

Fire & Rescue Service Headquarters Summergroves Way Kingston upon Hull HU4 7BB
Telephone 01482 565333

To: Members of the Governance, Audit and Scrutiny Committee	Enquiries to: Samm Campbell Email: committeemanager@humbersidefire.go.uk Tel. Direct: (01482) 393205 Date: 7 June 2022
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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 **WEDNESDAY 15 JUNE 2022 at 10.00AM** at HUMBERSIDE FIRE & RESCUE SERVICE HEADQUARTERS, SUMMERGROVES WAY, KINGSTON UPON HULL, HU4 7BB.

Public and press attendance at meetings

Due to current social distancing requirements, a **maximum of 4 people** will be permitted entry to the public gallery - **places must be booked in advance** by contacting the Committee Manager on the contact details above.

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
<u>Procedural</u>			
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. Election of the Chairperson	-	Monitoring Officer/ Secretary	

Business	Page Number	Lead	Primary Action Requested
4. Minutes of the meeting of 11 April 2022	(pages 1 - 4)	Chairperson	To approve
5. Matters arising from the Minutes, other than on the Agenda	-	Chairperson	To raise
<u>Governance</u>			
6. Update: Matters Arising/ Feedback from Fire Authority	verbal	Chairperson and Monitoring Officer/ Secretary	To consider and make any recommendations to the HFA
<u>Finance and Performance</u>			
7. Draft Annual Anti-Fraud and Corruption Statement 2020/21	(pages 5 - 9)	Director of Service Improvement	To consider and make any recommendations to the HFA
8. HMICFRS Inspection Update	verbal	Director of Service Improvement	To consider and make any recommendations to the HFA
<u>Scrutiny Programme</u>			
9. Draft GAS Committee Scrutiny Programme 2022/23	(pages 12 - 15)	Monitoring Officer/Secretary	To approve
10. Any Other Business	-	All Members	To raise

Under the Openness of Local Government Bodies Regulations 2014 members of the public may film, record, take photographs or use social networking during Authority and committee meetings that are open to the public. *The Monitoring Officer/Secretary kindly requests advance warning from anyone wishing to film, record or take photographs during open meetings so that suitable provision can be made.*

HUMBERSIDE FIRE AUTHORITY
GOVERNANCE, AUDIT AND SCRUTINY COMMITTEE

11 APRIL 2022

PRESENT: Independent Co-opted Members Chris Brown, Jim Doyle, Pam Jackson, Kathryn Lavery and Gerry Wareham.

Councillor Briggs and Councillor Green attended as observers.

Phil Shillito - Deputy Chief Fire Officer/Executive Director of Corporate Services, Christine Cooper - Executive Director of People and Development, Matthew Sutcliffe - Temporary Director of Service Improvement, Ruth Gilmour - Head of Human Resources, Sam O'Connor - Head of Organisational Development, Martyn Ransom - Head of Finance, Simon Rhodes - Head of Corporate Assurance, Lisa Nicholson - Monitoring Officer/Secretary, and Sam Campbell - Committee Manager were also present. Andy McCulloch - Internal Audit (TIAA) attended remotely.

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

PROCEDURAL

In the absence of a chairperson, the Monitoring Officer/Secretary assumed the chair and asked Members for nominations for a chairperson for the current meeting. Jim Doyle was elected as chairperson for the meeting.

(Jim Doyle in the chair)

28/22 APOLOGIES FOR ABSENCE - There were no apologies for absence.

29/22 DECLARATIONS OF INTEREST - Kathryn Lavery declared a non-pecuniary interest insofar as she is the Chair of Yorkshire Ambulance Service's Board.

30/22 MINUTES - *Resolved* - That the minutes of the meeting of the Committee held on 7 March 2022 be confirmed as a correct record.

31/22 MATTERS ARISING FROM THE MINUTES, OTHER THAN ON THE AGENDA - There were no matters arising from the minutes.

GOVERNANCE

32/22 UPDATE: MATTERS ARISING/FEEDBACK FROM FIRE AUTHORITY - The Monitoring Officer/Secretary provided feedback on items considered by the Fire Authority at its meeting of 11 March 2022.

Resolved - That the update be received.

33/22 DRAFT ANNUAL GOVERNANCE STATEMENT 2021/22 - The Temporary Director of Service Improvement submitted a report summarising the draft Annual Governance Statement for 2021/22.

The Annual Governance Statement 2021/22 would accompany the Authority's audited accounts and had been submitted to the Committee for consideration. The Statement covered three key functions of the Service: economy, efficiency and

effectiveness. The Committee made a series of recommendations for changes to the Statement.

Resolved - (a) That all of the documents cited within the Statement be hyperlinked within it for ease of reference;

(b) that reference be made within the Statement to gender pay gap and the associated governance processes;

(c) that the reference within the Statement to the Service's whistle-blowing procedures be strengthened;

(d) that the Statement include references to the Service's General Data Protection Regulation duties, and

(e) that the Statement include references to the Service's assurance processes concerning emergency preparedness.

34/22 FIRE AUTHORITY MEMBER CODE OF CONDUCT - The Monitoring Officer/Secretary submitted a report summarising the revised Fire Authority Member Code of Conduct.

The Fire Authority was required to adopt a Code of Conduct in order to set expectations for the conduct of Members of the Fire Authority and its committees (including co-opted Members). The content of the Code needed to be consistent with the seven principles of public life (the Nolan Principles). Following a series of workshops and consultation processes in recent months, the Local Government Association had produced a revised model code of conduct and the Fire Authority was due to consider amending its Code of Conduct accordingly at its meeting due to be held on Friday 29 April 2022.

Resolved - (a) That the role of chairpersons be defined within the Code, particularly with regard to declarations of interest;

(b) that the Code be revised to clarify the consequences of a breach of the Code of Conduct;

(c) that the term 'councillors' be replaced within the code to reflect the fact that it applies to Members of the Fire Authority and its committees (including co-opted Members), and

(d) that reference be made to the Nolan Principles within the Code but that they not be included in full.

Audit

35/22 DRAFT INTERNAL AUDIT REPORT 2021/22 - Andy McCulloch (TIAA) presented the draft Internal Audit Report 2021/22.

One of the individual audit reports remained in draft form awaiting management comments, but no substantial changes to the draft Internal Audit Report 2021/22 were expected prior to its receipt by the Fire Authority at its meeting due to be held on 29 April 2022. During the audit period, TIAA had issued the following assurances: two substantial, six reasonable and one limited. TIAA had issued the following recommendation: one urgent, 14 important and eight routine. The Head of Internal Audit's annual opinion was as follows:

TIAA is satisfied that, for the areas reviewed during the year, Humberside Fire & Rescue has reasonable and effective risk management, control and governance processes in place.

This opinion is based solely on the matters that came to the attention of TIAA during the course of the internal audit reviews carried out during the year and is not an opinion on all elements of the risk management, control and governance processes or the ongoing financial viability or your ability to meet financial obligations which must be obtained by the Service from its various sources of assurance.

Resolved - That the draft Internal Audit Report 2021/22 be received.

FINANCE AND PERFORMANCE

36/22 MANAGEMENT ACCOUNTS FOR THE PERIOD ENDING 28 FEBRUARY 2022 - The Head of Finance submitted the Management Accounts for the period ending 28 February 2022.

The Service was forecasting an underspend of £1m in its revenue budget. The capital account was also underspent as a result of the fact that many of the Service's capital schemes had been hindered by difficulties in the procurement of materials. The deficit in the pension account would, as usual, be reimbursed by the Home Office.

Resolved - That the Management Accounts for the period ending 28 February 2022 be received.

SCRUTINY PROGRAMME

37/22 ANTI-BULLYING CAMPAIGN (PROGRESS UPDATE) - The Executive Director of People and Development submitted a report in response to the scope within the Committee's Scrutiny Programme for 2021/22.

The Service was inspected by HMICFRS in 2018 and subsequently developed its Service Improvement Plan, incorporating areas for improvement identified both by the Strategic Leadership Team and HMICFRS. The Service had revised its policies and begun an anti-bullying campaign. The Dignity at Work Policy had been subject to consultation, agreed with the Fire Brigades Union, and implemented in October 2019. The Dignity at Work Policy defined bullying:

"Bullying is characterised as offensive, intimidating, malicious or insulting behaviour, an abuse or misuse of power through means that undermine, humiliate, denigrate or injure the recipient."

This definition had been directly informed by that of the Advisory, Conciliation and Arbitration Service (ACAS), which was used in Employment Tribunal cases. The Dignity at Work Policy had also been subject to consultation, agreed with the Fire Brigades Union, and implemented in October 2019. The Service had also procured and implemented the Employee Assistance Programme (Minute 94/20 refers), which included 24/7 support for staff members, and mandatory training to improve awareness with regard to bullying. Staff were also regularly reminded of the ways in which they could report bullying.

Formally reported incidents of bullying within the Service, while infrequent, were always treated seriously and investigated thoroughly. Mediation was usually offered by trained members of staff from the Service's Human Resources (HR) department in order to prevent the escalation of any problematic behaviours. Data relating to grievances and disciplinary matters were routinely uploaded to the Firewatch system, which also fed into the

Service's bespoke tracking software and monitored by HR. The data did not, at the time of the meeting, reveal any concerning patterns.

During its inspection of the Service in 2018, HMICFRS had conducted an open staff survey, which had been followed by another in August 2020, the summarised results of which had been appended to the report submitted to the Committee at its meeting on 5 July 2021. Since then, the Service had conducted a survey which indicated that the percentage of respondents who reported having felt bullied or harassed had reduced from 26 percent (of 246 respondents) in 2018/19 to 5.5 percent (of 54 respondents) in 2021. Allegations of bullying in the organisation were infrequent but had continued to be treated and investigated thoroughly. The Service sought to address most issues through mediation in order to intervene early and repair relationships before employees felt the need to pursue a formal grievance. The Committee asked how many trained mediators the Service had and heard that six had been trained in 2021, bringing the total number of operational mediators to 10.

The Committee asked why comments from relevant employee unions had not been included in the report. No comments had been received from the unions despite their having been given more than three weeks to respond. However, the Joint Consultative Committee had not expressed any concerns.

The Committee cited organisational culture issues in other emergency service organisations and asked how it could be assured that the Service's reported progress in relation to bullying and harassment were representative of the whole organisation and that employees felt able to report issues. The Deputy Chief Fire Officer explained that he felt that the report accurately reflected the progress made by the Service as a result of significant changes to its management approach in the previous five years, using extensive training programmes to introduce supportive leadership and corporate decision-making. The Service had hosted leadership forums to focus on issues such as those faced by the London Metropolitan Police. The formation of Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS) to introduce a formal process of accountability had also driven improvements locally and nationally.

Resolved - (a) That Committee take assurance from the progress made by the Service in relation to bullying and harassment, and

(b) that, due to the steady decline of staff reporting feeling bullied or harassed and with the organisational support in place, Human Resources and Occupational Health to continue to monitor and report alongside other normal employee relations performance reports.

38/22 GAS COMMITTEE SCRUTINY PROGRAMME 2022/23 - The Committee Manager submitted a report summarising the longlist of topics for the Committee's consideration as part of its Scrutiny Programme 2022/23.

Resolved - That a scrutiny programming workshop be held in May 2022 and the Committee's draft Scrutiny Programme be submitted to the meeting due to be held on 15 June 2022.

39/22 ANY OTHER BUSINESS - There was no other business.

Governance, Audit and Scrutiny Committee
15 June 2022

**Report by the Director of Service
Improvement and Monitoring Officer**

DRAFT ANTI-FRAUD AND CORRUPTION STATEMENT 2021/22

REPORT EXECUTIVE SUMMARY

An annual Anti-Fraud and Corruption Statement is produced in response to recommendations within an Internal Audit review of Counter Fraud Arrangements conducted during 2016/17. The Statement covers key actions taken throughout the reporting year to provide an assurance of the processes in place.

The Governance Audit and Scrutiny Committee conducted Scrutiny of anti-fraud and corruption measures in 2018.

RECOMMENDATIONS

1. Members are asked to review the draft Anti-Fraud and Corruption Statement 2021/22 and make any recommendations to the Fire Authority as necessary.

BACKGROUND

2. Members are reminded that an Internal Audit Review of Counter Fraud Arrangements was conducted, by Mersey Internal Audit, during the third quarter of 2016/17. Related Service Policies are reviewed annually, in conjunction with the GAS Committee. These include:

- Whistleblowing
- Anti- Bribery
- Anti - Money Laundering
- Anti-Fraud and Corruption

Members also receive assurances through the Annual Governance Statement.

3. The outcomes of the audit review, including a number of recommendations and agreed actions, were reported to the GAS Committee 10 April 2017. A specific recommendation was received that the Chief Fire Officer and Chief Executive should publish a formal statement of the Fire Authority's commitment to anti-fraud, bribery and corruption measures. The Statement, based upon the Audit Commission checklist for councillors and others responsible for governance, is included at Appendix A.

STRATEGIC PLAN COMPATIBILITY

4. This report supports good governance arrangements, which is an enabler for the Strategic Plan.

FINANCIAL/RESOURCES/VALUE FOR MONEY IMPLICATIONS

5. None arising directly.

LEGAL IMPLICATIONS

6. None arising directly.

EQUALITY IMPACT ASSESSMENT/HR IMPLICATIONS

7. None arising directly.

CORPORATE RISK MANAGEMENT IMPLICATIONS

8. None directly arising

HEALTH AND SAFETY IMPLICATIONS

9. None directly arising.

COMMUNICATION ACTIONS ARISING

10. This Statement will be published on the HFRS website following approval by the Fire Authority.

DETAILS OF CONSULTATION AND/OR COLLABORATION

11. The Executive Leadership Team and members of the Governance, Audit and Scrutiny Committee have been consulted in the preparation of this Statement.

BACKGROUND PAPERS AVAILABLE FOR ACCESS

12. Nil.

RECOMMENDATIONS RESTATED

13. Members are asked to review the draft Anti-Fraud and Corruption Statement for 2021/22 and make any recommendations to the Fire Authority as necessary.

M SUTCLIFFE

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

15 June 2021

**HUMBERSIDE FIRE AUTHORITY
DRAFT ANTI-FRAUD AND CORRUPTION STATEMENT 2021/22**

Introduction

1. Humberside Fire Authority (HFA) is committed to the highest possible standards of integrity, openness, probity and accountability. The management of the risk of fraud and corruption and ensuring that effective counter fraud arrangements are in place are key elements of Corporate Governance.
2. Our Communities expect the HFA to conduct its affairs with integrity, honesty, openness and to demand the highest standards of conduct from those working for it.
3. The HFA recognises that sound systems of public accountability are vital to effective management and to maintain confidence in the Service and is committed to protecting the public funds entrusted to it. This Anti-Fraud & Corruption Statement outlines the HFA's commitment to creating an anti-fraud culture and maintaining high ethical standards in its administration of public funds. A culture of honesty and openness is a key element in tackling fraud.
4. In order to prevent, discourage and detect fraud, the Authority has in place and will continue to develop appropriate controls and procedures. These are inter-related and are designed to frustrate fraud or corruption. They cover culture, prevention, detection and training.
5. Actions around Fraud, Corruption and Bribery form part of the Authority's commitment to robust governance arrangements.

Key Actions during 2021/22

6. Existing policies and strategies are reviewed on an ongoing basis and annually in conjunction with the Governance Audit and Scrutiny Committee. The policies listed below are current and are published on the HFRS Website <https://humbersidefire.gov.uk/about-us/our-policies>:
 - a) Anti-Fraud & Corruption Policy
 - b) Whistleblowing Policy
 - c) Anti-Bribery Policy
 - d) Anti-Money Laundering Policy
7. Following an internal review, TIAA were commissioned to carry out an investigation into the suspected misappropriation of items of equipment. This investigation and an internal review was carried out between January and May 2021. The investigation resulted in a criminal prosecution. Changes to working practices have been made, based upon recommendations arising from the investigation and review.

8. One Whistleblowing allegation was received during 2021/22 and was dealt with in accordance with the Whistleblowing Policy.
9. There has been no other attempted fraud, bribery or corruption identified during 2021/22. However, the organisation remains vigilant and constantly reviews the operating environment.

Assurance

10. The Authority has comprehensive crime insurance arrangements in place. This cover is for all employees and third parties up to £500k.
11. Two Members of the GAS Committee have responsibility to represent GAS on independent scrutiny of measures to combating fraud across the Authority.
12. Arrangements are in place to utilise Internal Audit if required to investigate suspected cases of fraud.
13. We periodically draw to the attention of staff the relevant policies. This is usually through messages in payslips and entries in internal communications.
14. We maintain our knowledge, assurance and best practice to deal with current fraud risks and issues through our relationship with Internal Audit. We also receive and disseminate alerts via our Internal Auditors (TIAA).
15. We challenge ourselves through Internal and External audit provision to ensure our procedures are robust and current.
16. We continue to fully participate in the Cabinet Office's National Fraud Initiative (NFI) and receive reports on the outcomes.
17. We have appropriate arrangements in place that encourage staff to raise their concerns. The Whistleblowing Policy and distribution of literature around the Protect Service further support our internal actions.

Signed:

Chair of the Humberside Fire Authority

Chief Fire Officer and Chief Executive

Governance, Audit and Scrutiny Committee 15 June 2022	Report by the Monitoring Officer/Secretary
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GAS COMMITTEE SCRUTINY PROGRAMME 2022/23

REPORT EXECUTIVE SUMMARY

This paper summarises the Governance, Audit and Scrutiny Committee's Scrutiny Programme 2022/23. Each year, the Committee will programme six 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 2022/23.

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.
3. Five areas for scrutiny were identified by the Committee for its 2022/23 programme:
 - Procurement
 - Equality, Diversity and Inclusion - Equality Impact Analysis
 - Fire Standards
 - Emergency Response Business Continuity
 - General Data Protection Regulation

STRATEGIC PLAN COMPATIBILITY

6. This paper supports the achievement of Strategic Plan 2021-24 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

14. That Members consider and approve the Scrutiny Programme 2022/23.

**S CAMPBELL
M BUCKLEY**

Officer Contact: Samm Campbell ☎ 01482 393205
 Committee Manager

 Mathew Buckley ☎ 01482 567174
 Secretary/Monitoring Officer

Humberside Fire & Rescue Service
Summergroves Way
Kingston upon Hull

SC
June 2022

GAS Committee Scrutiny Programme 2022/23		
Meeting Date	Responsible Officer	Item and Scope
4 July 2022	Director of Service Improvement	Fire Standards <ul style="list-style-type: none"> • Origin of fire standards. • Current fire standards. • Likely future fire standards. • Impact of fire standards on service delivery and quality. • Timeliness of adoption of new fire standards. • Impact on policy and strategy (particularly the Service Improvement Plan, Strategic Risk Register and Community Risk Management Plan). • Embedding changes introduced by fire standards (including reference to training and examples of the process of embedding fire standards). • Reporting on performance in relation to fire standards. • Assurance for Members around adoption and performance in relation to fire standards. • Impact of major incidents on fire standards.
5 September 2022	Director Emergency Response	Emergency Response Business Continuity <ul style="list-style-type: none"> • Business continuity arrangements (including crews and control). • Role of the East Coast Control Room. • Planning for industrial action. • The right to strike in the light of State of Fire and Rescue recommendations. • Impact of the White Paper. • Arrangements with the Fire Brigade Union (including reference to planning, co-production and the Joint Consultative Committee). • Arrangements with partner organisations.

		<ul style="list-style-type: none"> • Training for staff and volunteers.
14 November 2022	Executive Director of Finance/Section 151 Officer	Procurement <ul style="list-style-type: none"> • Assurance around compliance, ethics and value for money. • Calculation of value for money. • Environmental and climate considerations. • Safeguarding considerations and ethical requirements in relation to contractors. • Prioritisation of local procurement and weighting in the procurement process (with particular reference to capital projects). • Joint procurement - how it has worked in the past and impacts on ethics and standards. • Research and development procurement. • Potential standardisation of procurement nationally and the impact of guidance like the Fire Standards. Revenue expenditure compared to capital expenditure.
23 January 2023	Executive Director of People and Development	Equality, Diversity and Inclusion - Equality Impact Analysis <ul style="list-style-type: none"> • Criteria for the use/requirement of Equality Impact Analyses (EIA) (including the relevant policies as background papers). • Training for managers/writers (with particular reference to the decision not to undertake an EIA). • Publication of EIA. • Quality assurance of EIAs. • Impact of EIAs on decisions and how they are followed up. • Learning from individual EIA outcomes.
20 February 2023	Director of Service Improvement	General Data Protection Regulation <ul style="list-style-type: none"> • State of GDPR in the Service in relation to action plan developed with East Riding of Yorkshire Council. • Assurance for Members that the Service is compliant with GDPR. • Awareness of GDPR across the Service (including training). • Key risks and vulnerabilities. • Collecting, processing and storing of data. • Response standards in relation to freedom of information and subject access requests. • Controls on devices and use of data. • Reporting of GDPR breaches and learning from breaches (including a summary of the nature of breaches)

		and any identified patterns).
10 April 2023	TBC	Topic to be decided following the publication of the HMICFRS inspection report in summer 2022.