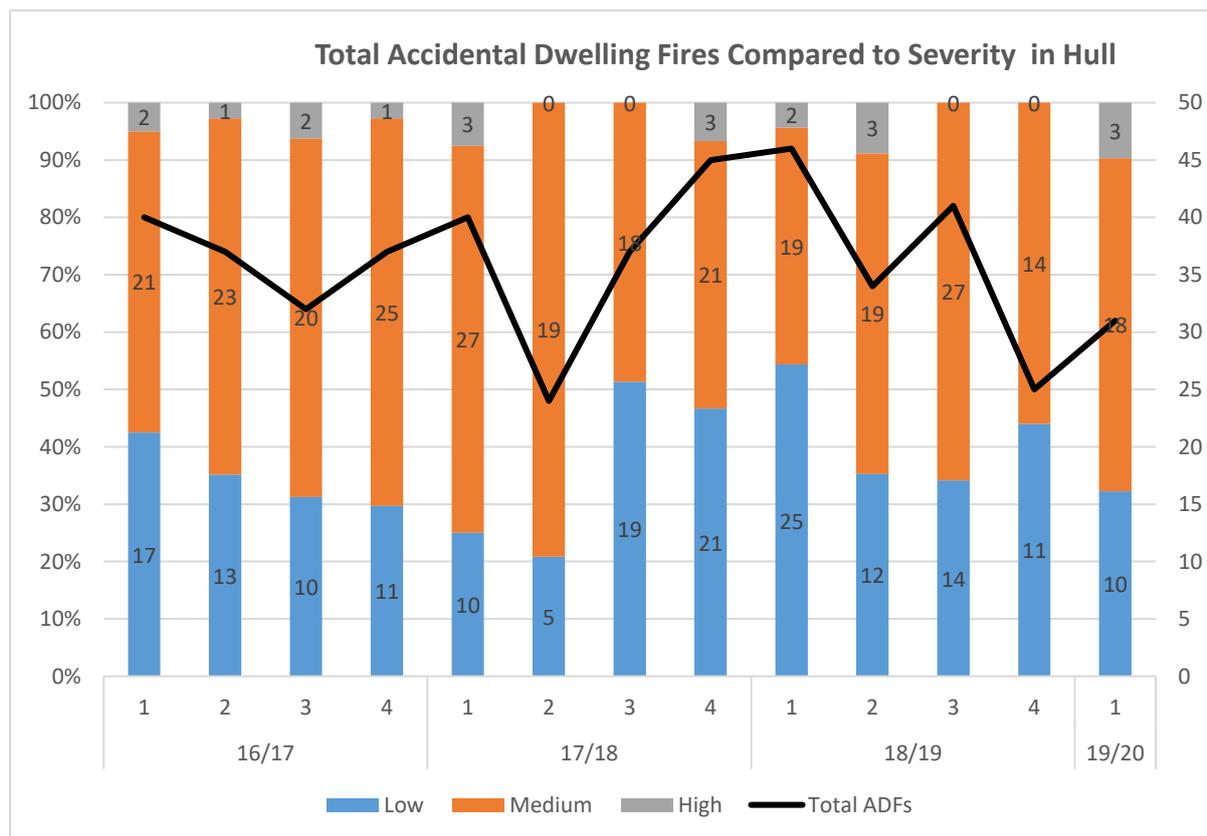
RTCs	42	Other (e.g. assisting other agencies and suicides)	15
Effecting Entry/Exit (to children, elderly and medical cases)	82	Removal of objects from people / people from objects	20
Other Rescue/Release of Persons (e.g. from height, in machinery)	38	Rescue or Evacuation from water	5
Primary Fires	11	Other Transport Incidents (e.g. children locked in vehicles)	11
Lift Release (to children/elderly and medical cases)	6	Medical Incident – First Responder	11
Hazardous Materials Incident	1	<b>Total number of rescues</b>	<b>242</b>

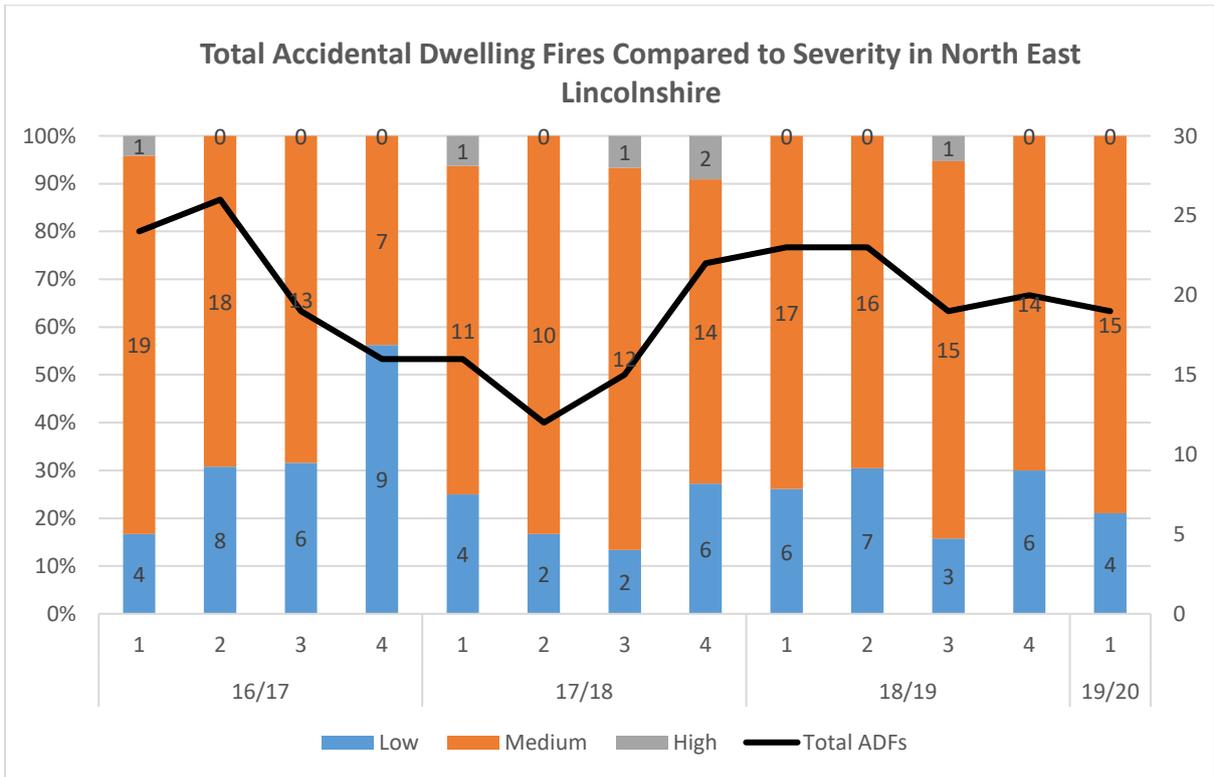
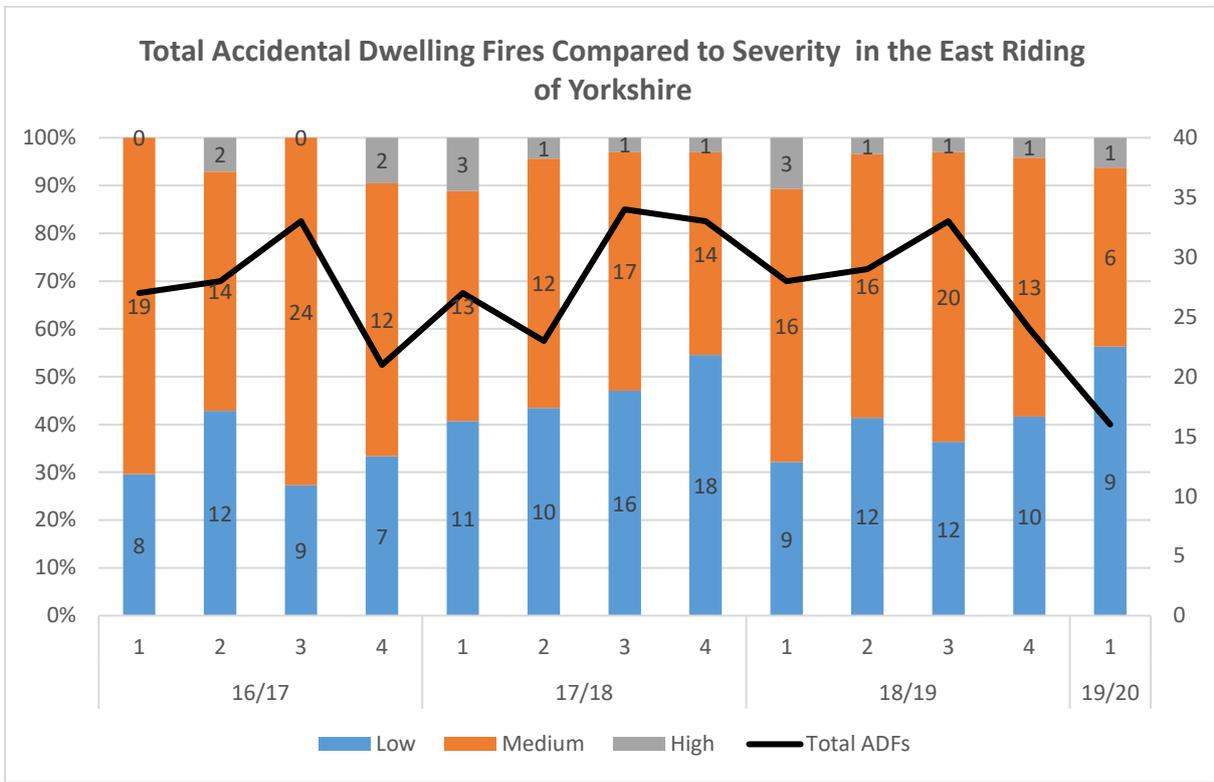
Medical Intervention	
This table details the 1st quarter activity for First Responder incidents and Falls Team incidents attended, across the Service area.	
	Period – 01/04/2019 – 30/06/2019
*Falls Incidents	227
Emergency First Responder calls attended	496

### Accidental Dwelling Fires

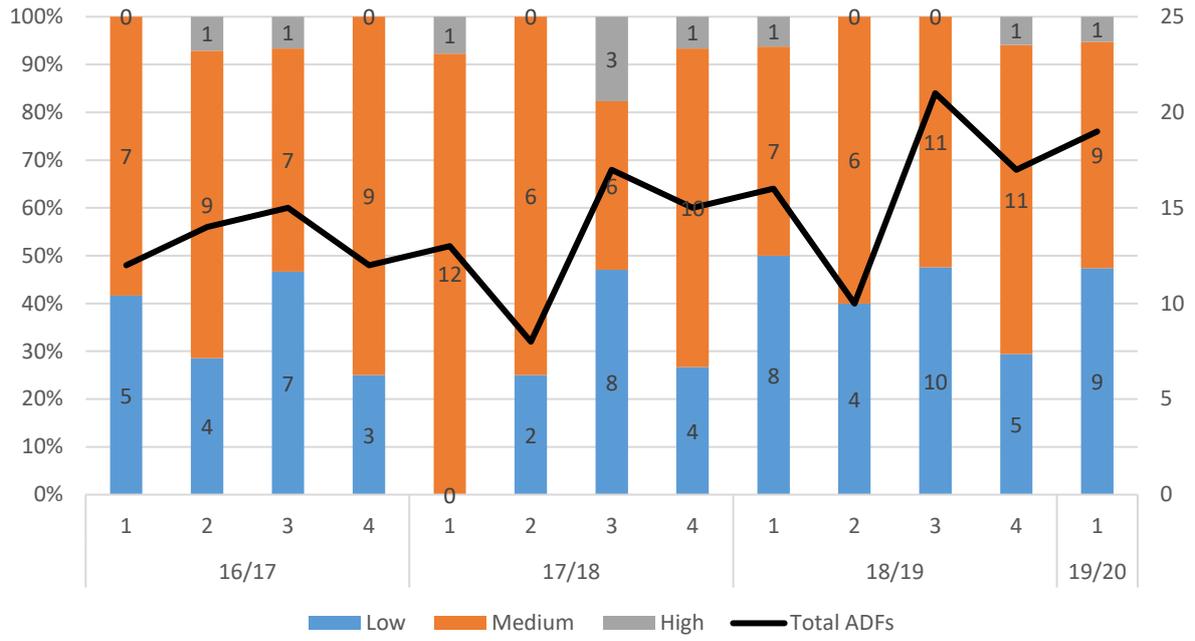
The charts below show the severity level for Accidental Dwelling Fire incidents over the last 3 years. The number of incidents in quarter one was lower this year compared to the last in all the areas except North Lincolnshire. The trend in this authority area has been upwards since quarter two of 2017/18. There were three high severity fires in Hull during this quarter. One involved an electrical fault in the roof void of one property, which spread via the roof to a neighbouring property. Another was a bonfire which spread to the house next door, damaging external fittings such as windows, doors and decking. The third incident involved extensive fire damage to a house and the rescue of a child.

*Note: The charts show the number of accidental dwelling fires within each severity category for each quarter of 2016/17, 2017/18, 2018/19 and 2019/20 to Q1.*





### Total Accidental Dwelling Fires Compared to Severity in North Lincolnshire





**Governance, Audit and Scrutiny Committee  
16 September 2019**

**Report by the Director of Service  
Improvement**

**HEALTH, SAFETY AND ENVIRONMENTAL QUARTERLY REPORT  
1<sup>st</sup> QUARTER  
2019/2020**

**April – June 2019**

**REPORT EXECUTIVE SUMMARY**

This is the 1<sup>st</sup> Quarter 2019/20 report on Health, Safety and Environment. Appendix 1 provides a summary of the statistical data.

During the reporting period there were 22 incidents recorded (Figs 1 & 2) that resulted in some form of personal injury compared to 23 for the same period last year. This is a marginal decrease of just over 4%. Reassuringly, it is also significantly below the five-year rolling average of 28 for quarter one. Even more pleasingly, it is the lowest number of reported injuries or ill-health for quarter one in the last five years (Fig 3).

Due to the make-up of the workforce, most of the injuries or ill-health episodes, 55%, were incurred by full-time firefighters. This is representative of our employees and the more hazardous nature of the activities carried out by operational staff.

As can be seen from the five-year rolling average (Fig 3), the long-term accident trend continues to fall. Training activities make up the highest number of the total injuries reported which is the same as for quarter one for the previous year. The positive difference is that for quarter one last year, training activity accidents made up 57% of the total (13 out of 23); this year, that has dropped to 36%; (8 out of 22). Injuries arising from Fire have also reduced with those from Routine Activities and RTC remaining constant.

The two activity areas showing an increase in reported injuries are Physical Training and, more notably, Special Service which has risen from zero to five in comparison to last year's quarter one.

Near miss reporting has decreased by 23% but at 33 for the quarter it is still significantly higher than the number of reported accidents (22), which in itself is a positive indicator of a proactive and responsible safety culture.

## RECOMMENDATIONS

1. That the Committee considers this report and makes any recommendations to the Fire Authority as necessary.

## BACKGROUND

2. Half (four) of all the reported injuries during training activities, were sustained at the Immingham West Operational Training Centre during realistic breathing apparatus and compartment fire behavior training as a result of exposure to fire or heat. One of these individuals suffered burns to the hands and wrists which caused a subsequent sickness absence, but the others were all superficial in nature and the individuals concerned remained fit for duty.

Of the other four reported injuries, two related to sickness caused by ingestion of water during water rescue training at an external venue, one was a minor trip and the other soreness caused by lifting a casualty simulator during an on-station training event.

3. Reported injuries and illness during special service activities have spiked this quarter with five in total; all have involved operational personnel. Significantly, two of these injuries resulted in a period of sickness in excess of seven days and hence were reported to the Health and Safety Executive under RIDDOR 13. One was a ruptured arm tendon whilst performing a mud rescue and the other a back strain whilst assisting a casualty during a Falls Intervention Response.
4. The two most common categories of accidents are “exposed to fire or heat” and “musculoskeletal” with five for both. Four of the five “exposed to fire or heat” occurred during practical breathing apparatus and compartment fire behavior training whereas the remaining injury was caused during the more mundane activity of making a cup of tea. This illustrates the broad differences in activities where accidents can occur. The “musculoskeletal” injuries can be broken down as follows. Four out of the five were sustained by Fulltime firefighters during four separate activities; these being fire, training, special service and physical training. The remaining accident was reported following a shoulder strain during routine activities by a member of support staff. There is considerable overlap between this cause and the next most common type of “injured while lifting or carrying” which is dependent on individual interpretation on initial reporting.
5. Two of the four “exposed to, or in contact with, a harmful substance were due to ingestion of water as detailed in paragraph 2. The other two were sustained at the same incident when firefighters responding to a medical incident felt nauseous after entering a domestic property and inhaling an unknown narcotic substance. They were subsequently taken to hospital for a precautionary check but deemed all clear.
6. The three injuries caused by “slipped, tripped or fell on the same level” resulted in two RIDDOR reports, both as a result of playing football. One was to a Fulltime firefighter during physical training and the other to a member of support staff engaging with children as part of a community safety initiative. Damaged ligaments and a dislocated knee were the specific injuries respectively.
7. During this quarter, there has been a total of seven RIDDOR events, in comparison to four for the last year quarter one. This is unusually high although one actually occurred during quarter four of 2018-2019 but was reported during this quarter. Every reportable accident has been thoroughly investigated with appropriate corrective and preventative measures implemented. All were due to injuries causing individual sickness absence of more than seven days. Two occurred during special service activities, two during physical training and two during training with the last arising from routine activities. The Service strives to reduce accidents and subsequent RIDDOR events to an aspirational target of zero.

8. Although near miss reports (Fig 6) have decreased by 23% in comparison with the same quarter for last year; they remain higher than the number of reported accidents. This is indicative of a positive safety culture within HFRS with the emphasis on reporting events that have the potential to cause injury before they actually do. As an area constantly promoted by the Health, Safety and Environment team, near misses are treated with an equal degree of seriousness as accidents; once again being investigated accordingly to identify proactive control measures. Ongoing training and quality assurance within this area seeks to ensure near miss reports are appropriate and meet the necessary criteria for submission and analysis.
  
9. The H, S & E team continue to undertake research in several areas reflecting the Services positive approach. These include:
  - Occupational cancer risks – The contamination working group is in the process of securing funding for the provision of external storage bins for dirty fire kit and the procurement of personal cleaning wipes to expedite quick removal of carbonaceous deposits from the skin following significant exposure to smoke.
  - Manual handling and musculoskeletal injuries – In response to the steady rise in the number reported, a new policy has been created and a raft of risk assessments are available online to encompass general tasks commonly carried out. The plan is to provide the fitness and wellbeing advisors with a “train the trainer” qualification in this area to then roll out bespoke refresher training to all personnel in operational and support roles.
  - Humberside Police – The Joint Health and Safety Service was agreed and implemented on 1/4/19 with the resultant expansion necessitating significant recruitment for a Supervisor and two further Advisor posts.
  - Sustainability and environmental management – Reducing plastic waste is being explored through use of the “Refill” app which identifies locations where reusable drinking bottles can be topped up for free.
  - Operational learning – GM Barry Moore of Merseyside FRS visited the Service to present a case study on the serious incident they attended at Kings Dock car park. The event was streamed live and very positively received by all staff; both operational and support. Relevant learning will be captured to reduce risk in our area.
  
10. Details of the Service’s Health, Safety and Environmental outcomes for this Quarter 2019/20 are contained in Appendix 1
  
11. It is pleasing to report the positive comments contained within the recent HMICFRS with regards to the management of Health and Safety within the Service. This is clearly an outcome of a dedicated and professional team supporting an organisation that understands and proactively implements the necessary arrangements to enable a positive safety culture across the Service.

#### STRATEGIC PLAN COMPATIBILITY

12. The monitoring of Health, Safety and Environmental information is a key part of the Strategic Plan to:
  - Maintain a positive health and safety environment, compliant with legislation and provide operational assurance.
  - Implement measures to ensure environmental sustainability.

#### FINANCIAL/RESOURCES/VALUE FOR MONEY IMPLICATIONS

13. None.

LEGAL IMPLICATIONS

14. None.

EQUALITY IMPACT ASSESSMENT/HR IMPLICATIONS

15. None.

CORPORATE RISK MANAGEMENT IMPLICATIONS

16. None.

HEALTH AND SAFETY IMPLICATIONS

17. This report provides the opportunity for an additional level of scrutiny of Health and Safety information.

COMMUNICATION ACTIONS ARISING

18. None.

DETAILS OF CONSULTATION AND/OR COLLABORATION

19. None.

BACKGROUND PAPERS AVAILABLE FOR ACCESS

20. Health and Safety Policy Statement.

RECOMMENDATIONS RESTATED

21. That the Committee considers this report and makes any recommendations to the Fire Authority as necessary.

**N McKINIRY**

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Director of Service Improvement

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NM  
30 July 2019

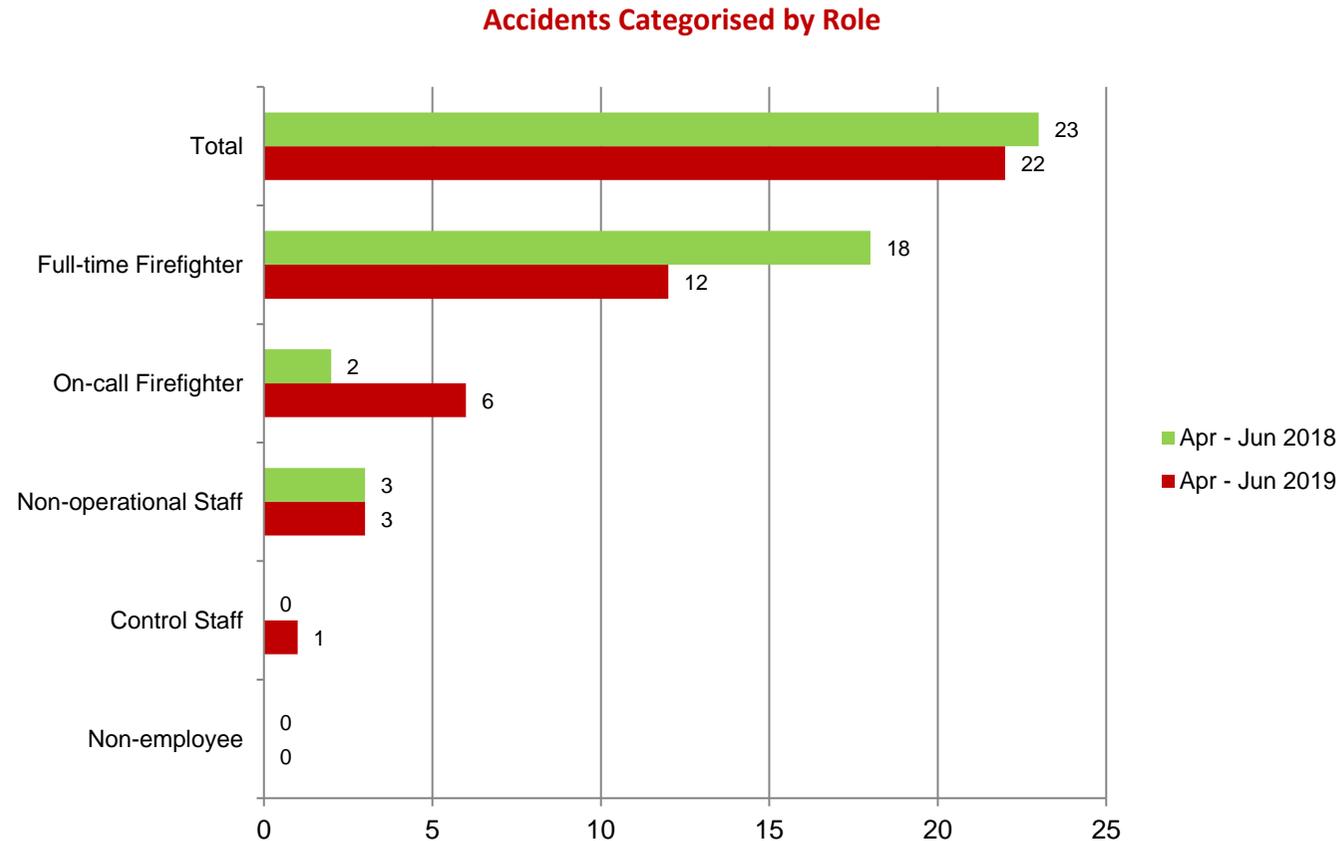


Figure 1

The chart above shows the *role* of those involved in accidents, for this period (April – June 19) alongside a comparison for the same quarter from the previous year and a year to date total. The total number of reported accidents for the quarter is slightly lower than the previous year. Accidents affecting Fulltime personnel have reduced by a third, those involving non-operational staff and non-employees remain the same, whereas those reported by Control and On-Call workers have increased.

***N.B. There are no year to date graphics displayed on any of the figures in this Snap-shot due to this being the first quarter of the fiscal year.***

### Accidents Categorised by Activity

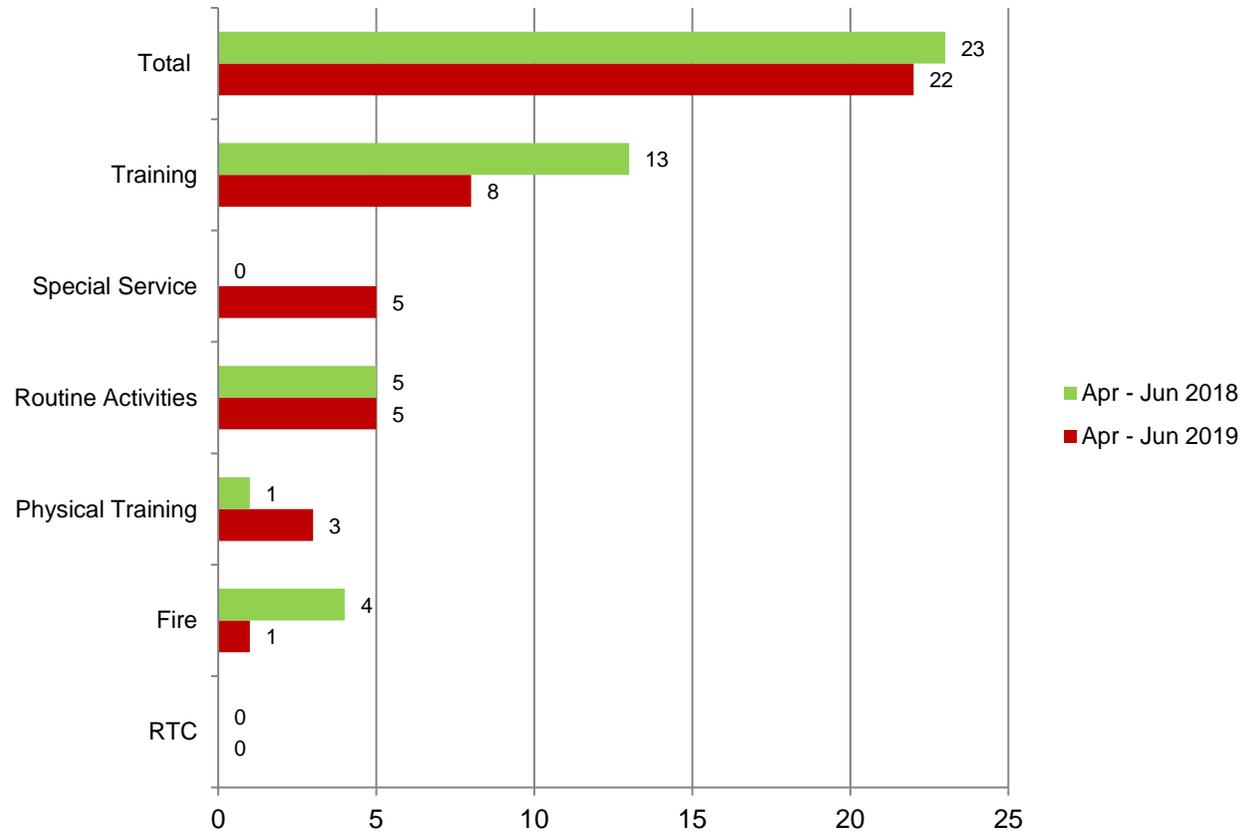


Figure 2

The chart above relates to the activities undertaken at the time of the recorded accident. Reported injuries during training are the most frequent as per last year's first quarter but they have decreased significantly in comparison. Injuries resulting from fire have reduced considerably and those from routine activities and RTC remain the same. The other categories of special service and physical training show an increase.

### Average of Q1 Accidents for the Past Five Years

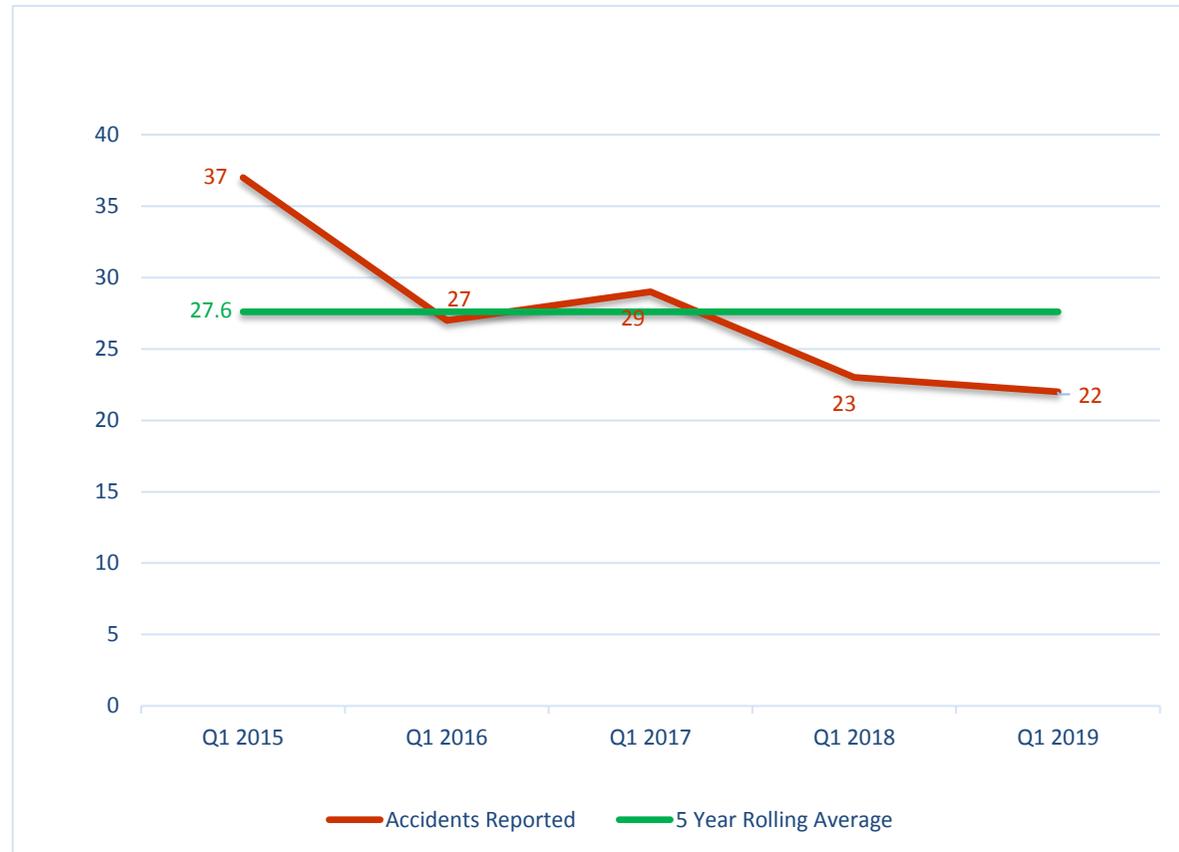


Figure 3

Encouragingly, reported accidents (22) are well below the five-year rolling average (28). For the second year in succession, they are at the lowest level for the previous five years' quarter 1 data. This indicates consistent excellent performance.

### Cause of Injury due to Accident

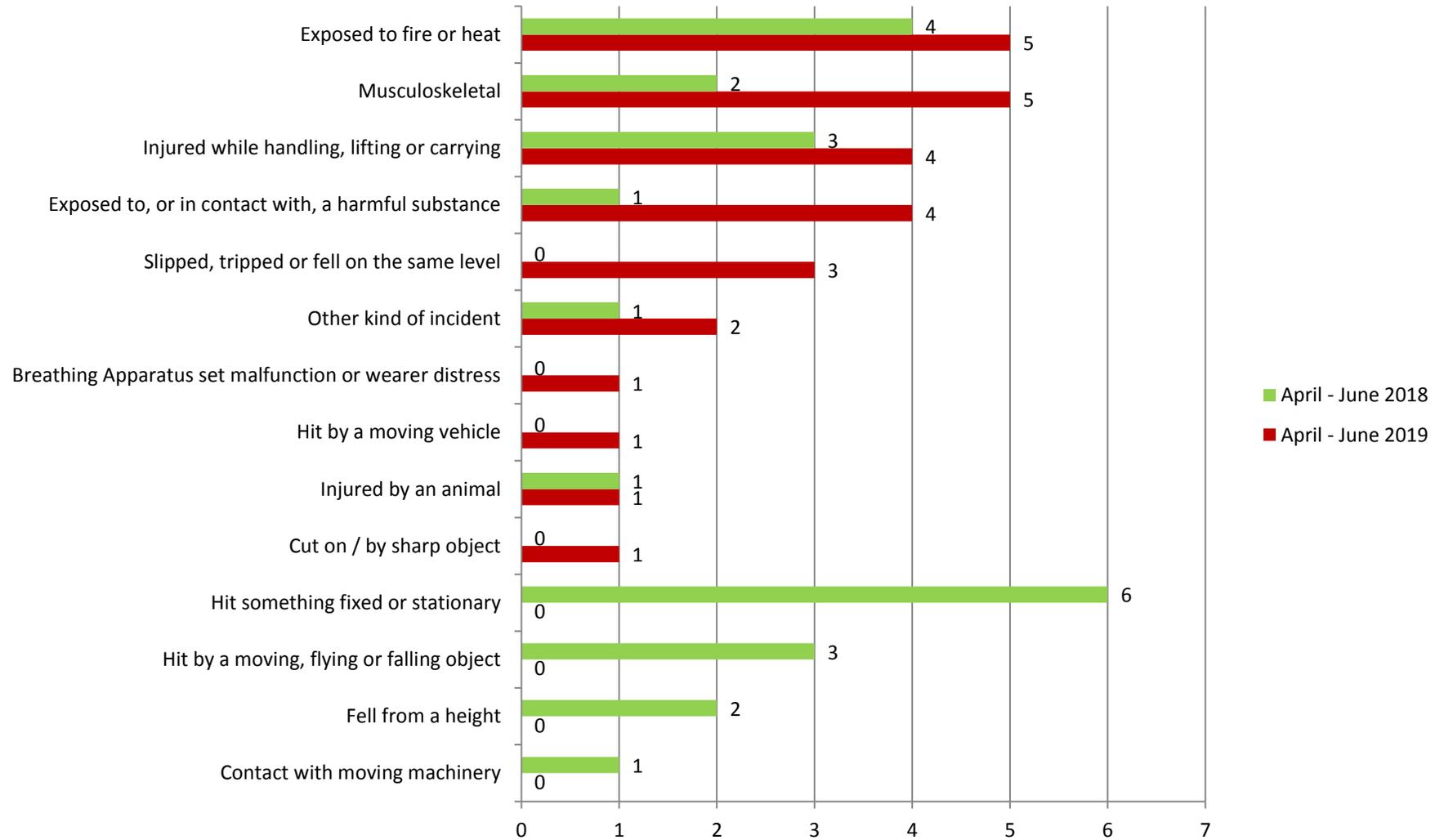


Figure 4

**Figure 4**, on the previous page shows the cause of accidents for this quarter compared against the same period from the previous year. The joint most common cause of injuries are “exposed to fire or heat” and “musculoskeletal”. Four of the exposed to fire or heat injuries were reported from the same compartment fire behaviour training course at the Immingham West training centre and three of these were from the same On-Call station attending. Only one individual received injuries significant enough to cause sickness absence. The Health, Safety and Environment team are conducting a comprehensive investigation into this event. Four out of the five musculoskeletal injuries were sustained by Fulltime operational firefighters.

**N.B. Injured persons can record multiple causes on the initial reporting form; hence the cumulative total being more than 22.**

### Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR)

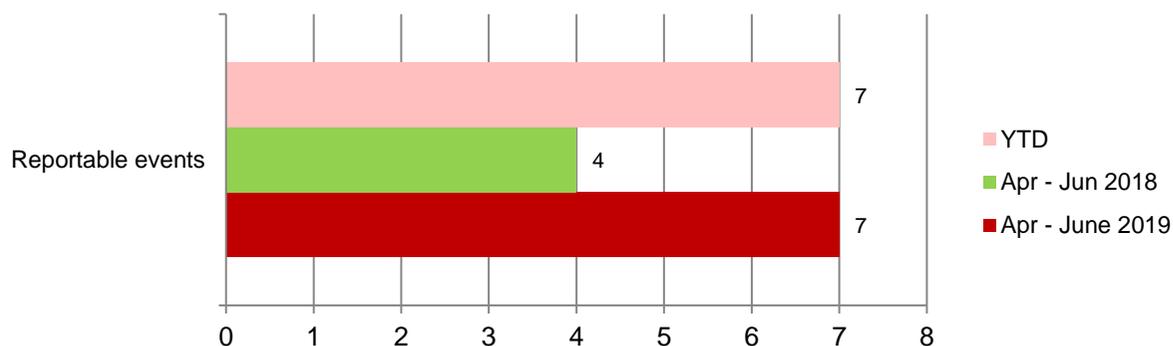


Figure 5

There have been seven RIDDOR reports this quarter; almost twice as many as the same quarter of last year, although one of the injuries occurred in the fourth quarter of 2018 – 2019 but was reported during this quarter. All these injuries were reportable under RIDDOR 2013 due to them resulting in sickness absences of more than seven days for each individual concerned. Six of the seven affected operational personnel. Two injuries were sustained during training activities, two whilst carrying out physical training and two were at operational incidents. The final injury was to a non-operational member of staff performing their duty as a public safety advocate.

All injuries were reported to the Health and Safety Executive and investigated accordingly. This spike in RIDDOR reportable injuries is under scrutiny from the Health, Safety and Environment team who continue to react to such events by implementing modified and improved control measures wherever possible to try to reduce future incidents of this type.

### Near Miss Reporting

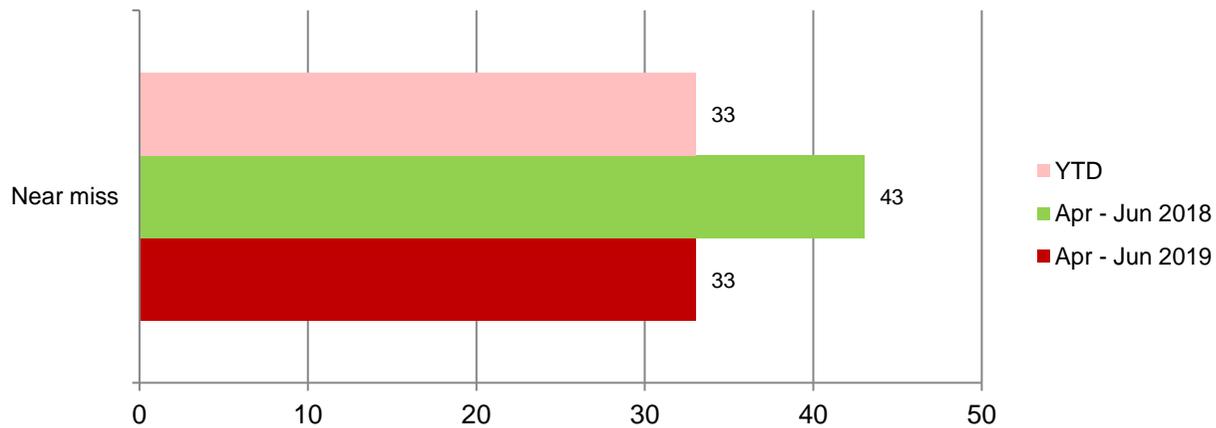


Figure 6

Near miss reports have decreased by just over 23% in comparison to the same period last year. Despite this reduction, there have still been more near miss reports than accidents for this quarter which is indicative of a positive and proactive workplace safety culture.

## Forward Look

### Key current areas being addressed are:

- Implementation and development of the Joint Health and Safety Service (JHSS) in collaboration with Humberside Police.
- Recruitment drive for a new Operational Assurance Manager, JHSS Supervisor and two Advisors due to expansion and internal transfer.
- Procurement of suitable receptacles for dirty fire kit as a result of the research/recommendations of the Contamination Working Group.
- Production of new policy and guidance covering immediate fireground cleaning and procurement of cleansing wipes to reduce the risk in a timely manner.
- Media and internal campaign to highlight a recent spate of minor vehicle collisions.
- Review and alignment of policies and strategy with Humberside Police.
- Launch of 'Refill' campaign across the Service to encourage hydration and reduce single use plastics.
- Research environmentally sustainable options for drinking water at operational incidents and training environments.
- Joint Senior Executives IOSH training for HFRS and HP.



## **OPERATIONAL ASSURANCE QUARTERLY REPORT**

### **1<sup>st</sup> QUARTER 2019/20**

#### **April – June 2019**

##### **REPORT EXECUTIVE SUMMARY**

This is the 1<sup>st</sup> Quarter 2019/20 report on Operational Assurance. Appendix 1 provides a summary of the statistical data.

The quality of information gathered from all types of debriefs has improved significantly through increased education and awareness of assessors. This has enabled a much greater understanding of the importance of capturing learning in order to continually improve firefighter safety.

Each assessment undertaken is broken down into three key areas; Safety Critical, Areas of Concern and Exceptional Practice. Safety Critical reporting reduced by 33% (9 to 6) and Area of Concern reporting reduced by 35% (86 to 58). The reduction in Safety Critical and Areas of Concern are positive indicators showing that improvements in operational performance have been made. However, we must consider that not all Areas of Concern and Safety Critical Concerns are reported and so we must reinforce the importance of reporting in these areas to continually improve firefighter safety. Exceptional Practice reporting saw the most dramatic change with a 111% increase in reporting (176 to 372). This increase is another positive indicator that best practice is being captured and communicated and that the level of reporting is higher throughout the Service.

The utilisation of appliance CCTV to assure operational incidents has highlighted an Area of Concern, however, the majority of incidents have been managed in accordance with the principles of National Operational Guidance and HFRS standard operating procedures. Unfortunately, during the 2<sup>nd</sup> and 3<sup>rd</sup> month we were unable to obtain CCTV cartridges. This was as a result of a request from the Police to assist in an investigation which resulted in them requesting some of our cartridges. New cartridges have now been ordered and as a result of this occurrence and a new process of obtaining them has been put in place to ensure we have more resilience in this area.

Over this reporting period, one thematic review has taken place. The correct PPE worn by appliance drivers review came to an end on the 31<sup>st</sup> of July. Operational assurance has been monitoring whether PPE is being donned within an appropriate timescale and is appropriate for the task being carried out at incidents and exercises. Throughout May and June, we have received 27 thematic review completions. So far, the figures are showing that the vast majority of drivers are donning PPE in an appropriate timescale and that it is appropriate for the task they are given with only two reports stating otherwise (7%). We are currently in the process of collating and publishing the results. Recommendations will be made on this area once this is completed.

Both the thematic reviews for correct use of the airbag restraint and for messages have been completed and the findings collated. As a result of the conclusions of the messages review a number of recommendations were put forward including a review of the radio procedures policy, creation of a learnpro package on radio messages and finally, that Service Control and FDS officers continue to monitor the quality and standard of messages in order to strive for best practice. The review of the correct use of airbag restraints garnered very positive results. With the exception of one, all incidents showed that the restraint was fitted correctly and within the appropriate timescale.

Having reviewed CCTV footage of various incidents an area of concern has arisen on two separate occasions in very similar scenarios. It would appear that when crews are working in roadways but are not at an RTC incident they are failing to wear the correct PPE (hi-vis). This is an area we plan to look at as part of a thematic review.

## RECOMMENDATIONS

1. That Members take assurance from the Service's proactive management of Operational Assurance outcomes.

## BACKGROUND

2. Each assessment undertaken is broken down into three key areas; safety critical, areas of concern and exceptional practice. Reporting of safety critical and areas of concern has decreased in this period. This a positive indicator showing that improvements have been made. However, we must consider that not all areas of concern and safety critical concerns are reported and so it is our duty to reinforce the importance of reporting in these areas to continually improve firefighter safety. Exceptional practice reporting has increased by 111% compared with the same quarter of the previous year.
3. Both the previous thematic reviews for correct use of the airbag restraint and for messages have been completed and the findings collated. The review of the correct use of airbag restraints garnered very positive results. Only one case reported that the restraint was not fitted correctly and within the appropriate timescale, all other responses were encouraging, showing that the restraints were suitably fitted and applied in a timely manner. As a result of the conclusions of the messages review a number of recommendations were put forward including a review of the radio procedures policy, implementation of a learnpro package on radio messages and finally, that service control and FDS officers continue to monitor the quality and standard of messages in order to strive for best practice.
4. Over this reporting period, one thematic review has taken place. The correct PPE worn by appliance drivers review came to an end on the 31<sup>st</sup> of July. Operational assurance, incident commanders and FDS officers have been monitoring whether PPE is being donned within an appropriate timescale and is appropriate for the task being carried out at incidents and exercises. Throughout May and June, we have received 27 thematic review completions. Currently, only two reports have noted any substandard practice in this area (7%). Largely, the figures are showing that drivers are donning PPE in an appropriate timescale and that PPE donned is appropriate for the task they are given. We are currently in the process of collating and publishing the results. Recommendations will be made on this area once this is completed.
5. CCTV has been utilised twice over this period to assure operational performance and has highlighted a similar area of concern; it would appear that at incidents in roadways where crews are not engaged in RTC activities they are not wearing hi-vis surcoats. This has resulted in two near misses being reported. Personnel need to be reminded of the importance of wearing hi-vis surcoats at any incident where they are working in roadways. This is an area we will be researching as part of a thematic review. Positively, all other issues were minor in nature and managed in accordance with the principles of National Operational Guidance and HFRS Standard Operating Procedures.
6. Throughout the quarter, continuous education and raising of awareness has taken place for Service personnel. Partnership working with the Incident Command School has provided the opportunity to develop Incident Commanders further about the Operational Assurance process.
7. The Operational Assurance Team have captured learning outcomes and communicated appropriate actions where necessary through notifications on the pdrpro competence recording system. This method provides an accountable record of understanding which every individual must confirm. Notifications that are issued are derived from learning points collated from debriefs. The following examples highlighted the following areas;
  - i. Drivers PPE – information on the current thematic review and the importance of reporting findings from incidents.
  - ii. South Yorkshire FRS case study – an incident that occurred in SYFRS involving a fire gas explosion whilst firefighters were within the premises. This included any recommendations and key learning points.
  - iii. Personal Line Karabiner – This was published as the result of a near miss that caused the karabiner to become attached to an internal fixture of a building meaning that the firefighter became temporarily stuck during a training incident. This highlighted that the karabiner should not be stored attached to the D ring on the BA set.
  - iv. Regional Operational Learning – This involved various case studies as well as recommendations and key learning points for incidents from NYFRS, SYFRS, and WYFRS.

- v. Exercise Process – This included guidance on the new process of how exercises should be carried out including frequency and the importance of the completion of the operational assurance assessment once the exercise is completed.
  - vi. Decision Record Books – This was published to support the introduction of decision record books and included information on what should be recorded and guidance on security, and issue, replacement and storage.
  - vii. Cylinder Buckle – This was published following near misses where BA cylinders has become loose from the retaining bracket whilst responding to incidents. This included guidance on how to position the cylinder to prevent this happening in future.
8. **Safety Critical Events** that were highlighted during operational activities focused around two broad areas;
- BA procedures at an incident.
  - Insufficient information gathering at an RTC.
9. **Areas of Concern** were highlighted in seven areas;
- 21 within Service Control,
  - 15 relating to incident management,
  - 3 firefighting events,
  - 13 road traffic collisions,
  - 3 at a hazmat incident,
  - 2 relating to working at heights,
  - 1 within a thematic review.
10. The majority of learning has been focused in the areas of Incident Command and Service Control. The main reason for this is the recent themed operational assurance reviews centered around fire ground messages and access to risk critical information at incidents. It is also worth noting that as a result of increased engagement with crews, the quality of feedback from incident debriefs has also improved significantly affording a far greater opportunity to identify any areas of commonality emerging across the Service.
11. On a positive note, **exceptional practices** have risen dramatically in this quarter compared to figures from last year's quarter. 252 exceptional practices for Control, 28 for incident management, 8 during firefighting operations, 19 road traffic collision events, 2 for water rescue, 1 for HAZMAT and 62 for the thematic review. This resulted in an overall increase of 111%.
12. The Operational Assurance Team have captured learning from the operational assurance assessments, communicated appropriate actions where necessary and will continue to undertake further developments in several areas reflecting the Service's proactive approach. These include:
- I. Debriefs – The new College of policing style structured debriefing process utilising a structured briefing plan, a debrief questionnaire and a debrief report has been trialed over this period and has been positively received as an improved way of capturing from learning events. Recently NFCC have encouraged all services to follow this accredited and recognized structure to improve learning. Nationally, feeding into the National Operational Learning platform.
  - II. Operational learning – serious accidents and near misses are comprehensively investigated with resultant recommendations shared across the Service to constantly drive improvements in service delivery.
  - III. The National Operational Learning platform has been utilised with good effect. NOL is designed to share lessons learnt across all Fire and Rescue Services and the wider sector where appropriate to help reduce risk.
- If learning from incidents can be carried out consistently and the lessons acted on effectively and shared more widely, the Service can continue to improve its operational performance and safety. This is particularly important in an environment where falling incidents mean a reduction in exposure to incidents for operational staff.
- The Head of Service Support & Health, Safety and Environment is the identified Single Point of Contact for the Service, this role manages information received from various sources and recommends what further action should be taken. They should also determine the information that their Service shares with the wider sector.

- IV. Thematic reviews – the identification of significant organisational risks can occur at any time and therefore a flexible approach is applied to undertaking this type of review. Operational Assurance must remain sufficiently agile to respond to any new developments. An area that will be considered in the near future will be the personal protective equipment (PPE) worn by fire appliance drivers.

### 13. STRATEGIC PLAN COMPATIBILITY

The monitoring of operational assurance information is a key part of the Strategic Plan; Maintain a positive health and safety environment, compliant with legislation and provide operational assurance. We must also capture and share organisational learning as part of the strategic plan as well as ensuring firefighter competency is maintained (operational preparedness) and that we continue to work seamlessly with other emergency services (through multi-agency debriefs).

### 14. FINANCIAL/RESOURCES/VALUE FOR MONEY IMPLICATIONS

None.

### 15. LEGAL IMPLICATIONS

None.

### 16. EQUALITY IMPACT ASSESSMENT/HR IMPLICATIONS

None.

### 17. CORPORATE RISK MANAGEMENT IMPLICATIONS

None.

### 18. HEALTH AND SAFETY IMPLICATIONS

This report provides the opportunity for an additional level of scrutiny of Health and Safety information.

### 19. COMMUNICATION ACTIONS ARISING

None.

### 20. DETAILS OF CONSULTATION AND/OR COLLABORATION

None.

### 21. BACKGROUND PAPERS AVAILABLE FOR ACCESS

Health and Safety Policy Statement.

### 22. RECOMMENDATIONS RESTATED

That Members take assurance from the Service's proactive management of Operational Assurance outcomes.

#### **N. McKiniry**

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☎ 01482 567166

Director of Service Improvement

Humberside Fire & Rescue Service

Summergroves Way

Kingston upon Hull

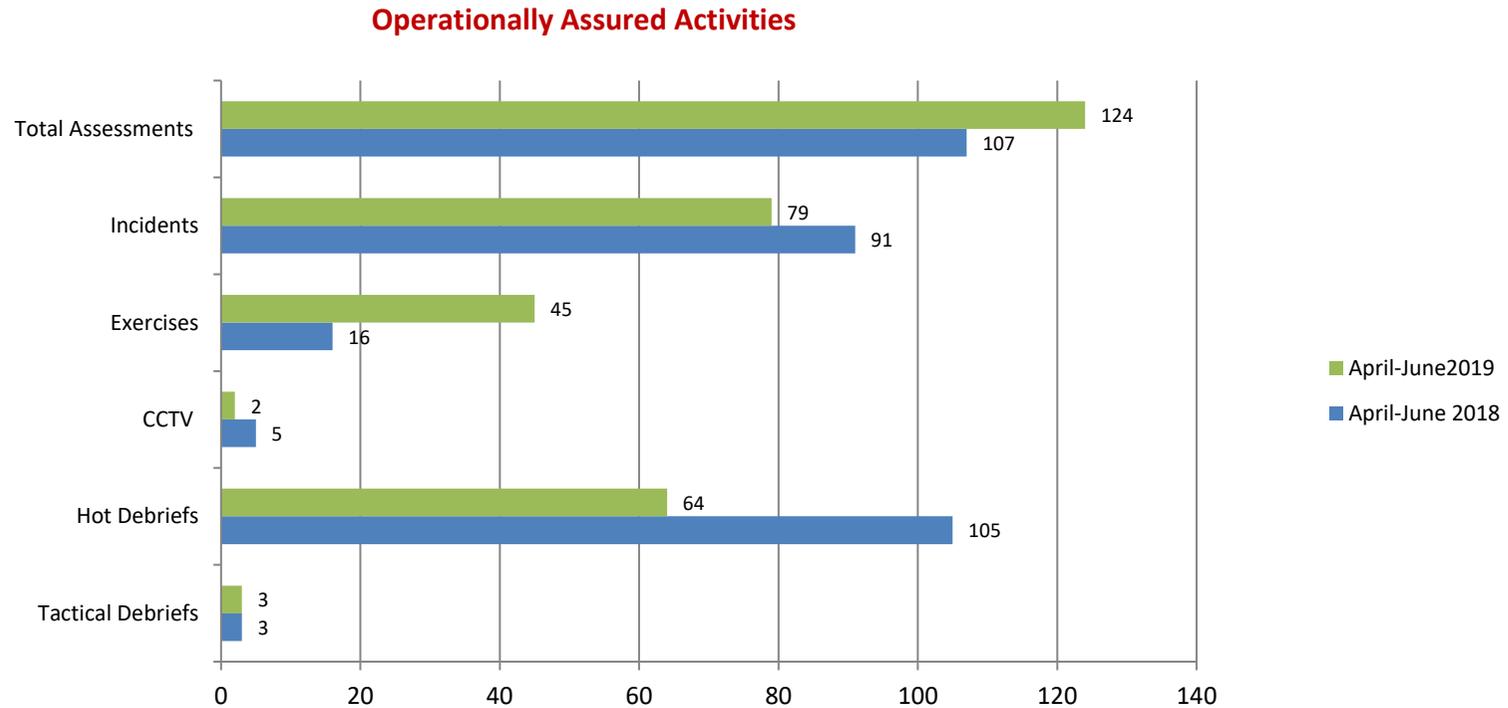


Figure 1

The chart above shows the number of incidents and debriefs that have been assured, for this period (April-June 2019) alongside a comparison for the same quarter from the previous year. The total number of activities assured have risen by 16% compared to last year’s quarter. There has also been an increase in exercises assured from last year’s figures, with an increase of 181% from 16 to 45. CCTV on fire appliances has been utilised to assure activities over this period and has shown areas of concern.

### Breakdown of Key Areas

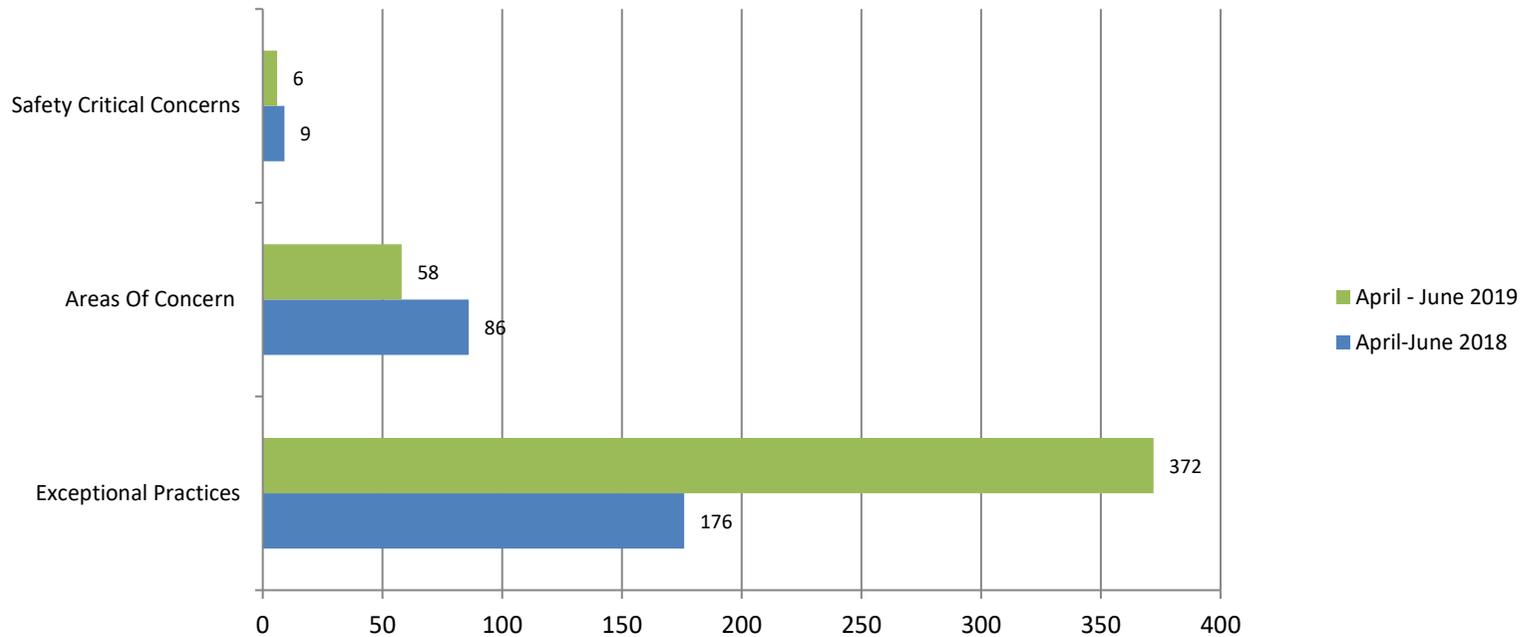


Figure 2

Assurance activities are broken down into three areas; safety critical concerns, areas of concern and exceptional practice. The number of safety critical concerns identified, and areas of concern reported have decreased. However, exceptional practices reporting has increased by 111% from 176 to 372. Once again, the vast majority of reports of areas of concern and exceptional practices have been highlighted through Service Control.

## Thematic Reviews

Over this period, one thematic review has been carried out;

### **Drivers PPE**

This area was highlighted through the operational assurance process as a result of CCTV reviews. Operational Assurance has been monitoring whether PPE is being donned within a reasonable timescale and is appropriate for the task being carried out. Through May and June, we have received 27 thematic review completions. So far, the majority of results are positive. This review ended on July 31st and we are in the process of collating and publishing the results.

Both the thematic review for correct use of the airbag restraint and the thematic review for messages have been completed and the findings collated. As a result of the conclusions of the messages review a number of recommendations were put forward. The review of the correct use of airbag restraints garnered very positive results. With the exception of one, all incidents showed that the restraint was fitted correctly and within the appropriate timescale.

Having reviewed CCTV footage of various incidents an area of concern has arisen on two separate occasions in very similar scenarios. It would appear that when crews are working in roadways but are not at an RTC incident they are failing to wear the correct PPE (hi-vis). This is an area that we will be looking at as part of a thematic review.

## Forward Look

Current areas under review:

- The new College of Policing style structured debriefing process has been trialled over this period and has been positively received as an improved way of capturing learning from events. Recently NFCC have encouraged all Services to follow this accredited and recognised structure to improve learning Nationally, feeding into the National Operational Learning platform.
- Findings of the thematic review to be produced and shared, relating to personal protective equipment worn by fire appliance drivers during operational activities.
- Continued education of station-based personnel to increase the recording of learning from smaller incidents and exercises through the Operational Assurance process via tool box talks on stations. This is an area that we are looking to progress over the coming months.
- Introduction of a new process to monitor Operational Assurance assessments generated from exercises. This process is currently under review with a view to implementation in the near future.
- National user group (six Fire and Rescue Services) established to drive forward improvements to recording system.
- Launching of a new learning platform that will be accessible for all staff to provide essential learning from both internal and external incidents.
- Moving forward we will also be looking at monitoring and peer assessing training and exercises with a hope to gather organisational learning from these areas.

## ABSENCE MANAGEMENT UPDATE

### SUMMARY

1. This report provides an update to Members with regard to absence management for the period 1<sup>st</sup> April 2019 to 30<sup>th</sup> June 2019. In keeping with the previous approach, absence remains a key area of focus for the Service.

### RECOMMENDATIONS

2. That Members note the content of the report and take assurance that absence is being managed fairly, consistently and appropriately in the Service and necessary follow up actions are taken to address short and long term absence issues.

### ABSENCE MANAGEMENT REPORTING

3. Table 1 below shows the performance during this period against target by staff group with 1 staff group being significantly below target, 2 slightly above target and 1 area of focus above target due to long term absence in that area.
4. Whilst the level of absence in Control is a concern as far as the headline figures refer to in Table 1, this is due to a small amount of staff having long term absence issues. As there are only 27.5 staff on the Control establishment, long term absence can quickly skew the figures disproportionately.
5. It is however important to note that during this quarter, as shown in Table 2, 96.7% Full Time Firefighters and 95.27% of Fire Staff achieved full attendance.

**Table 1**

	Sum of Days Lost	Establishment	Average Duty Days Lost per person	2019/20 annual target per person	YTD (annual divided by 12 x current month number)
Control	160	27.5	5.82	8.70	2.18
Fire Staff	541.24	175.29	3.09	10.00	2.5
On Call	256.11	346	0.74	7.00	1.75
Full Time	882.00	479	1.80	7.00	1.75
<b>total</b>	<b>1819.35</b>	<b>1027.79</b>	<b>1.77</b>		

**Table 2**

	1 <sup>st</sup> Quarter 2017/18	1 <sup>st</sup> Quarter 2018/19	1 <sup>st</sup> Quarter 2019/20	Target attendance
Full time	95.84%	96.53%	96.70%	95%
Control	90.71%	97.75%	87.28%	95%
Fire Staff	94.21%	96.53%	95.27%	97%

6. Table 3 shows the reasons for absence for all staff groups during the period and shows that, once again, mental health conditions are the top reason for absence. This may be related to the significant work undertaken by the Service in raising awareness of mental health and encouraging staff to be open about the impact of mental ill health on individuals. Staff may well be more prepared to declare that their ill health is related to mental conditions, rather than mask with other conditions due to stigma.

7. The Service continues to support staff experiencing mental health conditions with initiatives such as the Blue Light Champions, Critical Incident Support and publicising potential internal and external routes where staff may seek support. It is also anticipated that the recent training and promotion of the zero tolerance to bullying campaign may also help to identify and address situations which are leading to mental health issues in the Service.
8. Table 4 shows the comparison of long-term and short-term absence against medical condition and shows that mental ill health continues to account for the highest levels of long term absence. As referred to in para 6 above, work continues to address this issue.
9. Table 4 also shows current long term absences of a life threatening nature relating to cancer and cardiovascular issues. Added to which a number of staff are suffering from back, knee and lower limb musculoskeletal conditions which are often inherent in an aging workforce undertaking work of a physically demanding nature. All of these issues are being managed and supported as appropriate to each individual case.

**Table 3**

<b>CLG Category</b>	<b>Total duty days lost</b>
Mental Health Anxiety/Depression	356.44
Musculo Skeletal Back	281.34
Musculo Skeletal Lower Limb	210.88
Musculo Skeletal Knee	204.04
Cardiovascular Other	123.48
Other	115.32
Musculo Skeletal Upper Limb	111.53
Neurological	72.06
Respiratory Other	69.49
Gastro Intestinal	65.52
Musculo Skeletal Shoulders	65.00
Cancer	53.60
Musculo Skeletal Other	37.27
Dermatological	18.30
Urological	12.00
Endocrine	7.00
Mental Health Other	5.36
Reproductive	4.62
Senses Vision	4.00
Musculo Skeletal Neck	2.10
Senses Hearing	0.00
	1819.35

**Table 4**

<b>CLG Category</b>	<b>Long Term days lost</b>	<b>Short Term days lost</b>	<b>Grand Total – days lost</b>
Cancer	53.60	0.00	53.60
Cardiovascular Other	117.00	6.48	123.48
Dermatological	0.00	18.30	18.30
Endocrine	0.00	7.00	7.00

Gastro Intestinal	0.00	65.52	65.52
Mental Health Anxiety/Depression	311.72	44.72	356.44
Mental Health Other	0.00	5.36	5.36
Musculo Skeletal Back	198.22	83.12	281.34
Musculo Skeletal Knee	155.70	48.34	204.04
Musculo Skeletal Lower Limb	114.30	96.58	210.88
Musculo Skeletal Neck	0.00	2.10	2.10
Musculo Skeletal Other	35.27	2.00	37.27
Musculo Skeletal Shoulders	65.00	0.00	65.00
Musculo Skeletal Upper Limb	85.35	26.18	111.53
Neurological	56.00	16.06	72.06
Other	65.00	50.32	115.32
Reproductive	0.00	4.62	4.62
Respiratory Other	9.66	59.83	69.49
Senses Vision	0.00	4.00	4.00
Urological	0.00	12.00	12.00
Grand Total	1266.82	552.53	1819.35

### CASE REVIEW BOARD

10. The Case Review Board continues to show real progress in encouraging consistent management of absence and empowering managers to both seek support and manage their own local absence issues more appropriately and effectively.
11. Managers are further supported in developing their absence management skills by HR Service Partners who provide assistance and coaching as necessary. This dual approach continues to provide consistency in managing absence cases and ensuring all parties are appropriately supported.
12. Occupational Health services, internal support for maintaining operational fitness and counselling services are all utilised according to individual need. This integrated approach seeks to make best use of all available health resources, support staff during periods of ill health and support their return to work (where possible) in the most effective way. Fair exit from the Service is also facilitated through this approach where this is the most appropriate action and all other avenues have been exhausted.

### COMPARISON WITH THE SAME PERIOD LAST YEAR

13. Table 5 shows a comparison of absence in the same period last year with this year. Whilst there are concerns about the increase in long term absence, this is being addressed. Long term absence tends to be cyclical and is often complex to manage. At the point in the year with which we are comparing this data, a number of previous long term absentees had recently exited the Service on ill health grounds, thus improving the overall absence figures at that time. As referred to in para 9, we are now supporting a number of further staff through long term health issues; 70% of the absence issues in the last quarter have been long term in nature.

**Table 5**

	2019/20 Sum of Duty Days Lost	Establishment as of 28/06/2019	2019/20 Average Duty Days Lost Per Person per Contract Type	2018/19 Sum of Duty Days Lost	Establishment as of 02/07/18	2018/19 Average Duty Days Lost Per Person per Contract Type	difference between contract groups 19/20 - 18/19
Control	<b>160.00</b>	26.29	<b>6.09</b>	24.00	23.29	1.03	<b>136.00</b>
Support Staff	<b>541.24</b>	178.17	<b>3.04</b>	408.59	180.64	2.26	<b>132.65</b>

On-Call	256.11	345	0.74	416.49	337.00	1.24	-160.38
Full-Time	862.00	483	1.78	740.00	466.00	1.59	122.00
Grand Total	1819.35	1032.46	1.76	1589.08	1006.93	1.58	230.27
Number of sickness absence days difference to 18-19	230.27						

14. High levels of activity and focus continue to be placed on the management of absence. Recent developments with the zero tolerance to bullying campaign and mental health support mechanisms aim to address the mental health issues within the organisation. Similarly the biannual fitness testing process aims to identify and support all operational staff with general fitness and muscular skeletal issues.

#### STRATEGIC PLAN COMPATIBILITY

15. Effective management of sickness absence is a key enabler towards achieving all of our Strategic Objectives and supports the Value Our People workstream.

#### FINANCIAL/RESOURCES/VALUE FOR MONEY IMPLICATIONS

16. Management of sickness absence and the retention of personnel through effective attendance have a positive impact on both the finances of the Service and the resources available for deployment.

#### LEGAL IMPLICATIONS

17. The fair management of absence with a consistent approach to the management of cases and the use of reasonable adjustments to support staff back into the workplace decreases the risk of Employment Tribunals being brought against the Authority and the loss of these cases when they happen.

#### EQUALITY IMPACT ASSESSMENT/HR IMPLICATIONS

18. The fair management of absence cases supports the delivery of equality of opportunity and ensures that staff suffering from ill health are treated equally regardless of gender, disability and other protected characteristics.
19. The introduction of new ways of consistently managing absence represents the use of HR best practice across the Service.

#### CORPORATE RISK MANAGEMENT IMPLICATIONS

20. Appropriate management of absence reduces the risk of related corporate issues being raised.

#### HEALTH AND SAFETY IMPLICATIONS

21. Appropriate management of absence reduces the risk of negative health and safety implications.

#### COMMUNICATION ACTIONS ARISING

22. Managers are being regularly communicated with in relation to absence through a coaching approach by the HR Service Partners and regular meetings with the Director of HR and the DCFO.

#### DETAILS OF CONSULTATION

23. None directly arising.

BACKGROUND PAPERS AVAILABLE FOR ACCESS

24. None.

RECOMMENDATIONS RESTATED

25. That Members note the content of the report and take assurance that absence is being managed fairly, consistently and appropriately in the Service and that actions taken are having a positive impact on absence management figures.

**M HEPPELL**

Officer Contact: Miriam Heppell  01482 567454  
Director of People and Development

Humberside Fire & Rescue Service  
Summergroves Way  
Kingston upon Hull

MH  
3 September 2019



**Governance, Audit and Scrutiny Committee  
13 September 2019**

**Report by the Head of Finance**

## **MANAGEMENT ACCOUNTS TO 30 JUNE 2019**

### **REPORT EXECUTIVE SUMMARY**

This report contains the Authority's Management Accounts for the period ending 30 June 2019.

The end of year projections are set out for the revenue budget, the capital programme and the pensions account.

## RECOMMENDATIONS

1. That Members take assurance from this report and the Authority's financial position for the period ending 30 June 2019.

### PERIOD ENDING 30 JUNE 2019

2. The summary estimated outturn position from the attached Management Accounts is as follows:-

CATEGORY	2019/20 OUTTURN PROJECTION	
HFA		
Revenue Budget	£385k	overspend
Capital Programme	£6.608m	expenditure against £6.608m allocation
Pensions Account	£10.458m	deficit

3. In relation to the Revenue Budget projected overspend, SLT have discussed measures to bring the 2019/20 budget back into balance.
4. The remaining reporting cycle for the Management Accounts for 2019/20 is shown in the table below:-

#### 2019/20 Management Accounts

Period Ending	HFA
30 September 2019	25 October 2019
31 December 2019	10 February 2020
28 February 2020	24 April 2020

5. Members can rest assured that any significant in-year financial issues that arise between the reporting periods will be reported on an urgent basis as required.
6. Further details on all of these areas are available electronically alongside the agenda papers on the Fire Authority's website at [www.humbersidefire.gov.uk/fire-authority/fire-authority-documents](http://www.humbersidefire.gov.uk/fire-authority/fire-authority-documents).

## STRATEGIC PLAN COMPATIBILITY

7. The production of robust, timely and detailed information in relation to the Authority's financial position contributes to the Strategic Plan objective of a 'Stronger Organisation'. The information specifically underpins good governance and good financial management.

## FINANCIAL/RESOURCES/VALUE FOR MONEY IMPLICATIONS

8. Sound financial management contributes to the achievement of the Authority's objectives.

## LEGAL IMPLICATIONS

9. None directly arising.  
EQUALITY IMPACT ASSESSMENT/HR IMPLICATIONS
10. No direct issues arising.  
CORPORATE RISK MANAGEMENT IMPLICATIONS
11. The monthly Management Accounts help to ensure that the Authority meets its legal and regulatory requirements.  
HEALTH AND SAFETY IMPLICATIONS
8. No direct issues arising.  
COMMUNICATION ACTIONS ARISING
9. No direct issues arising.  
DETAILS OF CONSULTATION AND/OR COLLABORATION
10. No direct arising.  
BACKGROUND PAPERS AVAILABLE FOR ACCESS
11. Working papers for 2019/20 Budget Monitoring.  
RECOMMENDATIONS RESTATED
12. That Members take assurance from this report and the Authority's financial position for the period ending 30 June 2019.

**M RANSOM**

Officer Contact: Martyn Ransom ☎ 01482 567176  
Head of Finance

Humberside Fire & Rescue Service  
Summergroves Way  
Kingston upon Hull

13 September 2019





# Management Accounts for the period ending 30<sup>th</sup> June 2019



**HUMBERSIDE**  
Fire & Rescue Service

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### **Key To Traffic Light System**

The elements of the Traffic Light system being used in the report to highlight significant outturn variances / issues are as follows:-

**Status Column** - indicates, using a colour reference whether an issue is:-

**Red**            **Potentially detrimental** to the finances of the Authority

**Green**        **In line with budget or potentially advantageous** to the finances of the Authority.

**HUMBERSIDE FIRE & RESCUE SERVICE**  
**COMMENTARY ON THE MANAGEMENT ACCOUNTS**  
**For the period 1 April 2019 to 30 June 2019**

The following statements represent a summary of the financial activity of the Service for the period stated above.

Each statement is accompanied with notes, referenced to specific lines on that statement where significant variances have been forecasted or where further explanation of information shown is necessary.

### Revenue Statements

These statements show the actual and committed revenue expenditure, in summary subjective heading format (Table 1) and broken down by objective headings (Table 2), as at 30 June 2019 compared to the profiled 2019/20 budget for the same period. The report also shows the forecasted outturn for the full year based on current levels of income and expenditure and any known variations to the end of the financial year.

Table 1

**HUMBERSIDE FIRE & RESCUE SERVICE**  
**REVENUE MONITORING SUMMARY STATEMENT 2019/20**  
**1 April 2019 to 30 June 2019 (Period 03)**

	Original Budget £'000	Revised Budget £'000	30 June 2019		Projection £'000	Full Year		Status	Note
			Profile £'000	Actual & Committed £'000		Variance			
						£'000	%		
<b>Employees</b>									
Wholetime	22,980	25,498	6,375	6,477	25,798	300	1.18	Red	1
Retained	4,199	4,602	980	1,016	4,642	40	0.87	Red	1
Non-Operational	6,328	6,439	1,609	1,527	6,239	(200)	(3.11)	Green	1
Other Employee Expenses (Training, Occ Health, Insurance)	1,535	1,535	432	348	1,535	-	-	Green	
<b>Total Pay &amp; Pensions</b>	<b>35,042</b>	<b>38,074</b>	<b>9,396</b>	<b>9,368</b>	<b>38,214</b>	<b>140</b>	<b>0.37</b>		
Premises	2,676	2,676	1,347	871	2,661	(15)	(0.56)	Green	2
Transport	1,664	1,664	447	136	1,664	-	-	Green	
Supplies & Services	3,283	3,283	822	2,104	3,543	260	7.92	Red	3
Support Services	204	204	51	1	204	-	-	Green	
Non Pay Efficiency Savings	(173)	(173)	(43)	-	(173)	-	-	Green	
<b>Total Expenditure</b>	<b>42,696</b>	<b>45,728</b>	<b>12,020</b>	<b>12,480</b>	<b>46,113</b>	<b>385</b>	<b>0.84</b>		
Income	(1,469)	(4,501)	(3,032)	(3,006)	(4,501)	-	-	Green	
<b>Net Expenditure (Ex Capital Charges)</b>	<b>41,227</b>	<b>41,227</b>	<b>8,988</b>	<b>9,474</b>	<b>41,612</b>	<b>385</b>	<b>0.93</b>		
Interest Payable	635	635	-	31	635	-	-	Green	
Interest Receivable	(50)	(50)	(13)	(10)	(50)	-	-	Green	
Accounting Adjustments	1,777	1,777	-	-	1,777	-	-	Green	
Contributions to / (from) Reserves	(13)	(13)	-	-	(13)	-	-	Green	
<b>Net Budget Requirement</b>	<b>43,576</b>	<b>43,576</b>	<b>8,975</b>	<b>9,495</b>	<b>43,961</b>	<b>385</b>	<b>0.88</b>	<b>Red</b>	
<b>Financed By</b>									
Business Rates	(3,476)	(3,476)	(869)	(829)	(3,476)	-	-		
National Non Domestic Rates	(16,830)	(16,830)	(5,876)	(5,876)	(16,830)	-	-		
Precepts	(23,270)	(23,270)	(6,025)	(6,053)	(23,270)	-	-		
	-	-	(3,795)	(3,263)	385	385	-		

Table 2

**HUMBERSIDE FIRE & RESCUE SERVICE**  
**REVENUE MONITORING STATEMENT 2019/20**  
 1 April 2019 to 30 June 2019 (Period 03)

	Original Budget £'000	Revised Budget £'000	30 June 2019		Full Year			Status	Note
			Profile £'000	Actual & Committed £'000	Projection £'000	Variance			
						£'000	%		
<b>Safety</b>									
<b>Expenditure</b>									
Employees									
Wholetime	852	938 *	235	233	964	26	2.77	Red	1
Retained	13	13	3	3	13	-	-	Green	
Non-Operational	2,247	2,247	562	493	2,047	(200)	(8.90)	Green	1
Indirect Employees	48	48	12	22	48	-	-	Green	
Premises	-	-	-	-	-	-	-	Green	
Transport	-	-	-	-	-	-	-	Green	
Supplies and Services	267	267	67	130	237	(30)	(11.24)	Green	3
Non Pay Efficiency Savings	(8)	(8)	(2)	-	(8)	-	-	Green	
<b>Total Expenditure</b>	<b>3,419</b>	<b>3,505</b>	<b>877</b>	<b>881</b>	<b>3,301</b>	<b>(204)</b>	<b>(5.82)</b>		
<b>Income</b>	<b>(101)</b>	<b>(101)</b>	<b>(25)</b>	<b>(104)</b>	<b>(101)</b>	<b>-</b>	<b>-</b>	<b>Green</b>	
<b>Net Expenditure</b>	<b>3,318</b>	<b>3,404</b>	<b>852</b>	<b>777</b>	<b>3,200</b>	<b>(204)</b>	<b>(5.99)</b>		
<b>Fire Fighting &amp; Rescue Operations</b>									
<b>Expenditure</b>									
Employees									
Wholetime	18,236	20,318 *	5,079	5,044	20,436	118	0.58	Red	1
Control	1,227	1,227	307	293	1,227	-	-	Green	
Retained	4,186	4,589 *	977	1,013	4,629	40	0.87	Red	1
Non-Operational	138	138	34	34	138	-	-	Green	
Indirect Employees	70	70	18	13	70	-	-	Green	
Premises	733	733	733	718	719	(14)	(1.91)	Green	2
Transport	-	-	-	-	-	-	-	Green	
Supplies and Services	1,183	1,183	296	828	1,183	-	-	Green	
Non Pay Efficiency Savings	(35)	(35)	(9)	-	(35)	-	-	Green	
<b>Total Expenditure</b>	<b>25,738</b>	<b>28,223</b>	<b>7,435</b>	<b>7,943</b>	<b>28,367</b>	<b>144</b>	<b>0.51</b>		
<b>Income</b>	<b>(358)</b>	<b>(3,215) *</b>	<b>(2,711)</b>	<b>(337)</b>	<b>(3,215)</b>	<b>-</b>	<b>-</b>	<b>Green</b>	
<b>Net Expenditure</b>	<b>25,380</b>	<b>25,008</b>	<b>4,724</b>	<b>7,606</b>	<b>25,152</b>	<b>144</b>	<b>0.58</b>		
<b>Management &amp; Support Services</b>									
<b>Expenditure</b>									
Employees									
Wholetime	2,665	3,015 *	754	907	3,171	156	5.17	Red	1
Non-Operational	3,943	4,054 *	1,013	1,000	4,054	-	-	Green	
Other Pension Costs	607	607	152	38	607	-	-	Green	
Indirect Employees	623	623	156	178	623	-	-	Green	
Employee Related Insurances	187	187	94	97	187	-	-	Green	
Premises	1,943	1,943	614	153	1,942	(1)	(0.05)	Green	2
Transport	1,660	1,660	446	135	1,660	-	-	Green	
Supplies and Services	1,652	1,652	414	1,109	1,942	290	17.55	Red	3
Support Services	199	199	50	-	199	-	-	Green	
Non Pay Efficiency Savings	(130)	(130)	(32)	-	(130)	-	-	Green	
<b>Total Expenditure</b>	<b>13,349</b>	<b>13,810</b>	<b>3,661</b>	<b>3,617</b>	<b>14,255</b>	<b>445</b>	<b>3.22</b>		
<b>Income</b>	<b>(1,010)</b>	<b>(1,185) *</b>	<b>(296)</b>	<b>(2,565)</b>	<b>(1,185)</b>	<b>-</b>	<b>-</b>	<b>Green</b>	
<b>Net Expenditure</b>	<b>12,339</b>	<b>12,625</b>	<b>3,365</b>	<b>1,052</b>	<b>13,070</b>	<b>445</b>	<b>3.52</b>		

Cont...

Table 2 Cont...

**HUMBERSIDE FIRE & RESCUE SERVICE**  
**REVENUE MONITORING STATEMENT 2019/20**  
 1 April 2019 to 30 June 2019 (Period 03)

	Original Budget £'000	Revised Budget £'000	30 June 2019		Projection £'000	Full Year Variance		Status	Note
			Profile £'000	Actual & Committed £'000		£'000	%		
<b>Democratic Representation &amp; Management Expenditure</b>									
Transport	4	4	1	1	4	-	-	Green	
Supplies and Services	148	148	37	31	148	-	-	Green	
<b>Net Expenditure</b>	<b>152</b>	<b>152</b>	<b>38</b>	<b>32</b>	<b>152</b>	<b>-</b>	<b>-</b>		
<b>Corporate Management Expenditure</b>									
Supplies and Services	33	33	8	6	33	-	-	Green	
Support Services	5	5	1	1	5	-	-	Green	
<b>Net Expenditure</b>	<b>38</b>	<b>38</b>	<b>9</b>	<b>7</b>	<b>38</b>	<b>-</b>	<b>-</b>		
<b>Net Expenditure (excluding Capital Charges)</b>	<b>41,227</b>	<b>41,227</b>	<b>8,988</b>	<b>9,474</b>	<b>41,612</b>	<b>385</b>	<b>0.93</b>		
Interest Payable	635	635	-	31	635	-	-	Green	
Interest Receivable	(50)	(50)	(13)	(10)	(50)	-	-	Green	
Accounting Adjustments	1,777	1,777	-	-	1,777	-	-	Green	
Contributions to / (from) Reserves	(13)	(13)	-	-	(13)	-	-	Green	
<b>Net Budget Requirement</b>	<b>43,576</b>	<b>43,576</b>	<b>8,975</b>	<b>9,495</b>	<b>43,961</b>	<b>385</b>	<b>0.88</b>	<b>Red</b>	
<b>Financed by :</b>									
Business Rates	(3,476)	(3,476)	(869)	(829)	(3,476)	-	-	Green	
NNDR	(16,830)	(16,830)	(5,876)	(5,876)	(16,830)	-	-	Green	
Precepts	(23,270)	(23,270)	(6,025)	(6,053)	(23,270)	-	-	Green	
	-	-	<b>(3,795)</b>	<b>(3,263)</b>	<b>385</b>	<b>385</b>			

\* Budgets increased to reflect expenditure and income in relation to the Falls team and other secondments plus increased Firefighter pension contributions rates which have been met by grant from Government.

## Notes

1. This overspend is primarily due to the earlier recruitment of firefighters than was anticipated following the development of the Workforce Plan combined with a slower rate of retirements than expected. In addition to this there are a number of temporary posts to explore collaboration and co-ordinate HMICFRS inspection as well as a number of vacant support role posts.
2. This projected underspend is primarily due to lower business rate charges on our buildings.
3. This projected overspend is a combination of an underspend on smoke alarms as well as the purchase of additional IT equipment and software.

## Capital Statement

This report shows the actual and committed capital expenditure as at 30 June 2019 compared with the adjusted profiled 2019/20 budget for the same period. This report also shows the forecasted outturn for the full year based on current levels of expenditure and any known variations to the end of the financial year.

Table 3

**HUMBERSIDE FIRE & RESCUE SERVICE  
CAPITAL MONITORING STATEMENT 2019/20  
1 April 2019 to 30 June 2019 (Period 03)**

SCHEME	Original Budget £'000	Revised Budget £'000	30 June 2019		Projection £'000	Full Year		Traffic Light Status	Note
			Profile £'000	Actual & Committed £'000		Variance			
						£'000	%		
<b>Building Works</b>									
Invest to Save	-	142	14	-	142	-	-	Green	
Goole	300	400	40	-	400	-	-	Green	
Scunthorpe	400	500	50	-	500	-	-	Green	
Bridlington	-	450	45	-	450	-	-	Green	
BA Training Refurbishment	-	23	2	4	23	-	-	Green	
HQ Phase 2	-	78	8	-	78	-	-	Green	
HQ OTC	-	132	13	-	132	-	-	Green	
Dignity Works	435	671	67	-	671	-	-	Green	
Industrial Training Centre	250	803	80	-	803	-	-	Green	
Co-Location	50	100	10	-	100	-	-	Green	
Cleethorpes	85	85	9	-	85	-	-	Green	
Howden	200	200	20	-	200	-	-	Green	
Block Allocation	80	80	8	-	80	-	-	Green	
	1,800	3,664	366	4	3,664	-	-		
<b>Vehicles</b>									
Operational Vehicles	450	450	45	25	450	-	-	Green	
Support Vehicles	370	499	50	-	499	-	-	Green	
<b>Equipment</b>	69	69	7	-	69	-	-	Green	
<b>PPE</b>	1,000	1,000	100	-	1,000	-	-	Green	
<b>Information Technology</b>	675	926	93	33	926	-	-	Green	
	4,364	6,608	661	62	6,608	-	-		

\* the revised budget includes £2.244m of slippage from the previous year's Capital Programme as agreed by the Fire Authority at its meeting on 28 June 2019.

## Pensions Account Statement

The Authority has a revised budgeted deficit of £11.519m on this account for 2019/20. The deficit for the year is now projected to be £10.458m. This is a result of:

1. Slower rate of retirements has resulted in lower pension payments, lower commutations payments and higher employee and employer pension contributions.

The deficit on this account is financed through the Pensions Top-up Grant given by the Home Office, of which 80% of the grant is expected to be received in July of this year. The Authority has to stand any cash flow losses until the balance of the grant is paid in full in July 2020.

Table 4

**HUMBERSIDE FIRE & RESCUE SERVICE  
PENSIONS ACCOUNT STATEMENT 2019/20  
1 April 2019 to 30 June 2019 (Period 03)**

	Revised Budget £'000	30 June 2019		Projection £'000	Full Year		Note
		Profile £'000	Actual £'000		Variance		
					£'000	%	
<b><u>Expenditure</u></b>							
Pension payments	16,937	5,646	5,297	16,192	(745)	(4.40)	1
Commutations	2,971	743	1,351	2,791	(180)	(6.06)	1
<b>Total Pensions Expenditure</b>	<b>19,908</b>	<b>6,389</b>	<b>6,648</b>	<b>18,983</b>	<b>(925)</b>	<b>(4.65)</b>	
<b><u>Income</u></b>							
Contributions							
Ill Health	(120)	(30)	-	(120)	-	-	
Employee's	(2,429)	(607)	(2,246)	(2,511)	(82)	3.38	1
Employer's	(5,740)	(1,435)	(2,738)	(5,794)	(54)	0.94	1
	<b>(8,289)</b>	<b>(2,072)</b>	<b>(4,984)</b>	<b>(8,425)</b>	<b>(136)</b>	1.64	
Transfer Values	(100)	(25)	(70)	(100)	-	-	
<b>Total Pensions Income</b>	<b>(8,389)</b>	<b>(2,097)</b>	<b>(5,054)</b>	<b>(8,525)</b>	<b>(136)</b>	1.62	
Net Pensions Deficit/(Surplus) To be financed by HO grant	<b>11,519</b>	<b>4,292</b>	<b>1,594</b>	<b>10,458</b>	<b>(1,061)</b>	<b>(9.21)</b>	

## Treasury Management

### Borrowing & Lending Activity

This statement shows the borrowing and lending activities undertaken by the Corporate Finance section of Hull City Council, on behalf of the Service, for the period 1 April 2019 to 30 June 2019 under the terms of the SLA. It also shows any variation between the actual interest received from the temporary investment of surplus monies and the budgeted interest.

Table 5

**HUMBERSIDE FIRE & RESCUE SERVICE  
BORROWING AND LENDING ACTIVITY STATEMENT  
For the Period Ending 30 June 2019**

Ref.	Company	Investment £	From	To	%	Returned	
						Interest £	Investment £
MMF	Deutsche Managed Sterling Fund	1,000,000.00					
MMF	Aberdeen (SL) Liquidity Fund	1,000,000.00					
MMF	Goldman Sachs Liquid Reserve Fund	1,000,000.00					
301671	Thurrock Council	1,000,000.00	01/04/2019	01/05/2019	0.70	575.34	1,000,000.00
301674	DMO	1,400,000.00	21/05/2019	31/05/2019	0.50	191.78	1,400,000.00
301670	BOS	1,500,000.00	29/03/2019	28/06/2019	0.90	3,365.75	1,500,000.00
301676	DMO	1,000,000.00	17/06/2019	28/06/2019	0.50	150.68	1,000,000.00
301672	BOS	500,000.00	20/05/2019	20/08/2019	0.90	1,134.25	-
301673	Barclays	1,000,000.00	20/05/2019	20/08/2019	0.64	1,613.15	-
301675	Thurrock Council	2,000,000.00	07/06/2019	09/09/2019	0.75	3,863.01	-
						<b>10,893.96</b>	
<b>Total Investments at 30 June 2019</b>		<b>6,500,000.00</b>					

**Summary of Interest Receipts**

		Projection £	Actual £	Variance under/(over) £	%
Accumulated interest on Investments to :	30/06/2019	12,501	9,659	2,842	22.74

**Temporary Loans**

Investment £	From	To	%	Interest £
-				-

The total amount temporarily invested at 30 June 2019 is £6.500m.

The balance in the Authority's Liquidity Manager Account (LMA) bank account as at 30 June 2019 is £86,500.20. This account currently accrues interest at 0.10%.

**Movement in Revenue Reserves**

This statement shows the movements on the revenue reserves for the period 1 April 2019 to 30 June 2019.

This statement also gives a projected value of revenue reserves at 31 March 2020 based on the projections in Table 1.

**Table 6**

**HUMBERSIDE FIRE & RESCUE SERVICE  
MOVEMENT IN REVENUE RESERVES  
as at 30 June 2019**

	As at 1 April 2019 £'000	In Year Movements £'000	Projected Balance at 31 March 2020 £'000
General Reserve	5,251	(398) *	4,853
Earmarked Reserves			
Insurance	500	-	500
Change Management	400	-	400
The Ark - National Flood Resilience Centre	1,000	-	1,000
Capital Programme	2,400	-	2,400
Resilience Reserve	300	-	300
ESMCP	338		338
	<u>10,189</u>	<u>(398)</u>	<u>9,791</u>

\*In year contribution to the General Reserve is based on the budgeted contribution to the reserve plus any estimated under/overspend as at 30<sup>th</sup> June 2019.

**Budget Virements (transfer between lines) Processed**

There were no budget virements processed during the period to 30<sup>th</sup> June 2019.



**GAS COMMITTEE SCRUTINY PROGRAMME 2019/20****Background Summary – Effectiveness of the Cost Recovery Model for Emergency Medical Response**

## REPORT EXECUTIVE SUMMARY

This paper provides a background with regard to the Yorkshire Ambulance Service (YAS) model for Emergency Medical Response (EMR) currently being provided within the East Riding of Yorkshire.

The YAS EMR scheme has been in operation since April 2013, initially trialling at Pocklington, the scheme is now in operation at 9 On-Call stations.

This paper provides background information to assist Members conduct scrutiny reviews relating to the effectiveness and benefits of the YAS EMR scheme, specifically:

1. The development of EMR since its inception
2. Assurance with regard to the success of the scheme
3. The effectiveness of the cost recovery model
4. The benefits of EMR
5. Future challenges of EMR
6. Comparative models of EMR in different Fire and Rescue Services
7. Feedback from YAS

## RECOMMENDATIONS

- 1.. That Members consider the content of this report in support of their scrutiny review activity.

## DEVELOPMENT OF EMR SINCE INCEPTION

1. EMR was initially developed in collaboration with YAS in April 2013 and began as a pilot scheme at Pocklington Fire Station.
2. The Fire Brigades Union (FBU) initially opposed the scheme due to their national position on the subject as they believed that this work did not form part of a firefighter's role map. Because of the FBU position the scheme had to be developed with the recruitment of volunteers.
3. The scheme proved successful amongst On Call staff within the East Riding and volunteers were recruited to allow schemes to operate from an initial total of 12 stations; Beverley, Bridlington, Brough, Driffield, Hornsea, Howden, Goole, Market Weighton, Patrington, Pocklington, Snaith & Withernsea.
4. The popularity and success of the model was recognised by other Ambulance and Fire and Rescue Services (FRS) and the scheme was further developed in 2015 within North Lincolnshire in partnership with East Midlands Ambulance Service (EMAS) and an additional 5 FRS: Derbyshire, Lincolnshire, Leicestershire, Nottinghamshire & Northamptonshire. Humberside provided schemes from Crowle, Epworth, Kirton Lindsey & Winterton.
5. The YAS scheme was also further extended in 2015 to include the whole of the Yorkshire Fire and Rescue region: North Yorkshire, West Yorkshire, South Yorkshire and Humberside Fire & Rescue.
6. As a result of the Ambulance Response Programme (ARP) trial in YAS the scheme was suspended in 2016 and reinstated in Humberside in 2017.
7. The YAS scheme has since undergone further review in 2019 and now operates from 9 locations within East Riding. HFRS and YAS are now exploring the possibility of widening the types of calls that responders are mobilised to e.g. RTC.

## ASSURANCE OF SUCCESS OF SCHEME

8. The recent comprehensive revision of the scheme has provided the following documents:
  - a) Memorandum of Understanding (MOU).
  - b) Activation of an Allocation Policy.
  - c) EMR Scope of Practise.
  - d) EMR Role Description.
  - e) EMR Role Specific Assessment.
9. The scheme is supported through Quarterly performance meetings between HFRS and YAS, an action log is produced and performance data from both YAS and HFRS is reviewed.

## EFFECTIVENESS OF THE COST RECOVERY MODEL

10. As part of an overall review of the scheme the cost recovery model was revised in January 2019 in partnership with YAS, the model is now more reflective of actual

costs incurred by HFRS and captures some costs not previously identified e.g. time of control staff.

11. YAS are invoiced automatically on a quarterly basis, we recover all costs incurred charges are calculated based on 3 areas:

- a) Annual for each vehicle involved in the scheme:

<b>Vehicle Cost Recovery</b>	<b>£</b>
Vehicle Capital Cost	£500.00
Vehicle Maintenance	£980.00
Vehicle Insurance	£183.00

- b) Annual charge for the management of the scheme, costs are based on a % of Station and Group Managers salaries:

<b>Management Cost Recovery</b>	<b>£</b>
Management and Co-ordination	£4,516.00

- c) Charge per incident based on the following costs:

<b>Incident Cost Recovery</b>	<b>£</b>
Fuel	£1.20
Incident Reporting System Admin	£5.00
Cost Recovery £35 per incident	£35.00
<b>Total Incident Cost</b>	<b>£41.20</b>

## THE BENEFITS OF EMR

We have identified the following benefits as a consequence of our EMR work:

12. EMR activity within the communities in which we respond has raised the profile of HFRS.
13. Improved the response to medical incidents and health outcomes for YAS patients in the East Riding. HFRS attendance at EMR incidents has increased from 366 (Jan - July 2018) to 771 (Jan-July 2019). As a result of their interventions and attendances at incidents during 2019 HFRS have achieved 5 Return of Spontaneous Circulation (ROSC).
14. It has provided additional resilience to YAS responses in periods of high demand. EMR Cover provided by HFRS has risen from 2.7% (Jan -July 2018) to 26% (Jan-July 2019).
15. Improved working relationships with YAS and helped forge new relationships with other health partners which has led to other health/medical related schemes e.g. Hull FIRST.
16. The scheme has developed strong relationships with YAS which has allowed us to:
- Develop excellent local working relationships particularly at incidents
  - Further develop our Immediate Emergency Care (IEC) training within the Yorkshire Region, IEC training is now linked to EMR and provides a higher level of competency.
  - Discuss the potential for shared estates e.g. Driffield Fire Station

17. Improved IEC skills and confidence in stations who respond to EMR incidents.
18. Evidence suggests that it has improved the recruitment and retention of staff at some On Call stations.

#### FUTURE CHALLENGES FOR EMR

19. EMR was suspended in 2017 due to a revision in how ambulance services respond to incidents, the ARP reduced the number of incident types that originally required an 8-minute response. This change released capacity within YAS's own resources which meant that HFRS assets were no longer required. It was later identified that EMR provided good value for money and improved patient care and outcomes and was still required in several areas within the East Riding. As a result of this work we saw a reduction in the number of EMR schemes from 11 to 9. Further reviews and financial challenges may mean reductions in the future.
20. The Fire Brigades Union (FBU) is currently in negotiation with regard to the widening of a firefighter's role map and the national position is that FBU members should not take part in EMR. Whilst locally relationships are good, and we still maintain a good EMR response this position may change in the future.
21. As a result of the ARP the number and types of calls that EMR responders receive has been drastically reduced which has led to a reduction in the number of responders on On-Call stations. We are currently exploring the potential to widen the call types to the benefit of YAS and HFRS e.g. RTC.

#### COMPARATIVE MODELS OF EMR IN OTHER FRS

22. HFRS was not the first service to provide EMR, other FRS had been providing EMR for a number of years e.g. Lincolnshire & HFRS were the first service though to deliver the model that is still in operation within Humberside today.
23. In HFRS EMR responders respond individually from their home address in a bespoke vehicle to medical incidents within an agreed isochrone of their station areas. Responders are mobilised directly by YAS via mobile phone who then inform our service control, responders continue to communicate with YAS on their progress and are always supported with a YAS response as soon as this is available. This model has proved extremely effective and allows for an expedient and efficient response to medical incidents which doesn't have an impact on fire engine availability.
24. Lincolnshire & Northamptonshire have been providing a co-responding model since circa 2008. These models are Fire Engine based assets are mobilised via respective ambulance trusts. On Call Firefighters respond to their stations before mobilising to incidents in a fire engine which consequently means that fire cover is affected. Whilst the schemes are still in operation and have proved successful, they are more expensive and slower than the HFRS model.
25. Leicestershire FRS respond to incidents via a car from home address with 2 responders which means that when they receive a call they need to collect their partner from a different address prior to mobilising to incidents which obviously causes delays in response to incidents.

#### FEEDBACK FROM YAS

26. The Emergency First Responder partnership with Humberside Fire and Rescue has contributed directly to the quality of patient care and more importantly has saved lives. Firefighters with the skills to respond promptly with confidence to support patient care have supported their local communities throughout East Yorkshire. They

have worked seamlessly with clinicians and Yorkshire Air Ambulance aircrew on scene at a number of challenging incidents. Firefighters have shown themselves more than capable of reassuring patients at their time of greatest need and carrying out life-saving care.

#### STRATEGIC PLAN COMPATIBILITY

28. This paper supports the achievement of Strategic Plan 2018/21 through the provision of independent scrutiny of activity.

#### FINANCIAL/RESOURCES/VALUE FOR MONEY IMPLICATIONS

29. Independent scrutiny contributes towards efficiency review activity.

#### LEGAL IMPLICATIONS

30. None directly arising.

#### EQUALITY IMPACT ASSESSMENT/HR IMPLICATIONS

31. Assessment completed and available. None directly arising.

#### CORPORATE RISK MANAGEMENT IMPLICATIONS

32. Scrutiny of performance provides an assurance that arising risks are being mitigated.

#### HEALTH AND SAFETY IMPLICATIONS

33. None directly arising.

#### COMMUNICATION ACTIONS ARISING

34. GAS Committee papers are publicly available via the HFRS Website.

#### DETAILS OF CONSULTATION

35. SLT regarding scrutiny topics.

#### RECOMMENDATIONS RESTATED

36. That Members consider the content of this report in support of their scrutiny review activity.

**D Collingwood**

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Service Delivery

 07837 290989

Humberside Fire & Rescue Service  
Summergroves Way  
Kingston upon Hull

DC  
04/09/2019



**Governance, Audit and Scrutiny Committee  
16 September 2019**

**Report by the Head of Corporate  
Assurance and Monitoring  
Officer/Secretary**

## **GAS COMMITTEE SCRUTINY PROGRAMME 2019/20**

### **REPORT EXECUTIVE SUMMARY**

This paper summarises the Governance, Audit and Scrutiny Committee's Scrutiny Programme 2019/20. Each year, the Committee will programme four specific, defined scrutiny items complete with scopes in order that relevant officers can focus their reports. Appendix 1 to this report will serve as a point of reference for report-writers and as a 'living document' during the year for the Committee as it considers the scopes for its scrutiny items.

## RECOMMENDATIONS

1. That Members consider and approve the Scrutiny Programme 2019/20.

## PUBLIC SCRUTINY PROCESS

2. Public scrutiny is a corporate process undertaken by the GAS Committee, appointed by the Fire Authority for its breadth of professional experience.

Good public scrutiny can be distilled to a four-stage process:

- **Identifying** areas for scrutiny;
- **Developing** an incisive scope to inform officers' reports (which are published publicly);
- **Asking** questions of relevant officers and fulfilling the role of 'critical friend' in a public forum with the aim of making recommendations for change as appropriate;
- **Monitoring** the progress of the Committee's recommendations.

3. Four areas for scrutiny were identified by the Committee for its 2019/20 programme:

- Effectiveness of the Cost Recovery Model for Emergency Medical Response.
- Training, Promotion and Development for Operational and Non-Operational Staff.
- Business Safety Risk-Based Inspection Programme.
- Effectiveness of the Risk-Based Targeting Strategy.

## STRATEGIC PLAN COMPATIBILITY

6. This paper supports the achievement of Strategic Plan 2018/21 through the provision of independent scrutiny of activity.

## FINANCIAL/RESOURCES/VALUE FOR MONEY IMPLICATIONS

7. Independent scrutiny contributes towards efficiency review activity.

## LEGAL IMPLICATIONS

8. None directly arising.

## EQUALITY IMPACT ASSESSMENT/HR IMPLICATIONS

9. None directly arising.

## CORPORATE RISK MANAGEMENT IMPLICATIONS

10. Scrutiny of performance provides an assurance that arising risks are being mitigated.

## HEALTH AND SAFETY IMPLICATIONS

11. None directly arising.

## COMMUNICATION ACTIONS ARISING

12. GAS Committee papers are publicly available via the HFRS Website.

## DETAILS OF CONSULTATION AND/OR COLLABORATION

13. SLT regarding scrutiny topics.

## RECOMMENDATIONS RESTATED



## GAS Committee Scrutiny Programme 2019/20

Meeting Date	Responsible Officer	Item and Scope
16 September 2019	<b>Paul McCourt</b>	<p><b>Effectiveness of the Cost Recovery Model for Emergency Medical Response.</b></p> <ul style="list-style-type: none"> <li>• How has EMR developed since its inception?</li> <li>• How can the Committee be assured that EMR is a successful venture?</li> <li>• How effective has the Cost Recovery Model been?</li> <li>• What are the benefits of EMR (in relation both to residents of Humberside and HFRS itself)?</li> <li>• What challenges does EMR face in the future?</li> <li>• How does the Service's EMR model compare to those of other fire and rescue services?</li> <li>• How does Yorkshire Ambulance Service view the EMR provision?</li> </ul>
11 November 2019	<b>Miriam Heppell</b>	<p><b>Training, Promotion and Development for Operational and Non-Operational Staff.</b></p> <ul style="list-style-type: none"> <li>• What are processes are currently in place in relation to training, promotion and development for operational and non-operational staff?</li> <li>• Is provision for operational and non-operational staff equitable?</li> <li>• How does the Service intend to address HMICFRS' comments regarding difficulty in accessing training and development for non-operational staff?</li> <li>• How will the Service ensure that its development and promotion processes for operational staff are equitable and consistent?</li> </ul>
21 February 2020	<b>Steve Topham</b>	<p><b>Business Safety Risk-Based Inspection Programme.</b></p> <ul style="list-style-type: none"> <li>• The most recent HMICFRS inspection report states: "While the service responds to consultations, building regulation requests and complaints, it doesn't target its protection work on its greatest risks. The service can't carry out its risk-based inspection programme to the expectations set out in its IRMP because it doesn't have enough qualified staff."</li> <li>• How does the Service intend to improve its Risk-Based</li> </ul>

		<p>Inspection Programme?</p> <ul style="list-style-type: none"> <li>• There remain concerns around the impact of false alarms on service delivery; how can this be addressed?</li> <li>• How will the Service ensure that it has the capacity and skills to deliver the Programme?</li> </ul>
6 April 2020	<b>Steve Topham</b>	<p><b>Effectiveness of the Risk-Based Targeting Strategy.</b></p> <ul style="list-style-type: none"> <li>• How is public protection activity targeted according to risk and intelligence?</li> <li>• What systems does the Service use to undertake its risk-based targeting activities?</li> <li>• How does the Service gather the intelligence necessary to target intervention effectively?</li> <li>• How does the Service respond to referrals for intervention that would not necessarily result in action according to the Risk-Based Targeting Strategy?</li> </ul>