



Agenda for the Meeting of the Audit and Governance Committee

Thursday, 28th January 2021

At

6.30 pm

The Royal Berkshire Fire Authority's Audit and Governance Committee is being held online in accordance with the Local Authorities and Police and Crime Panels (Coronavirus_ (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) regulations 2020.

The Authority supports the principles of openness and transparency. To enable members of the press and public to see or hear the meeting, this meeting will be livestreamed:

<https://www.youtube.com/user/RoyalBerkshireFRS>

For further information regarding this meeting, please contact:

Committee Team

0118 938 4611

E-Mail at committeeteam@rbfrs.co.uk

Headquarters, Newsham Court, Pincents Kiln, Calcot, Reading, Berkshire RG31 7SD



MEETING: Audit and Governance Committee Meeting
DATE AND TIME: Thursday, 28th January 2021, at 6.30 pm
REMOTE MEETING: <https://www.youtube.com/user/RoyalBerkshireFRS>

S U M M O N S

You are hereby summoned to attend the meeting of the Royal Berkshire Fire Authority at the time, date and venue indicated above, when it is proposed to deal with the business set out in the enclosed Agenda.

A handwritten signature in black ink, appearing to read 'Graham Britten'.

GRAHAM BRITTEN
Monitoring Officer

To: Members of the Audit and Governance Committee:

Councillor Christine Bateson	Councillor Tony Linden
Councillor Jane Stanford-Beale	Councillor Harjinder Minhas
Councillor Dennis Benneyworth	Councillor Garth Simpson
Councillor Christine Hulme	Councillor Simon Werner
Councillor Tina McKenzie-Boyle	

Copy to: Senior Leadership Team (SLT), Royal Berkshire Fire and Rescue Service



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AGENDA

1. Apologies for Absence

2. Declarations of Interest

Purpose:

To receive Declarations of Interest from Councillors relating to items to be considered at the meeting, in accordance with the provisions of the Fire Authority's Local Code of Conduct, and any from Officers.

3. Minutes of the Meeting held on 3 November 2020 (Pages 5 - 16)

Recommendation:

That the Minutes of the meeting held on 3 November 2020, be confirmed as a correct record and signed by the Chairman.

4. Consideration of any matters properly referred to this Committee for decision

Recommendation:

Members to note that there have not been any matters properly referred to this Committee for decision.

5. Internal Audit Update (Pages 17 - 42)

Purpose:

To note the findings as presented in RSM's Progress Report.

6. External Audit Update (Pages 43 - 44)

Purpose:

To note the update from the External Auditor.

7. Code of Ethics for Fire and Rescue Service (England) Presentation

Purpose:

To receive for note the Code of Ethics for Fire and Rescue Service (England) Presentation.

8. Complaints, Comments and Compliments Policy and Procedure (Pages 45 - 56)

Purpose:

To approve the Complaints, Comments and Compliments Policy and Procedure.

9. Royal Berkshire Fire Authority - Pay Policy Statement 2021/2022 (Pages 57 - 74)

Purpose:

To recommend the Pay Policy Statement 2020/21 to Fire Authority for approval, subject to any amendments made by the Committee.

10. Local Pensions Board - Annual Report (Pages 75 - 80)

Purpose:

To note the contents of the report including activities undertaken by Royal Berkshire Fire and Rescue Service, the Pension Administrator and the Local Pensions Board.

11. Quarter Two Performance Report for 2020/21 (Pages 81 - 130)

Purpose:

To receive for note an overview of the Royal Berkshire Fire and Rescue Service second quarter (July to September 2020) performance for the 2020/21 financial year.

12. Date of next meeting

Wednesday, 31 March 2021, at 6.30pm. The press and press will be able to watch this meeting on Royal Berkshire Fire and Rescue Service YouTube page. <https://www.youtube.com/user/RoyalBerkshireFRS>

MINUTES OF THE MEETING OF THE AUDIT AND GOVERNANCE COMMITTEE



Held on Tuesday, 3rd November 2020, at 6.30 pm
This was a remote meeting.

- Members:** (*present)
- * Councillor Christine Bateson
 - * Councillor Jane Stanford-Beale
 - Councillor Dennis Benneyworth
 - * Councillor Christine Hulme
 - * Councillor Tina McKenzie-Boyle
 - * Councillor Tony Linden
 - Councillor Harjinder Minhas
 - * Councillor Garth Simpson
 - Councillor Simon Werner
 - * Councillor Colin Dudley

- In Attendance:**
- Mark Arkwell (Assistant Chief Fire Officer, ACFO)
 - Paul Binyon (Area Manager Response and Resilience, AM R&R)
 - Andrew Brittain (External Auditor, Ernst Young)
 - Graham Britten (Monitoring Officer, MO)
 - Alex Brown (Head of Capital Projects and Estates, HCP&E)
 - Doug Buchanan (Area Manager Prevention and Protection, AM P&P)
 - Conor Byrne (Head of Finance and Procurement, HF&P)
 - Becca Chapman (Data, Performance and Risk Manager)
 - Steve Foye (Deputy Chief Fire Officer, DCFO)
 - Allison Kennett (External Auditor, Ernst Young)
 - James Pinchin (Business Support Officer, BSO)
 - Fayth Rowe (Democratic Support Lead, DSL)
 - Nikki Richards (Director of Support Services, DSS)
 - Hannah Sheehan (Democratic Support Assistant, DSA)
 - Tony Vincent (Head of Business and Information Systems, HBIS)

Action

15. APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillor Minhas and Councillor Benneyworth.

16. DECLARATIONS OF INTEREST

There were no Declarations of Interest from Councillors relating to items to be considered at the meeting, in accordance with the provisions of the Fire Authority’s Local Code of Conduct, and any from Officers.

17. MINUTES OF THE MEETING HELD ON 30 JULY 2020

RESOLVED that the Minutes of the meeting held on 30 July 2020, be approved as a true and correct record and signed by the Chairman.

18. CONSIDERATION OF ANY MATTERS PROPERLY REFERRED TO THIS COMMITTEE FOR DECISION

There were none received.

19. EXTERNAL AUDIT REPORT

Conor Byrne, Head of Finance and Procurement (HF&P), introduced the report. He reported Ernst & Young (EY) would provide a verbal update regarding the delay in signing off the 2019/20 Statement of Accounts, Appendix A was the letter Audit and Governance Chairman wrote to EY on the Committee's behalf, in opposition of the proposed fee increase, and Appendix B was the response to the Chairman's letter from Andrew Brittain, setting out the various reasons for the fee increase. Conor Byrne added that the Chairman's letter to EY had been forwarded to Public Sector Audit Appointments (PSAA).

Allison Kennett from EY stated that the delay in the signing off the Statement of Accounts for 2019/20, was due to EY awaiting confirmation of audited Berkshire Pension Fund accounts from Deloitte, and that EY had been informed that this would not happen until the end of January 2021. Once the letter has been received a final review of the Statement of Accounts for 2019/20 will be conducted by Andrew Brittain.

Andrew Brittain gave an overview of the proposed fee increase and stated that the PSAA set the fees a long time ago and that the fees had not been revised since. Andrew explained that his letter, in response to the Audit and Governance Chairman, outlined why the fee increase was necessary.

The Vice-Chairman asked EY to comment on why the proposed fee increase was almost 100%, when other firms were between 15-25%. Allison Kennett stated the reason was that EY do a quality Audit, with all Audits being of good standard. Andrew Brittain added the Financial Reporting Council (FRC) highlighted EY's areas of best practice, in particular with pensions. This was reflected in the work required around pensions and proposed fee increase.

Councillor Hulme asked that in EY's response letter, one of the reasons for the proposed fee increase was the increase in risk, why was this not identified earlier, as a gradual fee increase would have benefitted the Authority. Andrew Brittain explained that this was reflected in the PSAA reporting and that there has been an increase in risk numbers and additional scope of work, therefore, the baseline figure required changing. He reported this is due to audits which EY thought were one offs, were now ongoing.

The Chairman asked when in January 2021, EY was expecting to receive the letter from Deloitte. Allison Kennett stated that she was unable to confirm the date in January 2021.

Councillor Bateson stated that after last year's delays you would have expected Deloitte to resolve the issues, however it is the same one year on. Andrew Brittain reported that EY engaged with Deloitte early on to understand a timetable, which was subsequently changed. He explained that he did not believe that the delay was related to the same issues as last year. Andrew Brittain confirmed EY will continue to engage with Deloitte to receive updates on the underlying issues.

The Vice-Chairman asked for the time period for EY to complete works in order for the Accounts to be signed off. Andrew Brittain stated it was dependant on what was contained within the letter, as last year a number of significant adjustments were highlighted. He advised that if the letter was received with no significant issues, it could be turned around quickly.

The Chairman proposed the recommendations set out in the report at 2.1 and 2.2, Councillor Bateson seconded the proposal.

RESOLVED that:

- The update from the External Auditor be noted;
- The contents of the letter sent by the Committee Chairman to EY regarding their proposed fee increase (Appendix A) and EY's response (Appendix B) be noted.

20. BUDGET AND MEDIUM FINANCIAL PLAN ASSUMPTIONS PRESENTATION

Conor Byrne, Head of Finance and Procurement (HF&P), gave a presentation on the Budget and Medium Financial Plan Assumptions. The presentation looked at the impact COVID-19 could have on Royal Berkshire Fire and Rescue Service (RBFRS) funding streams, in particular Council Tax and Business Rates. This was set out in a number of Revenue Budget funding scenarios.

The Settlement Funding Assessment was made up of the Government's calculation of baseline Business Rates and General Government Grants. The assumption for the Settlement Funding Assessment was no increase in 2021/22, which would remain £10.399m.

Council Tax Assumptions - an increase of 1.99% in the precept based on last year's referendum principles. Conor Byrne advised this would generate an additional £475k. He reported Council Tax base growth had been disappointing over the last few years. Annual growth in the Council Tax base had fallen from 2.6% in 2017/18 to 1.36% in 2020/21. Based on this, the assumption for Council

Tax base growth for 2021/22 was 1%.

Pay Awards - Each 1% increase in pay costs £250k. Assumption for pay awards in the current year was 2%. The actual 2020/21 Green Book award turned out to be 2.75%. The assumption for pay awards for 2021/22 was 2.5%

Pension Costs - We have seen a big hike in firefighter pension contributions. Since April 2019, Firefighter pension contributions have increased from 17.6% to 30.2%. To offset this additional pension cost, an annual grant of £1.7m has been received from the Home Office. Currently this has been agreed on a rolling one year basis. The assumption is that this grant will continue into 2021/22. There are likely to be significant future pension costs as a result of the McCloud judgement, and, as part of Royal Berkshire Fire Authority (RBFA) pension consultation response, Members have asked for additional burdens to be funded by the Government. Currently any additional pension costs have not been built into these scenarios.

Financing of Capital Expenditure - In terms of capital expenditure RBFA was implementing Phase One of the Strategic Asset Investment Framework (SAIF). Phase One was currently affordable but this was on the basis that RBFA pushed the rebuilding of Caversham Road Fire Station into Phase Two of the SAIF. Conor Byrne reported that if we were to progress with Phases Two, Three and Four, we would need an additional £3m per year. Being one of the lowest precepting Authorities has limited RBFA's ability to invest in assets and to implement SAIF, and will require a step change in funding.

Council Tax Scenario's - A 2% loss in Council Tax would amount to £475k, 4% £950k and a 6% loss £1.4m.

Business Rates scenario's - Similar percentage losses of income would have less impact: e.g. a 2% loss would amount to just over £100k. However, the likelihood of losses arising from Business Rates seems to be much higher than for Council Tax.

Revenue Budget Shortfalls - A 2% impact on the collection fund would lead to a budget deficit of £1.1m, 4% would be £1.7m and 6% would be £2.3m. Adding in a permanent reduction in Business Rates of 6% would result in a budget shortfall of £2.7m

The Vice-Chairman stated that he had the opportunity to speak to the MP for Newbury regarding concerns over finances and she asked that the Fire Authority provide further information. He reminded Members that it was important they lobby MPs for a 'Fiver for Fire', in order to maintain the Service we wish to provide.

Councillor Bateson asked a question regarding whether consideration had been taken of pay awards in relation to the Council Tax increase. Conor stated that in terms of budget, assumptions have to be made around pay and pay increases were agreed nationally.

The Chairman proposed that Members note the presentation and Councillor Linden seconded the proposal.

RESOLVED that the item be noted.

If you would like a copy of the presentation please contact committeeteam@rbfrs.co.uk.

21. EMERGENCY SERVICES MOBILE COMMUNICATIONS PROGRAMME PRESENTATION

Tony Vincent, Head of Business and Information Systems (HBIS), gave a presentation on the Emergency Services Mobile Communication Programme.

The Emergency Services Mobile Communications Project (ESMCP) was the National Programme within the Home Office that will deliver the new Emergency Services Network – known as the ESN.

It will replace the current Airwave network with a wireless coverage mobile data network enabling handheld, vehicle and airborne devices to communicate with each other and with a control room, such as Thames Valley Fire Control Service (TVFCS). The Programme is intended to deliver an end to end solution that incorporates all the necessary access gateways, protocols for operation and services to ensure the network, systems and devices are supported.

Airwave was established in 2000, and went live in 2004. The infrastructure is aging and due for decommission in 2019, when ESN was due to have been in place based on the original transition plan.

With the ESN delay, Airwave has been extended requiring significant investment – indicated at approximately £1m per day by the Programme. It remains resilient but at significant expense in its own right and when compared to comparable daily costs of the ESN system when this becomes operational.

RBFRS has been working to the National Programmes timeline for all emergency services being moved to ESN by November 2024, with the Fire Sector being one of the later services to transition. There is a desire in the National Programme to bring this transition date forward to mid-2023, in part to end the need to pay for two systems concurrently.

The biggest issue in the current timeline of late 2024, is that there is no contingency in the plan. It was reassuring that the new Programme Director recognises this is an unrealistic position. We also note some slippage showing in critical path activities and, when combined with the lack of contingency, results in low confidence in the current plan.

Our core planning assumption remains for RBFRS to transition to ESN no sooner than 6 months after service is fully live, and no later than 12 months before Airwave turn-off.

Transition will be co-ordinated with our Thames Valley partners and TVFCS through South Central regional engagement, in order to minimise overall risk during the transition phase.

Based on current Programme indications this means our window of transition would appear to be between Q1 2022 – Q4 2023, assuming the Programme remains with the shutdown date of Q4 2024.

This timeline will be monitored so any upgrade can be managed around other TVFCS developments. Current intention is to complete transition to ESN before any future major Control Room replacement process.

It is important to recognise that Airwave continues to operate without any discernible performance issues and the Programme has already committed to maintaining the system until such time as ESN is in place. It is the costs associated with this that is driving the Programme to get to as early an adoption as possible of ESN.

Officers will provide a further update in the spring of 2021, following publication of the full business case.

Councillor Stanford-Beale asked if the Programme was five years later than expected, how the Authority will afford the new system. Tony Vincent stated that the Programme will be several years late when delivered. Also that the Programme was fully funded by the Government up to the point of deployment and there was no indication of what this ongoing cost will be post deployment. He stated that guidance from the National Programme has always been that ongoing cost would be lower overall, but that the details concerning fire and rescue services are still unconfirmed at this time.

Councillor Stanford-Beale asked whether it will be difficult to adopt a system without knowing the cost. Steve Foye, Deputy Chief Fire Officer (DCFO) responded by stating we were not currently in a position of adoption but are working on principle of supporting the Programme and an appropriate provision.

Councillor Bateson asked whether many Fire Authorities already have the system in place. Tony Vincent explained that some of the products were available and some fire and rescue services were currently trialling them. He advised RBFRS will not be adopting earlier products until the prime product was available. The full product was not available so no other fire and rescue service have it.

Councillor Bateson then asked whether we had been networking with other Authorities, to be compatible with them. Tony Vincent replied, through detailed planning within the Thames Valley their usage will be comparable with RBFRS, therefore, we will move forward as one unit, staying aligned during the process.

If you would like a copy of the presentation please contact committeeteam@rbfrs.co.uk

Councillor McKenzie-Boyle proposed that the Committee note the presentation,

Councillor Simpson seconded the proposal.

RESOLVED that the item be noted.

22. URGENT LATE ITEM - NFCC LETTER TO EMERGENCY SERVICES MOBILE COMMUNICATIONS PROGRAMME (ESMCP) RE FULL BUSINESS CASE

Steve Foye, DCFO, presented the report and asked the Committee to note the letter from the National Fire Chief Council (NFCC) Strategic Lead for Operational Communications attached at Appendix A. He reported the letter refers to the current review by the National Programme of the Draft Full Business Case (FBC) for the Emergency Services Programme. The latest draft was going through the review and approve process within the Home Office and was expected to go to Ministers in February 2021.

The current Draft FBC presents four options for the future of ESMCP. The Draft FBC put less emphasis on Options One and Two, with both leading to the on-going maintenance of the Airwave provision and the ongoing cost of Airwave in comparison to the future on-going cost of the ESN. If Options Three (a) or Three (b) were supported, there was an economic benefit of achieving the earliest possible transition from Airwave to ESN. Maintaining both systems concurrently creates additional cost, therefore if ESN was the preferred option, the Programme want to transition to ESN and shutdown Airwave in the shortest safest timeframe possible.

Paragraphs 3.7-3.11 of the report detail the NFCC stance on ESMCP. The NFCC support ESN as the best strategic fit for the future of emergency services communications, but without assumptions and other information behind option Three (a) or Three (b), the NFCC was not able to offer a firm view or assurance around either option.

Paragraph 3.12 highlights that RBFRS Officers were content to support the matters raised in the NFCC letter of 20 October 2020.

Paragraph 3.13 details that NFCC has been working with the Local Government Association (LGA) to identify how the LGA can provide a single voice into the Programme. The Audit and Governance Committee on behalf of the Fire Authority has previously registered the concerns of the National Programme. As a result, representatives from the Programme met with Members on 4 July 2019.

Steve Foye reassured the Committee that the concerns of the Authority were known and Officers will regularly update Members during the Programme.

The Chairman stated that an update was welcome and thanked Steve Foye and Tony Vincent for their comprehensive updates. She proposed that the Committee note the item, Councillor Linden seconded the proposal.

RESOLVED that the item be noted.

23. ANNUAL GOVERNANCE STATEMENT

Nikki Richards, Director of Support Services (DSS), provided a brief overview of the report and stated that Audit and Governance Committee was responsible for ensuring business was conducted in accordance with legislation. She also reminded Members that the report was a backward look at 2019/20.

The Chairman proposed that Members agree the Annual Governance Statement 2019/20, and Councillor Simpson seconded the recommendation.

Resolved that the Annual Governance Statement 2019/20 be agreed.

24. LOCAL GOVERNMENT ETHICAL STANDARDS: COMMITTEE ON STANDARDS IN PUBLIC LIFE

Graham Britten, Monitoring Officer (MO) introduced the report. In referring to page 53, he highlighted the letter from the Committee on Standards in Public Life written to all Local Authorities in England, which recommended 15 best practice recommendations, alongside 26 further recommendations. An audit was carried out to identify ways in which the 13 applicable best practice recommendations were already in place or could be implemented into RBFA's Members Code of Conduct and standards processes.

Appendix B lists RBFA's audit findings. The report recommend further changes to the Code of Conduct are delayed until a further review can be conducted once the LGA's draft model code of conduct have been determined.

Councillor McKenzie-Boyle proposed the recommendations set out in the report at 2.1 and 2.2. Councillor Stanford-Beale seconded the recommendation.

RESOLVED that:

- The Committee recommend that the Authority note the findings and actions from the audit against the best practice recommendations made by the Committee on Standards in Public Life in its January 2019 report (Appendices A and B);
- The Committee recommend the Authority agree:
- The Code of Conduct be reviewed on an annual basis commencing 2021/22; and where possible take into account the views of the public, community organisations, and neighbouring and appointing authorities;
- in any review of the Code of Conduct:
- the outcomes of the LGA's consultation on its draft Code of Conduct be

taken into account;

- the prohibition on ‘harassment’ be added to the prohibition of bullying;
- definitions and examples of both bullying and of harassment be included;
- the requirement on Members to comply with any formal standards investigation be included;
- the requirement to comply with the Authority’s protocol on Gifts and Hospitality be included;
- The procedure for handling allegations under the Code of Conduct be amended to include:
- A non-exhaustive list of public interest factors which will be taken into account at the filtering stage of a complaint; and
- Confirmation that where a decision has been made on an allegation of misconduct following formal investigation, a decision notice will be published as soon as possible on its website.

25. AMENDMENTS TO CONTRACT AND FINANCIAL REGULATIONS

Conor Byrne, HF&P, presented the report. Conor reminded the Committee that the Contract and Financial Regulations were last approved in 2017, and was good practice to review and update the Regulations on a regular basis. The amendments fall into two categories; to further improve the effectiveness of our internal controls, and to reduce the administrative burden of our control processes where possible. He then outlined the changes to Contract Regulation in paragraphs 3.4-3.13 of the report, and the changes to Financial Regulations in paragraphs 3.14-3.18.

Councillor Bateson stated that the changes seemed sensible and it should make contracts quicker to gain and asked whether the contract situation will change once the United Kingdom (UK) has left the European Union.

Conor explained that guidance had been delayed, however, regulations will be adopted into law from 1 January 2021, and further amendments will be made in time in order to be compliant going forward.

In answer to a question from the Chairman, Conor stated as well as the Authority’s three Statutory Officers, the internal controls and processes were audited regularly to ensure RBFA were as efficient as possible.

Councillor McKenzie-Boyle proposed recommendations 2.1 and 2.2 and

Councillor Linden seconded the motion.

RESOLVED that:

- The contents of the report be noted.
- The Committee recommend to the Fire Authority:
- the amended Contract Regulations as set out in Appendix A be agreed;
- the amended Financial Regulations as set out in Appendix B be agreed and
- the linked amendment to the Scheme of Delegation for the Chief Fire Officer / Chief Executive as set out in paragraph 3.16 be agreed.

26. EMPLOYEE CODE OF CONDUCT

Nikki Richards, DSS, informed the Committee that its Terms of Reference require them to approve and monitor the effectiveness and outcomes, relating to a number of the Authority's policies. This included 'Governing the conduct of employees of the Authority' (CO39b).

A review and rewrite of the Employee Code of Conduct had been undertaken and was presented for consideration and approval by the Committee. Appendix A show the Draft Code of Conduct. The document brings together an overview of the expectation the organisation places on individuals.

The development of the Employee Code of Conduct was benchmarked across a range of organisations and the revised version makes the information more accessible to all stakeholders. The Employee Code of Conduct contributed to the RBFRS People Strategy, and was aligned with the Behavioural Competency Framework.

The Chairman proposed recommendation 2.1 and Councillor Bateson seconded the recommendation.

RESOLVED that the revised Employee Code of Conduct be approved.

27. QUARTERLY PERFORMANCE REPORT - QUARTER 1

Becca Chapman, Data and Performance Manager, introduced the report. She stated that Quarter One demonstrated progress against the Annual Plan Objectives. She also explained that the format of the Quarterly Performance Report had been revised but contained the same transparency and welcomed any feedback on the new format of the report.

The Chairman stated that it was a fantastic report and the new format was much more manageable. The Vice-Chairman agreed that the new format was better and highlighted the fact that there were very few red scores. He also stated that it was helpful that an abbreviation list was provided following the meeting.

Councillor Simpson highlighted the high score in COVID-19 impact and asked whether we were confident in managing the risk. Nikki Richards explained that an initial risk score, a current score and a treated score had been assigned. She also stated that COVID-19 was an evolving picture and had the potential to be of high impact; such as, losing staff to self-isolation. However, there were actions in place to monitor staff and the Service, while managing the risk.

Councillor Simpson stated that Safe and Well visits had reduced and ask if this would create a problem for the Service. Steve Foye explained that during Quarter One only the most vulnerable received visits, as carrying out the usual number of visits was deemed not appropriate, this was constantly under review. Teams also made visits where there had been a threat of arson, and numbers of these visits had increased during Quarter One.

The Chairman stated that considering the circumstances the number of Safe and Well visits completed was pretty good. She highlighted that the lack of working time lost was excellent and said well done to all staff. The Vice-Chairman echoed the Chairman's thanks to all staff.

Councillor McKenzie-Boyle proposed recommendations 2.1-2.5, Councillor Linden seconded the proposal.

RESOLVED that;

- The performance against Service Provision and Corporate Health measures for the targets agreed by the Fire Authority for 2020/21 be noted.
- The progress made on the two priority programmes be noted.
- The position of corporate risk be noted.
- The new format of the report and provide feedback be considered.

28. DATE OF NEXT MEETING

Thursday 28 January 2021, at 6.30pm. The public will be able to watch this meeting on Royal Berkshire Fire and Rescue Service YouTube page.

(The meeting concluded at 20:22)

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ROYAL BERKSHIRE FIRE AUTHORITY



COMMITTEE	AUDIT & GOVERNANCE COMMITTEE
DATE OF MEETING	28 JANUARY 2021
SUBJECT	INTERNAL AUDIT UPDATE
LEAD OFFICER	CONOR BYRNE, HEAD OF FINANCE AND PROCUREMENT
LEAD MEMBER	n/a
EXEMPT INFORMATION	NONE
ACTION	FOR NOTE

1. EXECUTIVE SUMMARY

- 1.1 The Committee will receive an update on audits completed since the last Committee meeting.

2. RECOMMENDATION

- 2.1 The Committee is requested to **NOTE** the findings as presented in RSM's Progress Report.

3. REPORT

- 3.1 The Progress Report is attached as **Appendix A** and shows that three audits have been completed since the last Committee meeting. The audits reviewed controls in relation to Fleet Management, Firefighter Pension Administration and Payroll.
- 3.2 RSM issued its highest assurance opinion for all three audits stating that, "the Committee can take substantial assurance that the controls upon which the organisation relies to manage the identified areas are suitably designed, consistently applied and operating effectively."
- 3.3 A representative from RSM will attend the meeting to update Members.

4. CONTRIBUTION TO STRATEGIC COMMITMENTS

- 4.1 Commitment 5 – We will ensure that Royal Berkshire Fire and Rescue Service provides good value for money.

5. FINANCIAL IMPLICATIONS

- 5.1 The work of the internal auditors assures Members that the Authority's finances are in good order.

6. LEGAL IMPLICATIONS

- 6.1 In accordance with Public Sector Internal Audit Standards, the Head of Internal Audit is required to provide an annual opinion, based upon and limited to the work performed, on the overall adequacy and effectiveness of the organisation's risk management, control and governance processes. The opinion should contribute to the Authority's Annual Governance Statement.

7. EQUALITY AND DIVERSITY IMPLICATIONS

- 7.1 None.

8. RISK IMPLICATIONS

- 8.1 The internal audit programme aims to identify key risks and report on the effectiveness of controls and mitigating actions.

9. CONSISTENCY WITH DUTY TO COLLABORATE

- 9.1 Internal audits will consider how the Authority is meeting this requirement where applicable.

10. PRINCIPAL CONSULTATION

- 10.1 No issues for statutory officers.

11. BACKGROUND PAPERS

- 11.1 2019/20 Internal Audit Plan.

12. APPENDICES

- 12.1 **Appendix A** 2020/21 Progress Report

13. CONTACT DETAILS

- 13.1 Conor Byrne - Head of Finance and Procurement
Email: byrnec@rbfrs.co.uk
Tel: 07585 991602

ROYAL BERKSHIRE FIRE AND RESCUE SERVICE

Internal Audit Progress Report

For the Audit and Governance Committee on 28th January 2021

This report is solely for the use of the persons to whom it is addressed.
To the fullest extent permitted by law, RSM Risk Assurance Services LLP
will accept no responsibility or liability in respect of this report to any other party.

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Agenda Item 5
Appendix A

Introduction

The internal audit plan for 2020/21 was approved by the Audit & Governance Committee at the 30th July 2020 meeting. This report provides an update on progress against that plan and summarises the results of our work to date.

As the developments around Covid-19 will continue to impact on all areas of the organisation’s risk profile, we will continue to work closely with management to deliver an internal audit programme which remains flexible and ‘agile’ to ensure it meets your needs in the current circumstances.

Reports

1.1 Summary of final reports being presented to this committee

This section summarises the reports that have been finalised since the last meeting.

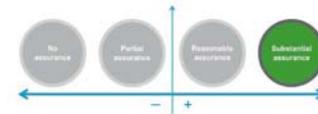
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Assignment	Opinion issued	Actions agreed		
		L	M	H

Fleet Management 1.20/21

Our review found controls are in place to ensure that all red-fleet vehicles are maintained to ensure they remain fit for purpose. Notably, we identified a signed JWA is in place between RBFRS and HFRS, which clearly specifies the roles and responsibilities of the two parties. Our review also confirmed the effectiveness of controls in place to ensure that complete fleet records are maintained via the Tranman system, with no omissions identified.

We also confirmed clear scheduling processes are in place for carrying out maintenance and safety inspections and where these had been completed, they had been authorised as appropriate. Our review also included consideration of invoicing and budgetary arrangements, where no issues were identified.



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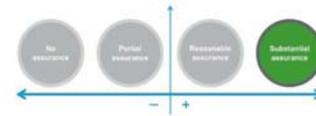
Appendix A
Agenda Item 5

Assignment	Opinion issued	Actions agreed		
		L	M	H

Firefighter Pension Administration 2.20/21

Our review concluded that there were robust controls in place covering pension administration at WYPF and that these controls are being followed in practice. These included the use of policies and procedures, the processes for starters, leavers and retirees, monitoring of overpayments, payment runs and reconciliations. We also confirmed that robust controls were in place for changes to tax codes and Voluntary Scheme Pays (VSP), Mandatory Schemes Pays (MSP), and Annual Allowance (including Tapered allowances).

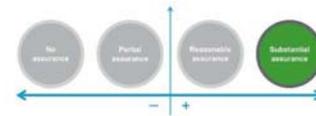
We noted that one action that had been agreed in 2018/19 and restated in 2019/20 in relation to succession planning. This action remained in progress at the time of this audit



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Dataplan

Our review confirmed that the controls in place at Dataplan are robust and are complied with in practice covering the policies and procedures, access rights, exception reporting, leavers and amendments and Year End documentation. We did note one exception which resulted in the agreement of a low priority management action whereby the source documentation for one new starter was not visible in the corresponding 'checked' folder, and so we could not confirm that this amendment had been independently reviewed but we did confirm that the member of staff and request for change was genuine.



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1.2 Themes arising from control observations

Theme*	Low	Medium	High
Planning	0	0	0
Policies and / or procedures	0	0	0
Non-compliance with policies / procedures	0	0	0
Design of the control framework	0	0	0
Training / awareness for staff	0	0	0
Management or performance information	0	0	0
Lack of segregation of duties	1	0	0
Security	0	0	0
Governance weaknesses	0	0	0
Information technology	0	0	0
Sucession Planning	1	0	0
Total	2	0	0

* The themes arising above relate to the finalised 2020/21 reports only

Appendix A – Progress against the internal audit plan 2020/2021

Assignment and Executive Lead	Status / Opinion issued	Actions agreed			Actual Audit & Governance Committee
		L	M	H	
Fleet Management 1.20/21 Andy Mclenahan, Head of Facilities, Fleet & Equipment		0	0	0	January 2021
Firefighter Pension Administration – WYPF 2.20/21 Head of Finance and Procurement Deputy Head of Finance and Procurement		1	0	0	January 2021
Payroll Provider – DataPlan 3. 20/21 Head of Human Resources and Learning and Development		1	0	0	January 2021
Cyber Essentials Head of Business Information and Systems	Draft report issued 11 th January 2021				(March 2021)
Capital Projects*	Commencing 18 th January 2021				(March 2021)
Risk Management and Governance	Commencing 27 th January 2021				(March 2021)

Assignment and Executive Lead	Status / Opinion issued	Actions agreed			Actual Audit & Governance Committee
		L	M	H	
Key Financial Controls	Commencing 9 th February 2021				(March 2021)
Performance Development (Appraisals)*	Commencing 7 th June 2021				(July 2021)
		Total	1	0	0

* dates changed at the request of management due to COVID-19

Appendix B – Other matters

Changes to the audit plan

Note	Auditable area	Reason for change
1	General: Internal Audit start dates.	At the request of management and as demonstrated in Appendix A, two audits have been delayed by management to have a later start date (due to Covid19), which has impacted on the dates that these will be presented to the Audit & Governance Committee meeting.

Annual Opinion 2020/21

The Audit and Governance Committee should note that the assurances given in our audit assignments are included within our Annual Assurance report. The Committee should note that any negative assurance opinions will need to be noted in the annual report and may result in a qualified or negative annual opinion. We have not issued any negative opinions to date in 2020/21 and therefore anticipate issuing an unqualified opinion at the year end.

Information and briefings

There has been three Emergency Services client briefing issued since the last Committee meeting, copies have been provided to Officers and can be provided to Members on request:

- RSM Business Continuity Planning – COVID-19 – November 2020
- Emergency Services New Briefing – December 2020
- Managing Risks in a Changing Environment - Analysis of fire and rescue service risk registers

Quality assurance and continual improvement

To ensure that RSM remains compliant with the IIA standards and the financial services recommendations for Internal Audit we have a dedicated internal Quality Assurance Team who undertake a programme of reviews to ensure the quality of our audit assignments. This is applicable to all Heads of Internal Audit, where a sample of their clients will be reviewed. Any findings from these reviews being used to inform the training needs of our audit teams. The Quality Assurance Team is made up of; the Head of the Quality Assurance Department (FCA qualified) and an Associate Director (FCCA qualified), with support from other team members across the department. This is in addition to any feedback we receive from our post assignment surveys, client feedback, appraisal processes and training needs assessments.

Post assignment surveys

We are committed to delivering an excellent client experience every time we work with you. Your feedback helps us to improve the quality of the service we deliver to you. Currently, following the completion of each product we deliver we attached a brief survey for the client lead to complete. We would like to give you the opportunity to consider how frequently you receive these feedback requests; and whether the current format works. Options available are 1) After each review (current option), 2) Monthly / quarterly / annual feedback request or 3) Executive lead only, or executive lead and key team members.

For more information contact

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The matters raised in this report are only those which came to our attention during the course of our review and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. Actions for improvements should be assessed by you for their full impact. This report, or our work, should not be taken as a substitute for management's responsibilities for the application of sound commercial practices. We emphasise that the responsibility for a sound system of internal controls rests with management and our work should not be relied upon to identify all strengths and weaknesses that may exist. Neither should our work be relied upon to identify all circumstances of fraud and irregularity should there be any.

Our report is prepared solely for the confidential use of Royal Berkshire Fire & Rescue Service and solely for the purposes set out herein. This report should not therefore be regarded as suitable to be used or relied on by any other party wishing to acquire any rights from RSM Risk Assurance Services LLP for any purpose or in any context. Any third party which obtains access to this report or a copy and chooses to rely on it (or any part of it) will do so at its own risk. To the fullest extent permitted by law, RSM Risk Assurance Services LLP will accept no responsibility or liability in respect of this report to any other party and shall not be liable for any loss, damage or expense of whatsoever nature which is caused by any person's reliance on representations in this report.

This report is released to you on the basis that it shall not be copied, referred to or disclosed, in whole or in part (save as otherwise permitted by agreed written terms), without our prior written consent.

EXECUTIVE SUMMARY- FLEET MANAGEMENT

Why we completed this audit

With the use of secure portals for the transfer of information, and through electronic communication means, remote working has meant that we have been able to complete our audit and provide you with the assurances you require. It is these exceptional circumstances which mean that 100 per cent of our audit has been conducted remotely.

As part of the agreed internal audit plan for 2020/21, we conducted a review of Fleet Management to allow the Service to take assurance around whether sufficient processes are in place for scheduling periodic inspections of red fleet (response vehicles). We also considered the arrangements in place relating to quarterly recharges to the maintenance partner Hampshire Fire and Rescue Service (HFRS) whom the Service share a Joint Working Agreement (JWA) as well as the budget monitoring practices followed around budget management.

The JWA was effective from 1 April 2019 and the purpose of the agreement is to enable the Partners to share their expertise, reduce costs and deliver best value in the public interest. As part of the agreement HFRS provide the Fleet Maintenance where inspections and vehicle maintenance is carried out for both RBFRS and HFRS as well as the Isle of Wight Fire and Rescue Service (not considered as part of this review).

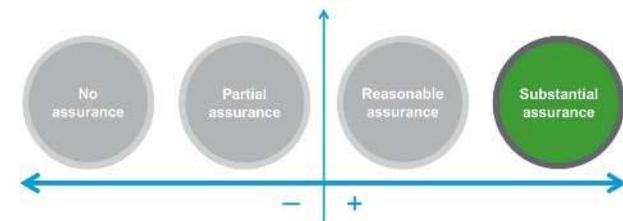
Quarterly fleet inspections are carried out on all red-fleet vehicles, with these made up of three quarterly (safety) and one annual (maintenance) inspections, carried out by HFRS technicians based at the Fleet Maintenance Centre.

Conclusion

Our review found controls are in place to ensure that all red-fleet vehicles are maintained to ensure they remain fit for purpose. Notably, we identified a signed JWA is in place between RBFRS and HFRS, which clearly specifies the roles and responsibilities of the two parties. Our review also confirmed the effectiveness of controls in place to ensure that complete fleet records are maintained via the Tranman system, with no omissions identified. We also confirmed clear scheduling processes are in place for carrying out maintenance and safety inspections and where these had been completed, they had been authorised as appropriate. Our review also included consideration of invoicing and budgetary arrangements, where no issues were identified.

Internal audit opinion:

Taking account of the issues identified, the Service can take substantial assurance that the controls upon which the organisation relies to manage this area are suitably designed and consistently applied.



Key findings

We noted the following controls to be adequately designed and operating effectively:

Joint Working Agreement (JWA)

RBFRS share a JWA with HFRS in the shared provision of fleet maintenance to share their expertise, reduce costs and deliver best value in the public interest. As part of the agreement HFRS provide fleet maintenance where inspections and vehicle maintenance is carried out for both RBFRS and HFRS.



We obtained a copy of the JWA and confirmed it had been signed by each party on 10 April 2019 for a period no longer than five years. Further review of the JWA confirmed this detailed information about matters such as principles of collaboration, obligations on the partners in relation to staff and equality & diversity. We also found that the agreement included the relevant roles and responsibilities of each partner, the recharge process as well as the assets and premises to be provided by each party.

Asset Register reconciliation

The Tranman System is used to monitor, manage and organise the Service's red and white (non-response) fleet. We obtained a copy of the Service's asset register, which specified the red-fleet vehicles as at 31 March 2020 and reconciled this against a report from Tranman which detailed 47 individual fleet vehicles. This confirmed completeness of the records maintained within the Tranman system along with our reconciliation of the completeness of Tranman records, with no exceptions identified.



Scheduling of inspections

Quarterly fleet inspections are carried out on all red-fleet vehicles, made up of three quarterly safety and one annual maintenance inspection. They are carried out by HFRS technicians based at the Fleet Maintenance Centre. To ensure red-fleet vehicles are subject to the above inspections, annual schedules for each inspection type are developed in October or November, with any necessary adjustments made ahead of the calendar year. The Fleet Manager advised that the annual scheduling process is automated by the Tranman system, with the Deputy Fleet Manager responsible for sense-checking before sending on to the Workshop Manager and the Fleet Manager. Review of an email sent (dated 2 January 2020), from the Deputy Fleet Manager of HFRS, to the Workshop Manager and the Fleet Manager of RBFRS confirmed that they had provided inspection schedules for the annual and the quarterly safety inspection for the forthcoming calendar year.



Completeness of Annual Schedules

Based on the quarterly and annual schedules sent at the beginning of the year, we identified a total of 49 red fleet vehicles. For 47 of the 49 red-fleet vehicles, inspections were scheduled to take place on a quarterly basis, typically 91 days apart. We identified two fleet vehicles which were not included within the scheduling process and identified that these vehicles are government owned fleet and have been allocated to the Authority, with the responsibility of maintenance and inspections lying with the government's fleet management operation.



Overdue Inspections

Our review identified a total of six inspections (two of which related to annual inspections) which were overdue, with these due to take place between 25 October and 5 November 2020. We were advised by the Fleet Manager that due to reduced capacity of the Fleet Maintenance Centre (due to COVID-19 related safety precautions), these inspections had been delayed.



In relation to the two annual services required, we were advised by the Fleet Manager that safety (three-monthly) inspections had been completed in the interim to allow the vehicles to remain operational. Review of the job cards relating to these two interim inspections confirmed that they had taken place on 11 November 2020 and they had been signed off by the relevant technicians. For each of the remaining four overdue inspections (all 12-weekly), we identified that these were scheduled to take place in November and December 2020, which we confirmed by review of the associated schedules and further review confirmed that all inspections had been appropriately conducted

Issue of Schedules



On a monthly basis, the Deputy Fleet Manager reviews maintenance schedules to ensure any changes required are recognised as such. Our review confirmed that schedules for the months of October, November and December 2020 had been shared by the Deputy Fleet Manager with the Fleet Maintenance Controller from RBFS; the Workshop Manager from HFRA; the Maintenance Controller from HFRA; the Senior technicians and the Administrative department both from HFRA. Review of the monthly emails containing the maintenance schedule for the upcoming month issued confirmed that these were all sent 28 days or 29 days in advance of the first inspection commencing, allowing administrative staff enough time to ensure maintenance goes ahead as planned.

Authorisation of Job Forms



Where quarterly or annual inspections are carried out, an inspection job completion form is completed, documenting the works carried out, those who had carried out the work and those who had authorised the work as complete. For a sample of 10 red-fleet vehicles we obtained the latest signed job completion form for each of our sample and confirmed in each case that the details of each inspection had been accurately input into the Tranman system, including the date of the inspection and the inspection type. We also identified that each of the 10 forms had been signed as completed by the relevant technicians including the Allied Trades Technician, the Electrical Technician, Mechanical Technician and the Senior Quality Assurance Officer, where applicable.

Invoicing and Recharges



As per the JWA, costs incurred by either of the partners in respect of work carried out on the other partner's behalf may be recharged. We identified a total of five invoices which had been paid to HMFRS across the last two quarters by RBFRS. For each of the five invoices, we obtained the associated email trail where a cost summary had been shared with the Head of Facilities, Fleet and Equipment Management. Further discussion with the Head identified that RBFRS are then responsible for reviewing the breakdown of costs to provide themselves (and the Service) with assurance that all costs incurred are appropriate.

We also obtained the associated purchase order for each of the abovementioned five invoices, confirming in each case these had been raised and authorised with a clear segregation of duties. In each case, the authoriser had been the Head of Facilities, Fleet & Equipment or the Director of Service Delivery, in line with systems' based delegated authority. Review of the associated invoice confirmed that the amount billed agreed to the amount noted within the purchase order.

Budgeting



Monthly budget meetings are held between the Finance Manager and Head of Facilities, Fleet and Equipment in relation to the Fleet Management budget. The purpose of the meetings are to identify and discuss variances between the annual budget and actual spend, with these documented within the SAGE budget monitoring module.

We also obtained screenshots of the budget monitoring module relating to the Fleet Management associated budget codes (E21-321) for the last two months (September and October 2020) and confirmed that these reports detailed actual performance against the forecasted budget for the month.

Our review of the screenshots relating to the months of September and October 2020 confirmed that variances present were clearly displayed, with explanations given for adverse variances above £6000. For the same period, we identified four other variances between the budgeted and actual expenses ranging £100 and £4000 that have not had any explanations given. After inquiring with the Head of Fleet Managements, we noted that written explanations are not given on small variances, whilst these may be discussed verbally.

As per the October 2020 budget monitoring, a forecast adverse variance of £20,977 for the year ended 31 March 2020 had been identified, with this representing a 1.52 per cent overspend against the full year budget of £1,380,760.

EXECUTIVE SUMMARY- FIREFIGHTER PENSION ADMINISTRATION – WEST YORKSHIRE PENSION FUND

Background:

With the use of secure portals for the transfer of information, and through electronic communication means, remote working has meant that we have been able to complete our audit and provide you with the assurances you require. It is these exceptional circumstances which mean that 100 per cent of our audit has been conducted remotely.

An audit of the Firefighter Pension Administration was undertaken as part of the approved internal audit plan for 2020/21. The pension administration processes for Royal Berkshire Fire and Rescue Services (herein referred to as RBFRS) are carried out by an external service provider, West Yorkshire Pension Fund (WYPF), and have been since April 2016. The initial contract term between RBFRS and WYPF ran until 3 January 2019, with an option to extend for a further two years, which was invoked, with the renewal due in May 2021. Plans are in place to renew this contract during 2021.

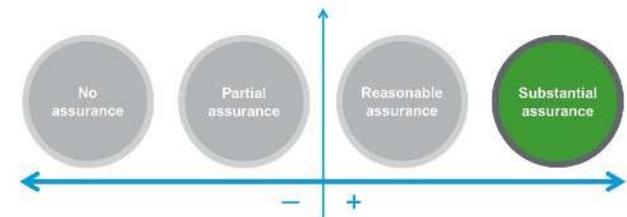
RBFRS has three pension schemes in progress which are administered through WYPF; the 1992, 2006 and 2015 Firefighters Pension Schemes. The 1992 scheme was replaced for new members by the 2006 scheme in April 2006, and the 2006 scheme was replaced by the 2015 scheme in April 2015. There are also a very small number of staff members aligned to the special modified pension scheme. In the current financial year, no new starters began on the above pension schemes, and all were enrolled in the Local Government Pension Scheme, administered through the Berkshire Pension Fund.

Conclusion:

Our review concluded that there are robust controls in place covering pension administration at WYPF and that these controls are being followed in practice. We noted that one action that had been agreed in 2018/19 and restated in 2019/20 in relation to succession planning. This action remained in progress at the time of this audit and further details are below.

Internal audit opinion:

Taking account of the issues identified, the Authority can take substantial assurance that the controls upon which the organisation relies to manage the identified area are suitably designed, consistently applied and operating effectively.



Key findings

We noted the following controls to be adequately designed and operating effectively:

Policies / procedures:



We confirmed that there are dedicated pages on the WYPF intranet, which all staff can access, which cover key processes in the administration of Fire Fighters pensions, such as Re-employment Abatement and Projected Pension Age and Deferred Estimates and Retirements. Our testing also confirmed that these were up to date, and where changes are made, that these are communicated to all relevant staff.

Starters:



We confirmed that since the start of the financial year (April 2020), there had been no RBFRS starters who were enrolled onto the Firefighter schemes (1992 or 2006/2015). All new starters during the period have been enrolled in the Local Government Pension Scheme, administered through the Berkshire Pension Fund. Accordingly, no substantive testing was performed.

Leavers:

A leaver form is received from RBFRS. Firstly, a check is made to confirm what pension scheme the leaver is part of and how long they have been on the scheme. Each element of service (wholetime/retained) has its own record. On receipt of a leaver form, a check is made of the member's national insurance number to confirm whether any other records are present and whether there is a need to link any continuing service together (dependent on the length of service and the scheme).



When processing the leaver, a compliance letter is sent out to the member of staff within three months (advising whether they are entitled to a refund or deferred benefits). If applicable, a Deferred Benefit calculation process is undertaken. Calculations are dependent on the scheme and reliant on information provided to verify entitlement. The UPM system transfers the majority of deferred benefits automatically. If there is a split pension, a manual calculation of benefits is required and once calculated this is checked and approved by the RBFRS Senior Pension Officer. WYPF cannot produce anything (i.e. send Deferred Benefits Letter) without this being approved in workflow.

For three leavers (all leavers within the period) between April 2020 and November 2020, we confirmed that a Compliance Letter had been sent out following receipt of a notification from Dataplan and in line with procedures. Once a deferred benefit calculation had been completed, a Deferred Benefits Letter was sent out in line with the timescales. All leavers were on the 2015 Pension scheme, and their Deferred Benefits Letters were sent out within 21 days after the initial compliance letter appropriately. All deferred benefits had been calculated in line with the rate of pay based on the instruction from Dataplan.

Retirees:

As part of the process for retirees, a Retirement Quote checklist is completed and counterchecked by another Officer (Senior Pension Officer) before the retirement pack can be produced. Once the retirement pack is returned, checks are completed and processes are undertaken such as inputting the lump sum payment and checking that the pension amount reconciles. As part of checking process, the lump sum figure is authorised which goes into the payroll system.

For seven retirees between April 2020 and November 2020 we confirmed that the 'Retirement Quotation' and 'Retirement Actual' checklists had been completed for all retirees and countersigned by a Senior Pensions Officer and uploaded to UPM. Retirement Packs had been sent out for all seven within a reasonable timeframe from initial notification of retirement being received from Dataplan. Furthermore, retirement calculations had been prepared, signed off in the system by a Senior Pensions Officer and Pension Advice letters to the claimants had been sent within a reasonable timeframe after the Pension Claim Forms were returned by the member. In all seven cases, we checked the lump sums documented for each retiree to the reconciliation file and confirmed that all payments had been reviewed by RBFERS and paid appropriately.

Voluntary Scheme Pays (VSP), Mandatory Schemes Pays (MSP), and Annual Allowance (including Tapered allowances):

WYPF becomes aware of those members who will breach their £40k annual allowance when the annual pensions benefits statements are run. The Member Services Manager maintains a list of RBFERS pensioners with pensions input amounts of over £38k so as to be proactive in identifying potential breaches. Pensions Savings Statements must be sent out by 6 October.

We confirmed that there were a total of 13 members whose annual pension input in the financial year 2019/20 exceeded £40k (taken from a report provided by RBFERS) and that their Pension Savings Statements had been sent out prior to the 6 October 2020 in line with procedures. An example breach of the annual allowance was walked-through with the Member Services Manager. We confirmed that the member's Pension Saving Statement was sent out on 1st September 2020. A letter in response to the member's request for further information was sent on 20 November 2020 in which the requirements of both the Mandatory and Voluntary Scheme Pays were outlined.

We also confirmed that the Senior Pensions Officer's calculation of the member's annual allowance tax charge, signed on 20th October 2020, was manually calculated to reflect a revised tax charge provided to WYPF on 19 October 2020. We confirmed with the Member Services Manager that due to remote working the manual calculation was scanned in and uploaded to UPM (Pension website for the UK) for review and we confirmed that this had been undertaken appropriately on 20 November 2020.

A walkthrough of a member with a tapered annual allowance as well as Voluntary and Mandatory Scheme Pays was reviewed and we confirmed that payment of the MSP charge had been included in the 'Accounting for Tax File Note' for payment by the member in January 2021. We also confirmed that the payment was included on the control sheet maintained by the Senior Finance Officer. We confirmed that responses were received from relevant members confirming the tax charge and method of payment.

Monitoring of overpayments:



WYPF monitor overpayments to pensioners on behalf of RBFRS. Invoices are raised by finance after the payroll team are made aware of an overpayment. The overpaid individual liaises directly with WYPF to discuss payment options and methods. Overpayments are monitored through a reconciliation spreadsheet which is completed and returned to RBFRS each month. In addition, the UPM system allows for the monitoring of overpayments. We reviewed the details of any overpayments made and confirmed that these had been chased and cleared in line with procedures and that the reconciliation spreadsheet had been updated correctly.

Tax codes:



Tax code changes are downloaded by the WYPF IT team on a daily basis, direct from HMRC. The files are uploaded onto member records automatically by matching parameters such as their roll number, NI number and surname. We confirmed in UPM that since the start of the calendar year only six tax code changes (i.e. jobs raised through UPM) needed to be referred to Payroll for further investigation (across the entire payroll system approximately 150,000 people are processed each month). A walkthrough of an example where an exception was flagged was undertaken and no exceptions were found with the process followed.

Payment runs:



Pension payment runs occur monthly and are paid via an online payment system requiring two staff members, a preparer and an authoriser. Those with ability to authorise cannot prepare the transaction. We reviewed three payment runs, September, October and November 2020, and confirmed each payment was for the correct amount, reconciled to supporting documentation and was appropriately authorised in the system.

We also confirmed that the SQL reports had been run for each month and that no errors had been found in any of the months tested and exception reports had been produced and signed off appropriately. The BACS File Summary Reports were produced in line with the month-end timetable and Gross-to-Net reports had also been produced, the amounts on which (i.e. the Net Pay figure and tax) agreed back to the reconciliation spreadsheet.

Reconciliations:

All reconciliations at WYPF are prepared electronically, stored on the Finance shared drive and sent through to RBFRS each month. These are used for RBFRS's own reconciliation and the preparer and reviewer document their signature electronically on each separate reconciliation. We were provided with a copy of the reconciliation spreadsheet which is updated each month. A separate reconciliation of PAYE is undertaken by the Principal Finance Manager for all types of pensions, as well as a reconciliation of all general ledger codes by a separate Senior Finance Officer. We confirmed that for August, September and October 2020 all reconciliations had been produced within a reasonable timeframe from month-end and are stored on the Finance shared drive.

We also confirmed that for August, September and October 2020, all nine reconciliations carried out at RBFRS were prepared by a Payroll Pensions Officer and reviewed independently by an Accounting Manager within a reasonable timeframe, and that this review was fully evidenced. Supporting documentation was also available for all nine reconciliations tested and any differences of significant amounts were explained.

2. DETAILED FINDINGS AND ACTIONS

This report has been prepared by exception. Therefore, we have included in this section, only those areas of weakness in control or examples of lapses in control identified from our testing and not the outcome of all internal audit testing undertaken.

Assignment (5.19/20) Firefighter Pension Administration

Original management action / priority WYPF will implement written succession plans for our 'Fire' clients with reference to specific RBFRS workarounds where appropriate.
Original due date: 30 September 2019.
Revised due date 30 March 2020.
 Low.

Audit finding / status *The action has not been implemented.*
 We were informed by the Head of Governance and Business Development at WYPF that the structure changes at Bradford Council have taken longer than anticipated to implement mainly due to resolving HR and Union issues. As a result, WYPF does not yet have a written succession plan in place.
 However, they are currently recruiting for a number of posts to give them more resources in key areas and give assurance to their clients about their ability to deliver contractual obligations. The posts being recruited to are:

- Pensions Officers
- Member Services Manager
- Client Relationship Manager
- Employer Services Manager
- Assistant Director

Once WYPF has recruited to these posts then they will be in a position to develop a succession plan by Q4 this year.

Management Action 1	Responsible Owner:	Date:	Priority:
We will develop written succession plans for the Royal Berkshire Fire and Rescue Service once the changes to the workforce structure have been implemented (provisionally in Q4 2020/21).	Head of Governance and Business Development (WYPF)	31 March 2021	Low

EXECUTIVE SUMMARY – REVIEW OF PAYROLL PROVIDER: DATAPLAN

Background

Royal Berkshire Fire & Rescue Service (RBFRS) has outsourced the processing of their payroll to West Yorkshire Pension Fund (WYPF) who have in turn subcontracted the payroll element to Dataplan. Dataplan has been a provider of payroll services for over 45 years and has been processing the payroll of RBFRS since April 2016.

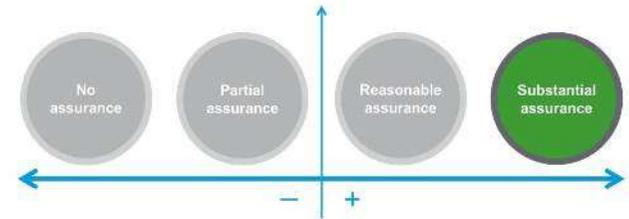
At Dataplan, the RBFRS payroll account is managed by a permanent team of two, consisting of the Deputy Head of Education and a Payroll Processor, who are supported by other members of the Education team as required.

Conclusion

Our review confirmed that the controls in place at Dataplan are robust and are complied with in practice. We did note one exception which resulted in the agreement of a low priority management action whereby the source documentation for one new starter was not visible in the corresponding 'checked' folder, and so we could not confirm that this amendment had been independently reviewed but we did confirm that the member of staff and request for change was genuine.

Internal audit opinion:

Taking account of the issues identified, the Authority can take substantial assurance that the controls upon which the organisation relies to manage the identified area are suitably designed, consistently applied and operating effectively.



Key findings

We identified the following controls were well designed and operating effectively:

Contract:



There is a signed contract in place between the West Yorkshire Pension Fund, and Dataplan, which confirms that Dataplan will provide employee payroll services for Royal Berkshire Fire & Rescue Service. This contract is signed by both parties. The initial contract term ran until 3 January 2019, with an option to extend for a further two years, which was invoked, with the renewal due in May 2021. Plans are in place to renew this contract during 2021.

Policies and Procedures:



Dataplan has produced a detailed guide, entitled 'Operational Guide to Royal Berkshire Authority Payroll'. This document contains detailed procedures on the running of the RBFERS payroll, including how to produce the various reports required. The Policy is made available to relevant staff via a shared drive. Our testing throughout the audit confirmed that the processes outlined in the guide is being followed by staff.

Amendments to standing data / tax code changes:



For a sample of 5 tax code change instructions from HMRC in the current financial year, testing confirmed that all had been correctly updated in Flexipay and the changes were implemented within an appropriate timeframe. Our testing also confirmed that all tax changes had matched the HMRC notification and the staff member's payslip in the month following the change.

Access rights:



Access to the RBFERS payroll on the Flexipay system, as well as access to the Payment Hub BACS system, is suitably restricted to appropriate members of Dataplan staff. We reviewed the 'Flexipay list of user's' report which showed all users and one master account, covering three main access profiles. We reviewed the editing rights of the Manager, Project and Standard profiles, and confirmed that the rights were appropriate, and that no profiles have the right to delete audit trails.

Exception Reporting:



Payroll analysis reports are provided to RBFERS on a monthly basis for review and approval prior to payments being made. A review of the September, October and November 2020 payrolls confirmed that reports were provided, reviewed and amendments processed prior to payment each month.

Year End Documentation:

Testing confirmed that for 2019/20, year-end documentation including The P12 file (listing all deductions related to leavers), RTI file (Includes all information about tax and other deductions under the PAYE system) and employee P60s had been produced in a timely manner and had undergone a process of independent review which was monitored in a tracking spreadsheet.

**Leavers and Amendments:**

We selected a sample of 10 leavers, from a report generated by RBFRS, with leaver dates from April to November 2020. Our testing found that all had been removed from the payroll, had the correct leaving date and all had been independently checked by another member of Dataplan staff.

We tested a sample of 10 amendments from a report generated by RBFRS, with amendments from April to August 2020. Our testing found that all 10 amendments were processed in the correct month, processed by one staff member, and then independently checked by another member of Dataplan staff and all had the appropriate change documented in their payslips. In two instances, these were temporary changes, and the change was appropriately reverted.

**Taper dates:**

Dataplan are made aware of Taper dates by RBFRS, with the appropriate data uploaded to the ePaysafe system. These changes are actioned following the same procedure as other amendments and are independently checked.

We selected a sample of five taper dates from a report produced by RBFRS of taper dates in the current financial year. Of these, only one was applicable for testing, as the others had either left the service or were not yet due for taper. From the one instance that was applicable to be tested, we noted that the taper date was correct, the calculation had been carried out correctly and was reflected in the payslip, and the amendment had been independently checked. Whilst only one sample had been tested, the process follows similar amendments using action five sheets, and testing has confirmed that these processes are well complied with.

In addition, we have agreed one Low priority management action and this is contained within the detailed findings below.

2. DETAILED FINDINGS AND ACTIONS

This report has been prepared by exception. Therefore, we have included in this section, only those areas of weakness in control or examples of lapses in control identified from our testing and not the outcome of all internal audit testing undertaken.

Area: Third Party Payroll provision				
Control	<p>RBFS upload details of new starters, leavers and other amendments to the ePaysafe system on an ad-hoc basis, as and when there are changes to make. Dataplan manually enter the data into Flexipay which is then accuracy checked by an independent person.</p> <p>Due to remote working, the original document is placed in a folder by one member of staff, and then moved to a 'checked' folder by another staff member to evidence a segregation of duties.</p>	Assessment:		
		Design	✓	
		Compliance	×	
Findings / Implications	<p>We selected a sample of 10 new starters from a report generated by RBFRS, with start dates from May to October 2020. Our testing confirmed that;</p> <ul style="list-style-type: none"> • All 10 new starters were added to payroll in a timely manner. • All 10 new starters had the correct start date per Flexipay. • All 10 new starters were paid on the next pay date following their start date. • Nine of 10 new starters were checked independently. The final starter was not present in any of the electronic 'checked' files, so we could not confirm that they had been independently checked. <p>However through review with HR at RBFRS we confirmed that the member of staff is genuine and is currently employed as a Business Support Assistant.</p> <p>If manual amendments are not independently checked, there is a risk that incorrect entries to the payroll are not detected, leading to employee's being paid incorrectly, presenting risk of financial loss and reputational damage to the organisation.</p>			
Management Action	Evidence of independent checks on new starters forms will be maintained centrally prior to the employee being added to the payroll.	Responsible Owner:	Deputy Head of Education - WYPF	Date: 31 March 2021
				Priority: Low

ROYAL BERKSHIRE FIRE AUTHORITY



COMMITTEE	AUDIT & GOVERNANCE COMMITTEE
DATE OF MEETING	28 JANUARY 2021
SUBJECT	EXTERNAL AUDIT UPDATE
LEAD OFFICER	CONOR BYRNE, HEAD OF FINANCE AND PROCUREMENT
LEAD MEMBER	N/A
EXEMPT INFORMATION	N/A
ACTION	FOR NOTE

1. EXECUTIVE SUMMARY

- 1.1 EY will provide an update to the Committee in relation to progress on the audit of the 2019/20 Statement of Accounts.

2. RECOMMENDATIONS

- 2.1 The Committee is requested to **NOTE** the update from the External Auditor.

3. REPORT

- 3.1 EY will provide a verbal update regarding the ongoing delay in signing off the 2019/20 Statement of Accounts.
- 3.2 At the time of writing, the latest indications are that the Authority's statement of accounts is unlikely to be signed off before the middle of February.
- 3.3 The delay stems from the ongoing audit of the accounts of the Berkshire Pension Fund by Deloitte. As our accounts include a share of the assets and liabilities of the Berkshire Pension Fund, EY can only proceed to sign off our accounts once they have received confirmation of audited balances from Deloitte.

4. CONTRIBUTION TO STRATEGIC COMMITMENTS

- 4.1 Commitment 5 – We will ensure that Royal Berkshire Fire and Rescue Service provides good value for money.

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5. FINANCIAL IMPLICATIONS

- 5.1 The external audit of the accounts includes a value for money opinion which provides assurance that the Authority is providing an efficient and effective service to the public.

6. LEGAL IMPLICATIONS

- 6.1 Complies with the Local Audit (Appointing Person) Regulations 2015

7. EQUALITY AND DIVERSITY IMPLICATIONS

- 7.1 None.

8. RISK IMPLICATIONS

- 8.1 Financial risks are identified and mitigations and controls are tested by the external auditors.

9. CONSISTENCY WITH DUTY TO COLLABORATE

- 9.1 The Authority opted into the national procurement exercise run by PSAA to appoint its external auditors.

10. PRINCIPAL CONSULTATION

- 10.1 The Chief Fire Officer has noted the contents of the report.

11. BACKGROUND PAPERS

- 11.1 None.

12. APPENDICES

- 12.1 None.

13. CONTACT DETAILS

- 13.1 Conor Byrne - Head of Finance and Procurement
Email: byrnec@rbfrs.co.uk
Tel: 07585 991602

ROYAL BERKSHIRE FIRE AUTHORITY REPORT



COMMITTEE	AUDIT AND GOVERNANCE COMMITTEE
DATE OF MEETING	28 JANUARY 2021
SUBJECT	COMPLAINTS, COMMENTS AND COMPLIMENTS POLICY AND PROCEDURE
LEAD OFFICER	KATIE MILLS, HEAD OF CORPORATE SERVICES
LEAD MEMBER	N/A
EXEMPT INFORMATION	NONE
ACTION	FOR DECISION

1. EXECUTIVE SUMMARY

- 1.1 The purpose of the report is for the Audit and Governance Committee to consider the proposed changes to Complaints Policy, which has been revised to include comments and compliments.

2. RECOMMENDATION

- 2.1 That the Audit and Governance Committee **APPROVE** the Complaints, Comments and Compliments Policy and Procedure.

3. REPORT

- 3.1 Royal Berkshire Fire and Rescue Service welcomes and values any form of feedback. Our procedure for handling complaints is captured in our existing Policy, whilst it has been custom and practice to capture and share comments and compliments.
- 3.2 The proposed revision of the Complaints, Comments and Compliments Policy and Procedures formalises our arrangements with regards to the handling of comments and compliments in policy.
- 3.3 The complaints element of the policy has been reviewed and no material changes have been recommended. However, to aid transparency, a complaints definition has been included and greater clarity has been provided on the procedure for handling complaints, for example, in relation to social media.

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- 3.4 Our People Strategy sets out our commitment to ensuring that everyone's contribution is valued and positive behaviours are recognised. In formalising the receipt of compliments in policy, we are affirming our commitment to celebrate our staff's achievements.

4. CONTRIBUTION TO STRATEGIC COMMITMENTS

- 4.1 In delivering the Strategic Commitments, the Service is committed to providing the best possible service for our communities, which is underpinned by the Complaints, Comments and Compliments Policy and Procedure.

5. FINANCIAL IMPLICATIONS

- 5.1 None.

6. LEGAL IMPLICATIONS

- 6.1 As set out in the Terms of Reference of the Audit and Governance Committee under CO26, the Committee has responsibility for the approval of the Authority's policy on external complaints.
- 6.2 The Local Government and Social Care Ombudsman (LG&SCO) is the independent body responsible for investigating complaints made against public bodies where it is alleged that there has been maladministration causing injustice; a failure to provide a service that it was the public body's function to provide; or there was a total failure to provide such a service.
- 6.3 Fire and rescue authorities are specifically included in the list of public bodies within the scope of the LG&SCO by section 25 of the Local Government Act 1974.
- 6.4 However, subject to limited exceptions, complaints will not be investigated by the LG&SCO until a complainant has exhausted a local authority's internal complaints procedure.

7. EQUALITY AND DIVERSITY IMPLICATIONS

- 7.1 The Complaints, Comments and Compliments Policy and Procedure ensures an open and transparent process is applied when handling feedback.

8. RISK IMPLICATIONS

- 8.1 None.

9. CONSISTENCY WITH DUTY TO COLLABORATE

- 9.1 N/A.

10. PRINCIPAL CONSULTATION

- 10.1 The Chief Fire Officer, Chief Finance Officer, Monitoring Officer and Senior Leadership Team were consulted in the preparation of the report.

11. BACKGROUND PAPERS

- 11.1 Complaints Policy and Procedure
11.2 People Strategy

12. APPENDICES

- 12.1 APPENDIX A – Complaints, Comments and Compliments Policy and Procedure

13. CONTACT DETAILS

- 13.1 Katie Mills
Head of Corporate Services
0118 938 4605

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RBFRS Policy Document

Policy Information	Details
Policy Name	Complaints, Comments & Compliments Policy and Procedure
Author	Business Support Lead
Owner	Head of Corporate Services
Protective Marking	Official
Version	2
Status	DRAFT
Issue Date	
Review Date	2 Years from issue date

Policy Statement	Royal Berkshire Fire and Rescue Service (RBFRS) welcomes and values any feedback whether it is a compliment, comment or complaint. We are committed to resolving complaints in a positive, thorough and fair manner, to ensure we provide the best service to the people of Royal Berkshire.
Purpose	The purpose of this policy is to ensure that complaints, comments and compliments are logged and investigated with due care and that complaints and their outcomes are logged for monitoring purposes.
Scope	This policy applies to all complaints, comments and compliments received from members of the public or organisations. Separate procedures are in place for internal complaints or a complaint against a specific employee.
Supporting Information	Links to any additional existing policy, information or form that supports or is supported by this policy

Agenda Item 8

Appendix A

Revision History			
Revision	Description	Author	Date
	Complaint policy updated to reflect minor changes in process for handling complaints, a complaint definition and inclusion of process for Comments and Compliments. Policy template updated.	Business Support Lead	01 2021
Authorisation			
Audit and Governance Committee			

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Complaints and comments Policy and Procedure Review **Error! Bookmark not defined.**

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Appendix A

Policy Description - Complaints and comments Policy and Procedure

Complaints and Comments Introduction

The purpose of this policy is to ensure that complaints, comments and compliments are logged and investigated with due care and that complaints and their outcomes are logged for monitoring purposes.

Complaints and Comments Definition

Definition of a Complaint

Royal Berkshire Fire and Rescue Service (RBFRS) defines a complaint as 'Any communication from outside the organisation expressing dissatisfaction with the service provided or actions taken by RBFRS staff members.'

Where comments are received through social media we will direct individuals to the formal complaints process. We will not discuss personal information via any social media channel.

Anonymous complaints will be reviewed but depending on the information provided, these can be difficult to investigate or resolve effectively, and therefore may not be recorded as a complaint.

Complaints and Comments Responsibilities

The person receiving the complaint must always give their name and designation. They will record the complaint on a complaints form and promptly forward to Business Support.

Business Support will record the complaint on a log and allocate an individual reference number. Business Support is responsible for forwarding the complaint/comment onto the relevant Head of Service/Duty Officer who will be responsible for assigning an Investigating Officer.

The Investigating Officer must record details of the investigation and liaise directly with the complainant. Business Support must be informed of initial contact (within 7 days of receipt of complaint), updates to the case and when the case is to be closed. Copies of all correspondence and an updated complaints form must be provided to Business Support for saving to file.

Policy Detail

Complaints and Comments Policy

All members of the Service have access to the complaints procedure and will be ready to act positively towards anyone seeking to complain. To assist this, every complaint will be readily accepted and the information diligently gathered using the [complaints form](#) as a record of the event. Details of the complaints procedure can be provided to anyone seeking them.

If the person receiving the complaint cannot resolve the complaint immediately, they should advise the Complainant that their complaint will be investigated and that they will be contacted within 7 days. If a full response is not possible within 7 days, they will be advised when a response is likely to be given.

During Office Hours, every complaint must be notified as soon as possible to the Business Support Team, attaching the [complaints form](#) with appropriate sections completed. Where the complaint has not been resolved by the person receiving the complaint, the Business Support Team will

forward the relevant details to the appropriate Head of Service and Deputy Chief Fire Officer (DCFO). The Head of Service or Senior Manager will be responsible for allocating an appropriate Officer or Manager to investigate the complaint.

Out of hours, the Duty Officer must be notified as soon as possible. If the person receiving the complaint has been unable to resolve the complaint satisfactorily, the Duty Officer will be responsible for allocating an officer to investigate the complaint. The Business Support Team, appropriate Head of Service and DCFO must be informed via [complaints form](#), for monitoring and recording purposes.

The investigating officer will be responsible for dealing with the investigation, liaising with the complainant (where appropriate) and informing the Business Support Team, Head of Service and DCFO of the outcome, via email and the [complaints form](#). If the complaint is regarding a specific individual then HR advice must be sought.

If the complainant is not satisfied with the outcome, they have the right to appeal to the Chief Fire Officer or Chief Executive.

If the Complainant is not satisfied with the Chief Fire Officer's or Chief Executive's response, they may appeal to the Fire Authority.

In the event they are not satisfied with the Fire Authority decision, as a final resort, they can refer the complaint to the Ombudsman. The details are available from the following hyperlink.

www.lgo.org.uk

The Business Support Lead will make an analysis of complaints alongside the DCFO, and this will be reported quarterly to the SPB and then onto the Audit and Governance Committee.

Complaints and Comments Procedure

At all times personnel should be polite to people making complaints regardless of the attitude of the complainant or the nature of the complaint.

COMPLAINTS DO NOT HAVE TO BE MADE IN WRITING

Where possible, endeavour to resolve the complaint immediately.

When receiving any complaint, the following action should be taken:

1. The person receiving the complaint must always give their name and designation.
2. All complaints must be recorded on the [complaints form](#) ensuring that all sections are fully completed. If the complaint is in writing, the complaints form must be attached to it.
3. During office hours (Monday to Friday 09:00-17:00), notify the Business Support Team via email (BusinessSupportTeam@rbfrs.co.uk), with a copy of the complaints form.

For out of hours complaints, the Duty Officer must be notified as soon as possible. If you have been unable to resolve the complaint satisfactorily, the Duty Officer will be responsible for allocating an officer to investigate the complaint.

The Investigating Officer (where applicable), Business Support Team and the appropriate Head of Service must be provided with all the details along with the complaints form via email.

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Appendix A

Forward any paper/hard copies directly to the Business Support Team under confidential cover.

4. When the complaint has been investigated the Investigating Officer must record:
 - Details of the investigation (including correspondence, witness statements and notes of telephone conversations).
 - The action taken.
 - The date of the response to Complainant.
 - Whether the Complainant is satisfied or not.

All correspondence, witness statements and telephone notes etc. to be emailed, along with the complaint form, to the Business Support Team and copied to the Head of Service and DCFO. All correspondence (electronic and paper/hard copy) must be kept securely during the course of the investigation and deleted/destroyed within 1 month of close of investigation.

Details of the complaint will still be recorded in the event of the complainant no longer wishing to proceed with their complaint. The details will be recorded as a comment using the same procedure as for complaints.

The Business Support Team will retain comments and complaint files for 3 years after close. Records may be retained for a further period if they have on-going business value or if there is specific legislation which requires the information to be held for a further period. Retention periods of complaints which relate to employees may be determined by employment policies and associated retention periods.

Policy Description – Compliments Policy and Procedure

Compliments Introduction

Royal Berkshire Fire and Rescue Service (RBFRS) welcomes and values any form of feedback. Where a compliment has been received about the service provided by a member of RBFRS we will, where possible, pass the feedback onto the individual(s) concerned and their line manager. We will also, where appropriate, respond to the sender of the compliment.

Compliment Definition

Our People Strategy sets out our commitment to ensuring that everyone's contribution is valued and positive behaviours are recognised. Our staff are an integral part of the organisation and we share positive feedback to celebrate their achievements. We encourage the recognition of excellent service, for example through our internal publications and nominations for our annual award ceremony.

Compliments Responsibilities

The person receiving the compliment should forward to Business Support for recording.

Business Support will record the compliment, inform the relevant Head of Service and individual concerned (if not already completed), and assess on a case-by-case basis if a response is to be sent to the sender.

Policy Detail

Compliments Procedure

1. Compliment is received into the Business Support Team. Compliments do not have to be made in writing, however if received verbally, as much information as possible should be captured and sent to the Business Support Team by email.
2. The compliment will be recorded by a member of the Business Support Team.
3. A response may be sent to the compliment received, which will be assessed on a case by case basis.
4. The compliment will be sent to the individual/team concerned, copying their line manager.

The Business Support Team will retain compliment files for 3 years. Records may be retained for a further period if they have on-going business value or if there is specific legislation which requires the information to be held for a further period.

Policy and Procedure Review

This policy will be reviewed within 2 years of its publication date or when required by a change in circumstances.

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ROYAL BERKSHIRE FIRE AUTHORITY REPORT



COMMITTEE	AUDIT AND GOVERNANCE COMMITTEE
DATE OF MEETING	28 JANUARY 2021
SUBJECT	ROYAL BERKSHIRE FIRE AUTHORITY – PAY POLICY STATEMENT 2021/2022
LEAD OFFICER	BECCI JEFFERIES, HEAD OF HUMAN RESOURCES AND LEARNING AND DEVELOPMENT
LEAD MEMBER	N/A
EXEMPT INFORMATION	NONE
ACTION	NOTE AND RECOMMEND APPROVAL OF THE RBFA PAY POLICY STATEMENT 2021/2022 TO THE FIRE AUTHORITY MEETING ON 17 FEBRUARY 2021.

1. EXECUTIVE SUMMARY

- 1.1 Section 38 (1) of the Localism Act 2011 requires Royal Berkshire Fire Authority to prepare and publish a Pay Policy Statement each financial year. This statement includes information on remuneration for all staff as defined by the Act.

2. RECOMMENDATION

That the Audit and Governance Committee:

- 2.1 Considers the content of the Pay Policy Statement for 2021/2022 and makes any further recommendations that they consider appropriate; and
- 2.2 Recommends the Fire Authority approve the Pay Policy Statement for 2021/2022 subject to any further amendments considered appropriate as outlined in section 3.5 and 3.8 below.

3. REPORT

- 3.1 Sections 38 to 43 of the Localism Act 2011 require that relevant authorities in England prepare a Pay Policy Statement for each financial year. Pay Policy

Agenda Item 9

Statements must be approved by a meeting of the full Fire Authority and subsequently published.

- 3.2 A draft Pay Policy Statement for the Royal Berkshire Fire Authority (RBFA) for the forthcoming year (2021/2022) is drafted (Appendix A) taking into account guidance issued by the Department of Communities and Local Government Transparency Code 2014 and the Local Transparency Publishing Organisational Information guidance provided by the Local Government Association in 2015.
- 3.3 Whilst it has not been necessary to amend the format of the Pay Policy Statement for 2021/22, a number of updates have been included and are detailed below.
- 3.4 Following consultation, three individuals who transferred in to RBFRS under the Transfer of Undertakings (Protection of Employment) (TUPE) Regulations 2006 as amended by the 'Collective Redundancies and Transfer of Undertakings (Protection of Employment) (Amendment) Regulations 2014, are now employees of RBFRS and are covered by the NJC for Local Government Services. It was agreed during consultation that these individuals would receive a market supplement.
- 3.5 On 18 December 2019 Fire and Rescue Services were advised of the interim order on remedy for the transitional protection pension claims and that the Home Office would be required to provide guidance on its implementation. This guidance is not yet available and therefore the pensions section of the statement cannot yet be updated to reflect any new arrangements. Should clarity on this position arise prior to Fire Authority approval of the Pay Policy Statement, it is proposed that officers amend this section accordingly following direction/guidance issued by the Home Office.
- 3.6 A revised Car User Scheme was published in June 2020. The section on Car Provisions has been updated to reflect this.
- 3.7 Inclusion of the introduction of the £95,000 exit payments cap following the introduction of the Restriction of Public Sector Exit Payments Regulations 2020, which came into force on 4 November 2020.
- 3.8 The recruitment of Chief Fire Officer/Chief Executive (CFO/CEO) commenced on 11 December 2020. This is open to operational and non-operational candidates. As a result, the terms and conditions of the successful candidate will be conditioned to, and any benefits received, may require an amendment to the Senior Managers' Pay section of the Pay Policy Statement 2021/2022.

4. CONTRIBUTION TO STRATEGIC COMMITMENTS

- 4.1 Commitment 5 – We will ensure that Royal Berkshire Fire and Rescue Service provides good value for money.

5. FINANCIAL IMPLICATIONS

- 5.1 There are no direct financial implications arising from this report.

6. LEGAL IMPLICATIONS

- 6.1 This report is prepared to enable Royal Berkshire Fire Authority to meet its obligations under Sections 38 to 43 of the Localism Act 2011 and the Local Transparency Code 2015 and in accordance with issued Government guidance.
- 6.2 The Pay Policy Statement must be approved by the full Fire Authority and therefore if there are any changes, these will be made before it is presented to at the Fire Authority meeting on 17 February 2021.

7. EQUALITY AND DIVERSITY IMPLICATIONS

- 7.1 There are no direct equality issues arising from this report.

8. RISK IMPLICATIONS

- 8.1 There are no significant risk management issues arising from this report.

9. CONSISTENCY WITH DUTY TO COLLABORATE

- 9.1 N/A.

10. PRINCIPAL CONSULTATION

The following individuals have been consulted in preparation of this report.

- 10.1 Monitoring Officer
- 10.2 Head of Finance and Procurement
- 10.3 Chief Fire Officer

11. BACKGROUND PAPERS

- 11.1 Localism Act 2011
- 11.2 Openness and Accountability in Local Pay, Guidance under Section 40 of the Localism Act, February 2012, Department for Communities and Local Government.
- 11.3 Openness and Accountability in Local Pay, Guidance under Section 40 of the Localism Act, February 2013, Supplementary Guidance, Department for Communities and Local Government.
- 11.4 Hutton Review of Fair Pay in the Public Sector: Final Report, March 2011
- 11.5 Pay Policy and Practice in Local Authorities – A guide for Councillors, Local Government Association (January 2013) issued November 2013 to Local Authority Chairs
- 11.6 Local Government Transparency Code 2014 – Department for Communities and Local Government, October 2014.
- 11.6.1 Local Transparency Publishing Organisational Information - Local Government Association 30 November 2015

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12. **APPENDICES**

12.1 Royal Berkshire Fire Authority Pay Policy Statement 2021/2022.

13. **CONTACT DETAILS**

13.1 Becci Jefferies
Head of Human Resources and Learning and Development
0118 9384670

ROYAL BERKSHIRE FIRE AUTHORITY

Pay Policy Statement 2021/22





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Introduction

This Pay Policy Statement reflects the Royal Berkshire Fire Authority's (RBFA) long standing Pay and Reward Strategy, which has been in place since its inception in 1998.

It has been formulated to discharge the RBFA's obligation to publish such a statement as required by Section 38 (1) of the Localism Act 2011. The purpose of this statement is to provide transparency with regard to RBFA's approach to setting the pay of its employees by identifying:

- The methods by which salaries of all employees are determined; and
- The detail and level of remuneration of its most senior staff as defined by the relevant legislation
- The detail and level of remuneration for the lowest level of post/employee
- The ratio of pay of the top earner and that of the median earner

RBFA seeks to balance the need to reward its staff sufficiently to attract, motivate and retain the talented individuals needed to deliver a first class fire and rescue service with the need to ensure that RBFA delivers its strategic commitment of providing good value for money.

This policy statement has been approved by RBFA. It will be subject to review annually and in accordance with new or proposed legislation to ensure that, it remains relevant and effective. Information supplied to inform the Pay Policy Statement will be based on figures available at the time of writing (31 October 2020).



Royal Berkshire Fire Authority Pay Policy Statement 2021/22

Accountability and Decision Making

The Fire Authority is responsible for decision making in relation to the recruitment, pay, terms and conditions and severance arrangements in relation to its' employees subject to the exercise of delegated powers. The Fire Authority has approved the pay ranges for any post in excess of £100,000 per year on appointment.

Responsibility and Scale

For 2020/2021, RBFA was directly responsible for a budget of £35,263,256 and the employment of 651 staff. The Fire Authority provides services to a total population of 914,859 residents.

The Fire Authority's pay strategy - How is pay determined?

The RBFA's overall approach to determining the pay of its employees is to participate in national collective bargaining for fire-fighters and fire control staff through the National Joint Council (NJC) for Local Authority Fire and Rescue Services; for non-operational support staff through the NJC for Local Government Services and for Directors through NJC for Brigade Managers of Fire and Rescue Services. These arrangements account for a total of 474 employees covered by NJC for Local Authority Fire and Rescue Services, 173 employees covered by NJC for Local Government Services and four covered by NJC for Brigade Managers of Fire and Rescue Services.

Following consultation, three individuals who transferred in to RBFRS under the Transfer of Undertakings (Protection of Employment) (TUPE) Regulations 2006 as amended by the 'Collective Redundancies and Transfer of Undertakings (Protection of Employment) (Amendment) Regulations 2014, are now employees of RBFRS and are covered by the NJC for Local Government Services. Following market research into pay and a result of the consultation, these individuals receive a market supplement.

The pay scale rates for apprentices have been reviewed and remain well in excess of the National Minimum Wage for apprentices as at 1 April 2021.

The RBFA's long term approach to pay and reward has been to continue to support national pay bargaining as the most effective way to manage payroll costs and the

challenge of running a fire and rescue service in one of the highest cost-of-living areas outside London.

RBFA does not pay any location allowances related to the cost of living in Berkshire.

There are occasions where the job evaluation scheme and pay grading structure does not take into account market factors such as market pay rates for specialist and technical project roles, or fluctuating demand for skills in the marketplace. It is therefore sometimes necessary to pay a supplement in addition to base salary in order to recruit and retain staff. To this end a Role Specific Supplement Policy has been published to ensure RBFA has a fair, transparent and controlled approach to pay.

At times we need ad hoc project work to be completed, which is achieved via Framework arrangements or paid on a casual hourly or day rate as appropriate to the task, duration and/or local market rates.

The Fire Authority also operates an individual Merit Payment Scheme to reward individual employees in any staff group as a result of specific exceptional performance in a one off task, sustained high performance within their normal job, or undertaking temporary additional responsibility where another allowance is not applicable.

The NJC for Local Authority Fire and Rescue Services

The NJC for Local Authority Fire and Rescue Services currently provides a nationally agreed competence based pay structure of six roles ranging from Firefighter to Area Manager and a parallel, with fewer levels, structure for Fire Control staff. For each role there is a Role Map and National Occupational Standards have been established.

Firefighters begin their careers as trainees for which there is a separate rate of pay. On satisfactory completion of initial training they move onto the development rate of pay and undertake a Development and Assessment Pathway (DAP). When they have demonstrated competence against the National Occupational Standards they receive competent pay. A similar structure of development and competent pay rates exists for each role, and for roles from Watch Manager to Area Manager, there are two job sizes at each role level for competent staff, which are based on the scale of the duties and responsibilities of the post. Allocation of posts to roles and job sizes within roles is determined through locally agreed evaluation processes.

For staff on Local Authority Fire and Rescue Services conditions, the NJC for Local Authority Fire Services agreed a two percent increase in September 2020 to be effective from 1 July 2020.

Other elements of pay include:

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Appendix A

- Allowance payments for work undertaken outside the role map
- Continuous Personal Development (CPD) payments
- Locally agreed allowance for Area Managers undertaking a Head of Service role
- An operational allowance for being available to undertake 'Gold' level command
- Station Manager allowances paid to Watch Based Station Managers
- A flexible duty allowance paid to officers undertaking duties as part of the flexible duty rota
- A one-off payment made to members of the Pension Board for attendance at each Pension Board meeting.
- Training allowance for Training Centre Instructors

Full details of the NJC for Local Authority Fire and Rescue Services terms and conditions of service are set out in the Sixth Edition of the NJC Scheme of Conditions of Service and any subsequent updates, Local Agreements reached between the Fire Authority and the Fire Brigades Union and the Fire Authority's Policies.

The National Joint Council for Local Government Services National Agreement on Pay and Conditions of Service

The National Joint Council for Local Government Services National Agreement on Pay and Conditions of Service, sets the framework for the pay and conditions of service for the Fire Authority's non-operational support staff. This provides a national pay spine which was reviewed in April 2019 following the two year pay agreement reached in 2018 to address the impact on local government employers of the National Living Wage increases. RBFRS uses the pay ranges identified within the National pay scales, localised to reduce the number of spinal column points (SCP) within each grade and further extended to provide ten pay grades. Posts are allocated to a grade through a process of job evaluation using the HAY job evaluation methodology.

Staff are appointed to a spinal column point (SCP) in the appropriate pay grade and progress subject to satisfactory performance confirmed through an annual appraisal (Performance and Development Review (PDR)) process to the top of their pay scale by annual increments on the first of April each year. Based on the outcome of PDRs, there are provisions for the acceleration or stopping of incremental progression. Fire Safety Inspecting Officers (FSIOs) progress through pay grades as they complete nationally recognised fire safety qualifications. In order to avoid possible claims for age discrimination, there are no more than six SCPs in each grade range.

For staff on Local Government Services conditions, the NJC for Local Government Services agreed a 2.75 percent increase in September 2020 to be effective from 1 April 2020.

Senior Managers' Pay

Conditions of service for the Chief Fire Officer/Chief Executive (CFO/CEX), Deputy Chief Fire Officer (DCFO) and Assistant Chief Fire Officer (ACFO) have been aligned with those set out in the National Joint Council for Brigade Managers of Fire and Rescue Services Constitution and Scheme of Conditions of Service. A decision by the CFO on 20 June 2016, aligned the pay award for the non-operational Director of Support Services (DSS) to those set out in the National Joint Council for Brigade Managers of Fire and Rescue Services.

CFO/CEX, DCFO, ACFO and the DSS are each placed on a five point pay range set by the Fire Authority:

CFO	CO16	£132,587	DCFO	CO11	£106,631	ACFO	CO9	£98,340	DSS	CO8	£95,379
	CO17	£136,954		CO12	£110,271		CO10	£101,154		CO9	£98,340
	CO18	£141,333		CO13	£113,909		CO11	£106,631		CO10	£101,154
	CO19	£146,383		CO14	£117,548		CO12	£110,271		CO11	£106,631
	CO20	£151,301		CO15	£128,209		CO13	£113,909		CO12	£110,271

The Chairman and Vice-Chairman determine where on the agreed pay scale the CFO/CEX is placed, based upon year-end performance appraisals. The RBFA have determined that the CFO/CEX, as Head of Paid Service determines where on the agreed pay scales the Directors are placed based upon year-end performance appraisals. A two per cent increase on was agreed for Directors in November 2020, backdated to 1 January 2020.

In addition the CFO/CEX, DCFO and ACFO are entitled to a vehicle for use in connection with Fire Authority business. The contribution for operational roles is currently £3,500 per annum and £2,000 per annum for those in non-operational roles, which is in line with the contributions towards a lease car for other eligible staff.

The operational Director posts (CFO, DCFO and ACFO) also receive an additional allowance for providing out of hours operational incident command cover and services based on 10% of the mid-point of the Assistant Chief Fire Officer salary range, currently £10,663 per annum.

There are no other bonuses or additional payments currently made to the Directors. In the event a merit payment is made, details will be included in the annual report to the Management Committee.

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Appendix A

Senior Managers' pay (i.e. Grade 7 to 10, Area Managers and Directors) accounts for 8.16% of the total pay bill (which includes all taxable earnings, including base salary, variable pay, allowances and lease car cash value).

Benefits Other Than Pay

Pensions

The RBFA offers membership of the Firefighters' Pension Scheme (2015) to newly appointed staff engaged in operational fire-fighting. Non-operational support staff and Control Staff are offered membership of the Local Government Pension Scheme (LGPS). Following the introduction of the 2015 Firefighters' Pension Scheme (2015 FPS) on 1 April 2015 transitional arrangements for members of the Firefighters Pension Scheme 1992 (FPS), the New Firefighters Pension Scheme 2006 (NFPS) and individuals in the Retained Modified Scheme 2006 were put in place.

Currently, the majority of the existing operational workforce are members of the 2015 Firefighters Pension Scheme.

In 2015 most public service pension schemes were reformed. These reforms included 'transitional protection', for people closer to retirement. The Courts have ruled that this directly discriminated against some younger pension scheme members. The government's proposals to remove the discrimination were set out in a consultation document, the outcomes of this is awaited and the impact on RBFA is unknown.

The respective contributions made by the RBFA and employees who are members of these pension schemes, from 1 April 2020 are as follows (in all cases members are auto-enrolled into the appropriate pension scheme in accordance with legislation in relation to workplace pensions):

Scheme	Employer Contributions	Employee Contribution Bands
FPS (1992 Scheme)	37.3%	11% - 17%
NFPS (2006 Scheme)	27.4%	8.5% - 12.5%
2015 FPS (2015 Scheme)	28.8%	11% - 14.5%
LGPS	13.5*%	5.5% - 12.5%

* Employer contributions for members of the LGPS scheme are set at 13.5% of annual salary. RBFA also pays an employer annual lump sum to the pension fund of £341,000

Car provision

The RBFA offers a Car User Scheme to staff who are required have access to a vehicle to be used in connection with their official duties. A revised Car User

Scheme was adopted in June 2020 to ensure a fair and equitable process for determining the provisions for staff across the service. The scheme is in three parts:

1. Lease Cars – Lease Cars are available for essential car users. The annual allowance is as follows:

£3,500 per year for Flexible Duty Officer users.
£2,000 per annum for non-Flexible Duty Officer users.
2. Provided Cars - following a change in taxation rules for car users, a Provided Car Scheme is available for Flexible Duty Officers (FDO) as an alternative to a lease car. The Fire Authority also maintains a pool of provided vehicles for use by other members of staff requiring access to a vehicle as part of their role.
3. Car Allowance – a car allowance of up to £1,239 per annum is payable to those using their own car, for those not eligible for a lease car, should they meet the criteria outlined in the Car User Scheme.

Cycle to Work Scheme

RBFA participate in the national “Cycle to Work” scheme through which its employees hire bicycles to use for travelling to and from work.

Subscriptions

Individuals required by RBFA to be members of professional bodies in relation to their duties are reimbursed subscription fees.

Uniform

The RBFA provides uniform clothing for its operational firefighting and Control Room staff and some Green Book staff engaged in public facing activities such as prevention work, Fire Safety Inspecting Officers and HQ reception staff. A number of other staff are provided with work wear as required for the purpose of their role. In addition, the operational firefighting staff are issued with and required to wear Personal Protective Equipment when undertaking operational duties.

Employee Assistance Programme

The RBFA provides an employee assistance programme for all its staff.

Occupational Health Support

The RBFA provides an Occupational Health Service to all its staff which seeks to keep them fit and well to undertake their duties and to ensure their speedy and safe return to work when they are injured or sick.

Healthcare Provision

Where appropriate and cost effective, the RBFA may pay for physiotherapy, private medical assessment and/or treatment for its staff in order to secure their more rapid return to work following injury or sickness.

Agenda Item 9

Appendix A

RBFA also provides the opportunity for staff to access the Benenden employee healthcare scheme at no direct cost to employees other than tax due on the benefit. This is currently at a cost of £11.50, for those who choose to opt into the scheme. As at 31 October 2020, there were 443 members of the scheme.

Outplacement Support

In the rare event of employment being terminated on the grounds of redundancy, RBFA may provide appropriate outplacement support to the employee(s) concerned in order to assist them to find alternative employment elsewhere.

Highest and Lowest Paid Employees

The CFO/CEX is the RBFA's highest paid employee. The policy regarding his remuneration is set out in RBFA's Senior Managers Pay section.

The CFO/CEX is selected by an RBFA Members' Appointment Panel following a comprehensive selection process following a national advertising campaign.

Remuneration packages (as at 31 October 2020):

	Basic Salary and (operational command allowance (per annum)	Total remuneration (including pension contributions and car provision)
CFO/CEX	£161,964.00	£208,609.63
Lowest paid employee (excluding Apprentices)	£21,748	£25,445.16
Competent Firefighter	£31,767	£38,660.44 (1992 scheme) £35,547.27 (2006 scheme) £36,309.68 (2015 scheme)

From April 2021, the compulsory government National Living Wage for workers over 23 years of age and over is £8.91 per hour. Please note the National Living Wage is distinct from the Living Wage, which is the level of pay recommended by the Living Wage Foundation, an independent campaign group. In assessing this requirement on current pay arrangements in RBFA it is noted that the lowest paid post to which an employee would be recruited would attract an hourly rate of £11.27 (excluding apprentices on apprenticeship rates of pay).

Given that staff pay and benefits dominate the RBFA budget, the current and anticipated future reductions in RBFA's financial resources mean that these costs are and will continue to be under close scrutiny.

RBFRS has in some cases found it difficult recruit suitable professionally qualified staff through normal channels and in some areas the use of interim agency staff or contractors working outside of IR35 legislation, is in place.

Reviews will be required to ensure appropriate remuneration is in place to attract and retain staff as structures within the Service are examined. Consideration of the total reward available to respond to changing organisational pressures and the linkages between pay and performance and redesigned structures will continue to be explored through organisational change programmes to ensure staff are attracted to, and retained by RBFA. In accordance with our Equality Policy, pay is monitored and reviewed. An equal pay audit was completed during 2019/20. The next equal pay audit will be undertaken in March 2022. RBFA has also published its Gender Pay Gap report in line with legislation, which can be viewed on the Services' website and also at gov.uk (please note, due to the COVID pandemic, RBFA was not required to report on the Gender Pay Gap for 2020 on gov.uk).

Pay Multiples

The relationship between the rate of pay for the median full time equivalent earnings and the highest paid employee excluding pension, can be described as the pay multiple.

The multiple between the median full time equivalent earnings and the CFO/CEX is 1:4.87.

Payments on Termination of Employment

Compensation Policy

The RBFA currently exercises its discretions under the Local Government (Early Termination of Employment), (Discretionary Compensation) Regulations 2006 to enhance statutory redundancy payments by paying one and a half times the Statutory Redundancy Pay Table and waiving the statutory maximum week's pay for calculation of redundancy payments. These discretions only apply to staff who are offered membership of the LGPS, that is Fire Control Staff and non-operational support staff.

Uniformed operational staff at all levels are not currently covered by the Local Government (Early Termination of Employment) (Discretionary Compensation) Regulations 2006 and in the event of redundancy, their compensation is limited to statutory redundancy pay.

Agenda Item 9

Appendix A

Pensions Policy

RBFA has adopted a policy of considering the re-engagement of its retired operational staff subject to certain conditions. In the event that re-engagement of a retiree takes place, their pension payments will be abated (up to 100%) to ensure that they do not earn more in retirement than they did immediately prior to their retirement. Refer to the Pensions and Retirement Planning Policy.

Exit Payment Cap

The Restriction of Public Sector Exit Payments Regulations 2020 came into force on 4 November 2020. This imposed a £95,000 cap on exit payments, subject to specified exemption, to employees in the public sector, and applies to exit payments made to RBFA employees on or after this date. RBFA will operate in accordance with legislation as appropriate.

Publication of Pay Statement

Upon approval of the full Fire Authority, this statement will be published on RBFA's web site. In addition RBFA publishes the following details for Directors for the two most recent years in its Annual Statement of Accounts:-

- Salary including fees and allowances
- Any sums payable by way of expenses allowance that are chargeable to UK income tax (Benefits in Kind/Car Allowance)
- Total Remuneration excluding pensions
- Employer Pension Contributions
- Total Remuneration including pensions

In addition, RBFA publishes the numbers of employees earning £50,000 and over in bandings of £5,000 and any compensation for loss of employment and any other payments connected with termination

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ROYAL BERKSHIRE FIRE AUTHORITY



COMMITTEE	AUDIT AND GOVERNANCE COMMITTEE
DATE OF MEETING	28 JANUARY 2021
SUBJECT	LOCAL PENSIONS BOARD – ANNUAL REPORT
LEAD OFFICER	LINCOLN BALL – CHAIR OF LOCAL PENSIONS BOARD
LEAD MEMBER	NONE
EXEMPT INFORMATION	NONE
ACTION	NOTE

1. EXECUTIVE SUMMARY

- 1.1 This report updates the Audit and Governance Committee with the recent activities of the Local Pensions Board (for all firefighter pension schemes) and relevant aspects of firefighters' pensions administration.
- 1.2 The Local Pensions Board considers the performance of the local firefighter pensions' administrators as broadly to a good standard. There are a few areas where targets are not met with ongoing interaction to address this.
- 1.3 National issues continue to dominate firefighters pensions and in particular:
- The mechanism to provide remedy for the age discrimination created by HM Government's introduction of the 2015 pension scheme. Amongst the issues are:
 - Long-term remedy which has been consulted upon nationally and outcomes awaited.
 - Short-term (immediate detriment) remedy. Home Office guidance was published which the LGA is currently querying.
 - Revaluation of the 2015 Pensions Scheme based on current actuarial calculations.

2. RECOMMENDATION

- 2.1 The Committee is recommended to **NOTE** the contents of the report including activities undertaken by RBFRS, the Pension Administrator and the Local Pensions Board, since the last report.

3. REPORT

Background

- 3.1 The Public Service Pensions Act 2013 makes it a legal requirement to have a Local Pensions Board for the various public sector pensions.
- 3.2 The Board exists to assist the Fire Authority in its role as Scheme Manager for the various Firefighter pension schemes.
- 3.3 The Board consists of four members –two management representatives (Mark Arkwell and Lucy Greenway) and two scheme member representatives (Lincoln Ball and Steve Collins). The Chairmanship of the Board rotates between the management and the member representatives. Currently Lincoln is the Chair and Lucy the Vice-Chair.
- 3.4 Given the significant knowledge requirements for Local Pensions Board members, good practice indicates a minimum four-year term where possible for undertaking the role.
- 3.5 The Local Pensions Board is also attempting to retain knowledge and aid succession by staggering the replacement of its members rather than losing all or most of its members at the same time.
- 3.6 The Board reports to this Committee twice per year, one of which incorporates an April to March annual report. The last report to the Committee was on 27 January 2020.

Local Pensions Board Activity

- 3.7 The Board has formally met (remotely) on three occasions since January 2020 and also undertaken a training day together. At the board meetings reports are received from the responsible managers in the Human Resources department.
- 3.8 Since last presenting to the Committee the Board has not been informed of any reports of potential breaches that needed to be reported to the Pensions Regulator.
- 3.9 The Board has continued to scrutinise the performance of the Pensions Administrator which is provided by an external contractor. As that contractor also provides services to other Fire and Rescue Services, the Board is also able to compare the level of service provided to RBFPS against that provided to other authorities. The Pensions Board has no significant concerns in relation to the performance of the administrators.
- 3.10 The Board maintains a risk assessment which is in the process of being updated and more closely aligned with the primary purpose of the Board.
- 3.11 Members of the Board undertake a variety of activities including attending regional meetings, assisting with surveys and audits and undertaking development activities.
- 3.12 Members of the board work closely with the managers in the Human Resources department and have assisted in the completion of surveys.

Annual Report Information

- 3.13 The Annual Report covers the period 1 April 2019 – 31 March 2020.

- 3.14 The Board has maintained scrutiny in relation to the administrator’s key performance indicators and reports the following performance against the indicators for the period:

Activity	Target	No of Cases	Average of %_Met
Age 55 Increase to Pension	Next payroll	6	100%
Change of Address	20	31	100%
Change of Bank Details	20	4	100%
Death in Retirement	5	10	100%
Deferred Benefits Into Payment of Lump Sum	3	7	100%
Deferred Benefits Set Up on Leaving	10	33	61%
DG Nomination Form Received	20	7	100%
Divorce Quote	40	1	100%
Divorce Settlement Pension sharing order implemented	80	1	100%
Enquiry	5	2	100%
General Payroll Changes	20	57	100%
Initial letter Death in Retirement	5	9	100%
Life Certificate received	5	2	100%
NI adjustment to Pension at State Retirement Age	20	3	100%
NI Modification	20	3	100%
Payment of Spouses _Child Benefits	10	1	100%
Pension Estimate	10	44	91%
Pension Saving Statement	20	2	100%
Pension Set Up Payment of Lump Sum	3	16	100%
Purchase of Service Quote	20	1	100%
Respond to ad hoc queries – IAS19 info	10	2	100%
Retirement Actual	10	16	100%
Set Up New Spouse Pension	5	4	100%
Spouse Potential	10	4	100%
Transfer In Quote	10	2	100%
Update Member Details	20	23	100%
Grand Total		291	96%

- 3.15 Of the two KPIs below 100% in the table above: the ‘Deferred Benefits Set Up on Leaving’ measure is currently at 66% (since April 2020) and the ‘Pension Estimate’ measure is currently at 88%. The reasons for KPIs periodically being below their target is addressed through contract meetings or sometimes the administrators will provide a reason in their monthly report to the service or quarterly bulletin to their clients. The Pensions Board is satisfied that adequate arrangements are in place to address administrative queries.
- 3.16 Membership of the various schemes has fluctuated during the year as many firefighters were transferred between schemes as part of the transition period

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resulting from the closure of the 1992 and 2006 pensions. The numbers also fluctuate as a result of retirements and recruitment.

	1992 – Active Members	2006 – Active Members	2006 – RDS Active Members	2015 – Active Members	2015 – RDS Active Members
Apr-19	44	8	3	374	6
Mar-20	25	1	2	401	6
Change	-19	-7	-1	+27	-

3.17 Significant national issues remain in relation to Firefighters Pensions.

- Remedy in relation to the age discrimination employment tribunal remains unresolved. HM Government has concluded a consultation exercise in relation to the remedy with a government intention of placing all firefighters onto a revised pension scheme from 1 April 2022 and having a mechanism in place that addresses the discrimination issue.
- Guidance was issued in late August 2020 in relation to providing earlier remedy to those firefighters experiencing what is termed ‘immediate detriment.’ For example, those who are in the process of retiring as well as those who have been or are currently the subject of medical retirement. This matter is currently being examined.
- The Government Actuary’s Department has indicated that the revaluation of the firefighters 2015 pension scheme which was paused in January 2019 will now go ahead with the intention of incorporating the costs incurred in remedying the 1992 pension scheme age discrimination case into the revaluation.

4. CONTRIBUTION TO STRATEGIC COMMITMENTS

- 4.1 Commitment 5 – We will ensure that Royal Berkshire Fire and Rescue Service provides good value for money.

5. FINANCIAL IMPLICATIONS

- 5.1 The Fire Authority currently makes an allowance of £100 per meeting available to each Pensions Board member. However, not all board members currently choose to receive this allowance.
- 5.2 The Terms of Reference provide for:
- All reasonable expenses incurred by board members to be reimbursed upon production of a valid expenses claim.

- Adequate resources for the board to fulfil its role including the provision of legal advice and training. The board will seek approval from the HHR&LD for such expenditure.

6. LEGAL IMPLICATIONS

- 6.1 The provision of the Local Pensions Board is a requirement of the Public Service Pensions Act 2013.

7. EQUALITY AND DIVERSITY IMPLICATIONS

- 7.1 There are no additional equality and diversity implications in relation to this report.

8. RISK IMPLICATIONS

- 8.1 Failure to comply with the requirements of The Public Service Pensions Act 2013 could result in reputational and financial loss.
- 8.2 Notwithstanding the services provided by the external pensions administrator, pensions legislation, guidance and practice is clearly complicated. The Pensions Board is very aware that there is a significant likelihood of errors from the administrators (contractors or in-house).
- 8.3 Although Pensions Board members continue to make use available training in order to increase their knowledge and understanding in relation to their role, there is currently an element of risk whilst they are working to attain this and each pension board member has their own full time role within the service.
- 8.4 Increased workloads of individual Board members may impact negatively on training and function.

9 CONSISTENCY WITH DUTY TO COLLABORATE

- 9.1 The legislation enables the establishment of joint boards with others. This is not a matter being pursued currently within Royal Berkshire Fire and Rescue Service.

10 PRINCIPAL CONSULTATION

- 10.1 The Chief Fire Officer has been consulted on the contents of this report.
- 10.2 The Chief Finance Officer has been consulted on the contents of this report.
- 10.3 The Monitoring Officer has been consulted on the contents of this report.

11 BACKGROUND PAPERS

- 11.1 None.

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12 APPENDICES

12.1 None.

13 CONTACT DETAILS

13.1 Lincoln Ball, RBFPS Pensions Board Chair, 07768 034 856

ROYAL BERKSHIRE FIRE AUTHORITY



COMMITTEE	AUDIT AND GOVERNANCE COMMITTEE
DATE OF MEETING	28 JANUARY 2021
SUBJECT	QUARTERLY PERFORMANCE REPORT 2020-21 QUARTER 2 (JULY TO SEPTEMBER 2020)
LEAD OFFICER	KATIE MILLS, HEAD OF CORPORATE SERVICES
LEAD MEMBER	N/A
EXEMPT INFORMATION	NONE
ACTION	TO NOTE

1. EXECUTIVE SUMMARY

- 1.1 To provide Audit & Governance Committee with an overview of the Royal Berkshire Fire and Rescue Service (RBFRS) second quarter (July to September 2020) performance for the 2020/21 financial year.

2. RECOMMENDATION/S

That the Audit & Governance Committee:

- 2.1 **NOTE** the performance against Service Provision and Corporate Health measures for the targets agreed by the Fire Authority for 2019/20.
- 2.2 **NOTE** the progress made on the two priority programmes.
- 2.3 **NOTE** the position of corporate risk.
- 2.4 **DISCUSS** and **AGREE** any further actions, if appropriate.

3. REPORT

- 3.1 The quarterly performance report supports the Performance Management Framework which provides structure and governance that will enable RBFRS to measure, monitor and manage outputs and outcomes in a timely manner, allowing the organisation to respond and make informed decisions to ensure that statutory obligations and the Fire Authority's Strategic Commitments are successfully delivered.
- 3.2 Following data capture, review and analysis, evidence is reviewed by the Strategic Performance Board (SPB) whose purpose is to lead, support and monitor the effective delivery of the Strategic Objectives by monitoring and reviewing performance across the four Quadrants.

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- 3.3 Following SPB review, key highlights have been extracted and are presented, along with a summary of progress, in this report for scrutiny at Audit and Governance Committee.
- 3.4 Throughout the COVID-19 pandemic we have focussed on protecting core service delivery, the wellbeing of our staff, and support for our partners. Mindful of the challenges facing us as we enter the winter period, we have reviewed our Service Plan and Project activity to ensure we retain our focus on the priorities listed above. As such it has been agreed that we will focus on our core data for reporting for the remainder of 2020/21.
- 3.5 The attached report provides an overview of performance for the second quarter (July to September 2020) of the 2020/21 financial year. It reports performance in four key areas:
- 3.6 Quadrant one - Service Provision - This section presents data and information which will allow members to monitor how RBFRS are doing at delivering its statutory obligations and any internal services provided between teams, departments and functions.
- 3.7 Quadrant two - Corporate Health - This section brings together all data, information and measures from across the organisation, which will allow members to monitor how RBFRS are managing key resources, e.g. People and Finance.
- 3.8 Quadrant three - Priority Programmes (IRMP, People Strategy, Strategic Asset Investment Framework and the HMICFRS Action Plan) - This section will allow members to monitor progress of work designed to deliver a defined outcome which is different to or improves on current working practices, policies and procedures in support of delivering against the Strategic Commitments and Corporate Plan 2019-23.
- 3.9 Quadrant four - Corporate Risk - This section groups provides an assessment of corporate risks that may impact on service delivery. This section will also include data and information from audit monitoring.

4. CONTRIBUTION TO STRATEGIC COMMITMENTS

- 4.1 Commitment 1 – We will provide education and advice on how to prevent fires and other emergencies.
- 4.2 Commitment 2 – We will ensure a swift and effective response when called to emergencies
- 4.3 Commitment 3 - We will provide advice, consultation and enforcement in relation to fire safety standards in buildings.
- 4.4 Commitment 4 – We will seek opportunities to contribute to a broader safety, health and wellbeing agenda, whilst delivering our core functions.
- 4.5 Commitment 5 – We will ensure that Royal Berkshire Fire and Rescue Service provides good value for money.
- 4.6 Commitment 6 – We will work with Central Government and key stakeholders in the interests of the people of Royal Berkshire.

5. FINANCIAL IMPLICATIONS

5.1 This report provides RBFA financial information under the corporate health quadrant.

6. LEGAL IMPLICATIONS

6.1 There are no legal implications arising from this report.

7. EQUALITY AND DIVERSITY IMPLICATIONS

7.1 This report provides RBFRS equality and diversity information under the corporate health quadrant.

8. RISK IMPLICATIONS

8.1 This report provides RBFRS corporate risk information under the risk quadrant.

9. CONSISTENCY WITH DUTY TO COLLABORATE

9.1 This report provides information on RBFRS performance measures and targets, as such there are no identified areas for collaboration.

10. PRINCIPAL CONSULTATION

10.1 The Chief Fire Officer was consulted during preparation of this report.
10.2 The Head of Finance and Procurement was consulted on the content of this report.

11. BACKGROUND PAPERS

11.1 Annual Plan 2020/21.

12. APPENDICES

12.1 Attached as Appendix A.

13. CONTACT DETAILS

13.1 Becca Chapman
Data, Performance and Risk Manager
07585 991629

13.2 Katie Mills
Head of Corporate Services
0118 938 4605

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QUARTERLY PERFORMANCE REPORT

Q2 2020 - 2021

July to September





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In an emergency, dial 999 and ask for the fire service.

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Contacting us when it's not an emergency



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Write to us at: Newsham Court, Pincents Kiln, Calcot, Reading, Berkshire,
RG31 7SD



Introduction

This is the Quarter Two Performance Report, summarising our progress across the Service.

In our Annual Plan for 2020/21, we set 10 Annual Objectives for the year, which can be found at Appendix B. The Objectives are delivered through our Service Plans and Local Safety Plans and our projects and programmes. Ongoing analysis of performance data and information supports decision-making across the organisation. We monitor performance across four Quadrants:

Service Provision: Monitoring the delivery of our statutory obligations and the services provided by RBFRS.

Corporate Health: Monitoring how key resources are managed and includes measures relating to staff, finance and health and safety.

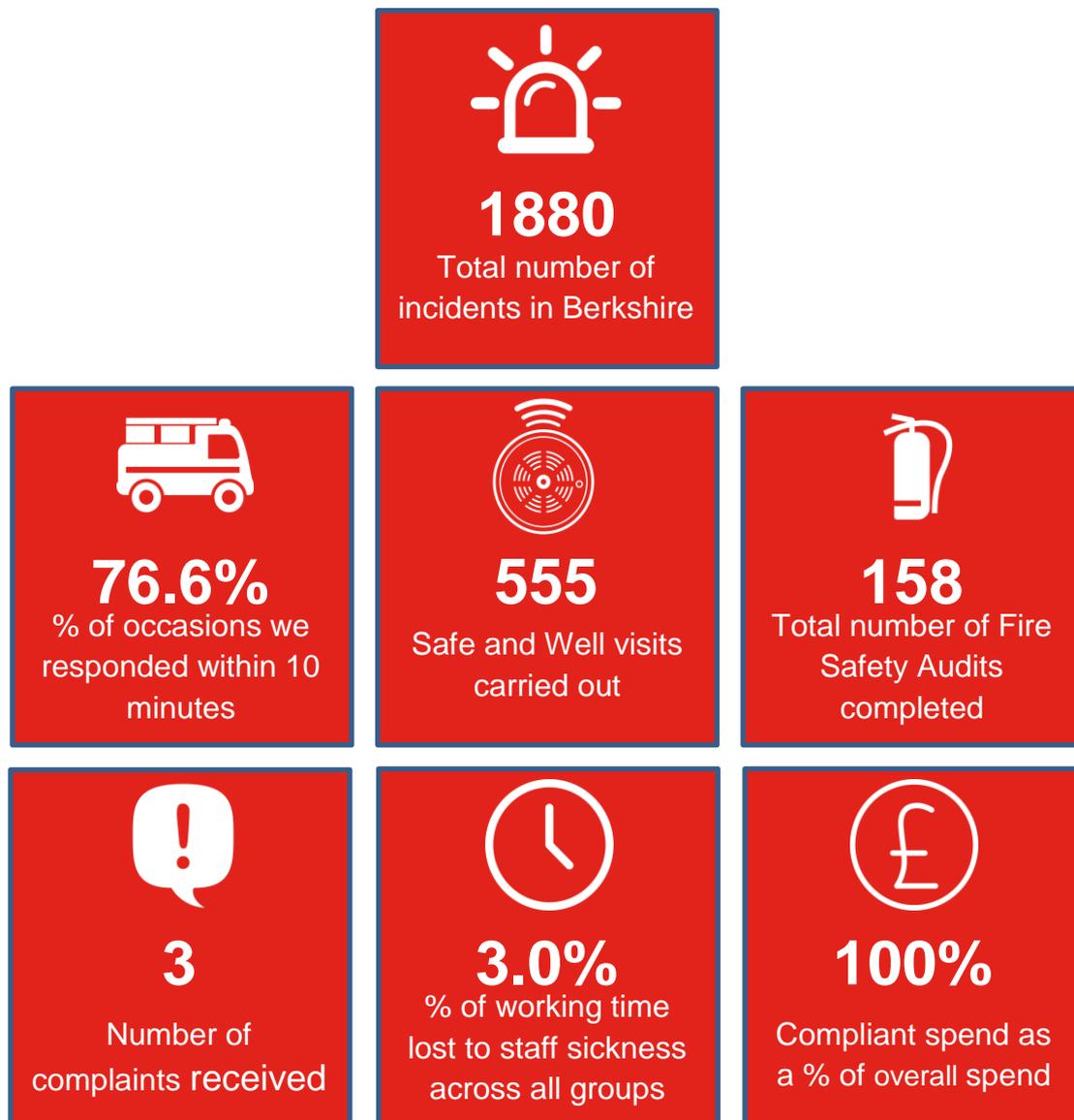
Priority Programmes: Progress against our key programme activity (our Integrated Risk Management Plan (IRMP), People Strategy, Strategic Asset Investment Framework and our HMICFRS Action Plan).

Risk: Providing an assessment of corporate risks that may impact on the delivery of our Service.

The Strategic Performance Board monitors performance quarterly, before key data and analysis is provided in this report for the Audit and Governance Committee to scrutinise.



Quarter Two - Summary



COVID-19 Pandemic

Our activity this Quarter continues to be dominated by our response to the COVID-19 pandemic. Our Annual Plan 2020/21 recognised that the circumstances related to COVID-19 may pose challenges to some areas of delivery and we may need to further adapt areas throughout the year. In some of our key areas of service, we did not set delivery targets as normal, instead committing to monitoring performance and re-introducing monthly targets when this was appropriate.

Throughout the pandemic we have focussed on protecting core service delivery, the wellbeing of our staff, and support for our partners. Mindful of the challenges facing us as we enter the winter period, we have reviewed our Service Plan and Programme activity to ensure we retain our focus on the priorities listed above. As such it has been agreed that we will focus on our core data for reporting for the remainder of 2020/21.



The Impact of COVID-19 on Incident Trends

The pandemic and associated restrictions continue to have an impact on the numbers of some of the incident types we respond to. Across the Quarter as a whole, there were around 90% of the level of incidents in the same period as 2019. August saw numbers of incidents much more in line with 2019, there were two periods of severe weather and flooding in August which have contributed to this.

There was potential for other incident types to increase as a result of national restrictions, in particular domestic fires, as a result of residents being at home, and cooking at home, more often. Overall in quarter 2, the number of accidental dwelling fires continued to be lower than in the same period last year, although this varied over the Quarter.

In Quarter One we saw an increased number of calls to outdoor fires and particularly to fires involving burning rubbish. This Quarter, these types of incidents have returned to levels similar to the previous year.



Quadrant One – Service Provision

This Quadrant scrutinises the service we provide to the public. Performance is monitored across Prevention, Protection and Response, using a set of performance measures which can be found at Appendix C.

As set out earlier in this report, COVID-19 and the need to protect our communities, staff and critical functions has continued to dominate this Quarter. Our agreed targets for the year reflect this – in some cases we have removed our target and will instead monitor activity dependent on COVID-19 risk and our capacity, reintroducing local monthly targets in due course.

The number of non-fatal casualties in accidental dwelling fires was higher this Quarter than in Quarter One, and compared with our target. The small numbers associated with this measure mean some fluctuation can be expected. Four of the casualties this Quarter resulted from a single fire in Windsor and Maidenhead. There is nothing currently to suggest there is further cause for concern but we will continue to closely monitor this measure.

In Quarter Two we were able to start to deliver more Safe and Well Visits to those members of the community at higher risk, although the number was only 23% of that delivered in the same period last year due to COVID-19. We continued to receive a high number (24) of Threat of Arson referrals from Thames Valley Police. These were all contacted, and in 23 of the cases visits were completed within 48 hours. The remaining visit took place later due to the availability of the occupant.

Due to COVID-19, the number of Fire Safety Audits conducted this Quarter was only 50% of the number carried out in Quarter Two last year, although there was a large increase compared with last Quarter (158 Audits in Q2 and 32 in Q1). We have continued to take a risk assessed approach to Fire Safety Audits, balancing the risk of fire against the risk of COVID-19 transmission. It is unsurprising that a lower proportion of those audits which have been undertaken in the Quarter have had a 'broadly compliant' result than in previous years. This reflects our focus on the highest risk properties which are more likely to be non-compliant.

Our Response Standard performance continues to stay above our target, with 76.6% of emergency incidents attended within 10 minutes. This is the first time since this Response Standard was introduced that we have met the target in Quarter Two, when we historically see a lower performance due to increased numbers of fires in the open. This Quarter, our Wholetime crewing availability did not meet our 100% target – there were two occasions where sickness (non-COVID-19 related) required critical standbys but these did not arrive within two hours of the start of the shift. In both cases the standbys arrived and the appliance was available within a further twenty minutes. Conversely, availability of our On-Call crews has continued to show an improvement on previous years, although availability is lower than in Quarter One due to re-opening of On-Call firefighters' primary employment following the early COVID-19 lockdown.



QUADRANT ONE - SERVICE DELIVERY					DATA SUMMARY
Overall Measures					
1. Number of Fire Deaths in Accidental Dwelling Fires					2020/21 Target: 0
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	1	0	1	1	1
Target	0	0	0	0	0
2020/21 Actual	0	0			0 ↑
2. Number of non-fatal fire casualties in accidental dwelling fires					2020/21 Target: 20 max
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	2	3	8	2	5
Target	5	5	5	5	10
2020/21 Actual	2	10			12 ↓
3. Number of deliberate Primary Fires					2020/21 Target: Reduce
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	50	44	36	35	94
Target	49	43	35	34	93
2020/21 Actual	36	28			64 ↑
4. Number of deliberate Secondary Fires					2020/21 Target: Reduce
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	84	110	40	35	194
Target	83	109	39	34	193
2020/21 Actual	85	101			186 ↑
Prevention Measures					
5. Number of Safe & Well visits delivered to those with individual characteristics making them at higher risk of death in the event of an accidental dwelling fire					2020/21 Target: Monitor (COVID-19 impacted measure)
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	2,288	1,800	2,069	1,352	4,088
Target	--	--	--	--	--
2020/21 Actual	302	537			839 ↓
6. Number of Safe & Well visits delivered to those who live in households with demographic characteristics associated with higher risk of injury in accidental dwelling fires					2020/21 Target: Monitor (COVID-19 impacted measure)
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	416	702	685	704	1,118
Target	--	--	--	--	--
2020/21 Actual	14	18			32 ↓
7. Percentage of Safe and Well Referrals, where there has been a threat of arson, completed within 48 hours					2020/21 Target: 100%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	75.0%	100.0%	94.7%	75.0%	87.9%
Target	100%	100%	100%	100%	100%
2020/21 Actual	100%	100%			100% ↑
Protection Measures					



8. Total number of Full Fire Safety Audits carried out in premises in Berkshire					2020/21 Target: Monitor (COVID-19 impacted measure)
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	471	319	321	283	790
Target	--	--	--	--	--
2020/21 Actual	32	158			190↓
9. Percentage of Full Fire Safety Audits with a 'Broadly Compliant'* result					2020/21 Target: 60% max
*compared with and calculated as 'satisfactory' whilst new datastreams are developed.					
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	67.9%	61.8%	55.8%	64.3%	65.4%
Target	60%	60%	60%	60%	60%
2020/21 Actual	40.6%	55.7%			53.2%↑
10. Percentage success when cases go to court					2020/21 Target: 80%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	0 cases	0 cases	100% (2 cases)	0 cases	0 cases
Target	80%	80%	80%	80%	80%
2020/21 Actual	0 cases	0 cases			0 cases
11. Percentage of Statutory fire consultations completed within the required timeframes					2020/21 Target: 95%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	92%	95%	90%	85.5%	93.1%
Target	95%	95%	95%	95%	95%
2020/21 Actual	95.6%	97.2%			96.4%↑
12. The number of Automatic Fire Alarm calls received					2020/21 Target: Monitor
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)			950	753	-
Target	-	-	-	-	-
2020/21 Actual	598	826			1424
13. Percentage of Automatic Fire Alarm calls where RBFRS did not attend					2020/21 Target: Improve
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)			26.0%	25.6%	
Target	-	-	-	-	-
2020/21 Actual	15.4%	20.6%			18.4%
Response Measures					
14. Percentage of occasions where the first fire engine arrives at an emergency incident within 10 minutes from time the emergency call was answered					2020/21 Target: 75%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	76.7%	74.0%	76.6%	78.6%	75.3%
Target	75%	75%	75%	75%	75%
2020/21 Actual	78.4%	76.6%			77.5%↑
15. Percentage of full shifts where there is adequate crewing on all wholtime frontline pumping appliances					2020/21 Target: 100%
	Q1	Q2	Q3	Q4	Year to Q1



Previous Year (19/20)	100%	100%	98.4%	100%	100%
Target	100%	100%	100%	100%	100%
2020/21 Actual	100%	98.9%			99.4%↓
16. Percentage of hours where there is adequate crewing on retained frontline pumping appliances					
					2020/21 Target: 60%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	35.9%	28.2%	32.7%	34.7%	32.0%
Target	60%	60%	60%	60%	60%
2020/21 Actual	62.6%	52.2%			57.2%↑
Customer Experience Measures					
The issuing of our Customer Satisfaction Surveys (Measures 17 to 20) has been impacted by COVID-19 restrictions.					
17. Percentage of domestic respondents satisfied with the overall service (fire incident)					2020/21 Target: 100%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	100%	100%	100%	100%	100%
Target	100%	100%	100%	100%	100%
2020/21 Actual	100%	NA			100%
18. Percentage of commercial respondents satisfied with the overall service (fire incident)					2020/21 Target: 95%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	100%	100%	100%	100%	100%
Target	95%	95%	95%	95%	95%
2020/21 Actual	NA	NA			NA
19. Percentage of respondents satisfied with the service with regards to Fire Safety Audits					2020/21 Target: 90%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	100%	98.5%	100%	96.9%	100%
Target	90%	90%	90%	90%	90%
2020/21 Actual	NA	NA			NA
20. Percentage of domestic respondents satisfied with the service – Safe and Well Visits					2020/21 Target: 100%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	-	-	-	99.3%	-
Target	100%	100%	100%	100%	100%
2020/21 Actual	100%	90.9%			91.7%
21. Number of complaints received					2020/21 Target: Monitor
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	7	11	14	5	18
Target	-	-	-	-	-
2020/21 Actual	7	3			10
22. Number of compliments received					2020/21 Target: Monitor
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	NA	NA	NA	NA	NA
Target	-	-	-	-	-
2020/21 Actual	2	4			6



Quadrant Two – Corporate Health

The Corporate Health Quadrant monitors the wellbeing of the organisation. Performance is monitored in relation to staffing levels, health and safety and finances within RBFRS, to ensure the organisation is being run safely, efficiently and is cost effective.

In Quarter Two we have continued to see improved performance on staff sickness, with 3.0% of working time lost to sickness across all staff groups, compared with a 4% target and a level of 3.9% in the same Quarter last year. This is a change associated with the COVID-19 pandemic, and we think this may be due to, amongst other things, changes in contact and activity reducing transmission of illnesses.

Our April round of fitness tests were cancelled due to COVID-19, however we advanced the testing due in October and started this in September. To date 40% of eligible personnel have completed and passed the test. 395 eligible personnel (158) tests have been completed and everyone tested so far has achieved a pass. Results for the completed round of fitness tests will be reported as usual at the end of Quarter Three.

Financial Update

Quarter Two Revenue Budget 2020/21

The 2020/21 Revenue Budget was set at £35.263m, with expenditure anticipated to exceed income by £284,000, meaning that the Fire Authority is reliant on its reserves to balance the budget.

Since the budget was approved by Members at Fire Authority in February 2020, the Authority has experienced significant financial volatility due to the impact of COVID-19. Through close working with the Budget Lead Member and robust budget monitoring, RBFRS has minimised the impact of the emerging pressures and maximised the use of the financial resources available to meet the Authority's priorities.

The forecast year-end outturn shows a deficit of £66,000 which is an improvement of £218,000 on the budgeted position.

The decision to close Wargrave Fire Station will generate an in-year saving on the *Stations* line.

When setting the 2020/21 budget an estimated pay rise for Green Book staff (from 1 April 2020) of 2% was included. The effect on the budget of the agreed 2.75% pay award is £55,000 of additional costs, which explains the forecasted non-station overspend.



Whilst the full impact of COVID-19 is still to be seen, the financial impact is becoming visible, with the following variances to budget:

- Community Fire Safety supplies (safe & well) £30,000
- Printing & stationery £18,000
- Catering & conferences, £38,000 (under 'Supplies Other')
- Travel & subsistence £62,000

Thames Valley Fire Control Service is showing anticipated in year savings of £61,000 (detailed in Appendix B). Berkshire's share of this is £23,000, which is shown in Appendix A.

Elsewhere within Contracts, the proposed increase in external auditor fees previously outlined to Members is the main contributing factor to the projected overspend. The budget allocation made for the year reflected the scale fees set out in advance by Public Sector Audit Appointments (PSAA).

The income contribution of £30,000 from Wokingham Borough Council has not been realised following the outcome of the feasibility study.

Additional grant funding has been received in 2020/21 in respect of COVID-19 and prevention activities. These allocations have now been incorporated into the budget and forecast spend, on both an income and associated expenditure basis.

Government grants and precept income is £78,000 higher than budget due to National Non-Domestic Rates (NNDR) Section 31 Grants. The budgets on these are based on estimates provided by the local authorities within Berkshire prior to the year commencing, with in-year variances reflecting the adjustments made to reflect actual data.



Royal Berkshire Fire Authority

Budget Update - Revenue Position Quarter 2 2020/21

	Annual Budget £'000	Outturn to 01/09/2020 £'000	Forecas t to YE £'000	Fcast - Budget Variance £'000
EMPLOYEES				
STATIONS	17,065	8,265	16,930	(135)
NON-STATIONS	10,698	5,347	10,722	24
TRAINING	570	154	571	1
OTHER	236	112	252	16
	28,569	13,878	28,475	(94)
PREMISES				
REPAIRS & MAINTENANCE	727	308	736	9
RATES	904	473	921	17
CLEANING	263	113	265	2
UTILITIES	449	188	441	(8)
	2,343	1,082	2,363	20
SUPPLIES				
INSURANCE	335	188	335	0
EQUIPMENT	647	292	647	0
IS EQUIPMENT & LICENCES	709	531	724	15
CLOTHING/PPE	374	157	377	3
COMMUNICATIONS	952	321	948	(4)
OCCUPATIONAL HEALTH	180	109	185	5
PRINT/STATIONERY/PUBLICATIONS/SUBSCRIPT IONS	154	94	143	(11)
COMMUNITY FIRE SAFETY SUPPLIES	180	7	150	(30)
SUPPLIES OTHER	196	59	169	(27)
	3,727	1,758	3,678	(49)
CONTRACTS				
CONTRIBUTION TO TVFCS & COLLABORATION	892	373	869	(23)
LEGAL	50	5	50	0
CONTRACTS OTHER (incl Professional Services)	773	194	807	34
	1,715	572	1,726	11
TRANSPORT				
VEHICLE RUNNING COSTS	743	365	727	(16)
TRAVEL	295	142	233	(62)
	1,038	507	960	(78)
PENSIONS				
PENSIONS	430	208	448	18
	430	208	448	18
INCOME				
GRANTS	(2,962)	(2,884)	(2,962)	0
RENTAL INCOME	(183)	(108)	(192)	(9)
TVFCS RECHARGE INCOME	(308)	(154)	(308)	0
INCOME OTHER	(351)	(30)	(315)	36
	(3,804)	(3,176)	(3,777)	27



NET COST OF SERVICES	34,016	14,829	33,873	(143)
DEBT CHARGES INTEREST	392	196	392	(0)
INVESTMENT INTEREST	(25)	(9)	(22)	3
REVENUE FUNDING OF CAPITAL	600	0	600	0
APPROPRIATION TO/(FROM) RESERVES	(52)	0	(52)	0
FINANCING COSTS	616	0	616	0
NET EXPENDITURE	35,547	15,016	35,407	(140)
GOV GRANTS/PRECEPTS	(35,263)	(21,482)	(35,341)	(78)
(SURPLUS)/DEFICIT BEFORE USE OF RESERVES	284	(6,466)	66	(218)

Royal Berkshire Fire Authority

Quarter 2 Budget Monitoring Report 2020/21

Thames Valley Fire Control Service (TVFCS)

	Annual Budget £'000	Outturn to Sept 20 £'000	Forecast to YE £'000	Fcast - Budget Variance £'000
EMPLOYEES	1,764	837	1,730	(34)
CORPORATE RECHARGES TO TVFCS FROM RBFERS	308	154	308	0
SUPPLIES	36	1	36	0
TECHNOLOGY	247	(6)	220	(27)
NET COST OF TVFCS	2,355	986	2,294	(61)
RBFERS Share of Costs (37.8%)	890	373	867	(23)



QUADRANT TWO – CORPORATE HEALTH					DATA SUMMARY
23. Percentage of working time lost to sickness across all staff groups					2020/21 Target: 4% max
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	4.3%	3.9%	5.3%	4.7%	4.3%
Target (20/21)	4%	4%	4%	4%	4%
2020/21 Actual	2.8%	3.0%			2.9%↑
24. Percentage of eligible operational staff successfully completing fitness test					2020/21 Target: 100%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	96.6%	99.8%	96.0%	98.5%	96.6%
Target	100%	100%	100%	100%	100%
2020/21 Actual	--	--			--
* timeframes for testing impacted by COVID-19					
25. Percentage of eligible staff with Personal Development Appraisals					2020/21 Target: 100%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	47.5%	81.9%	92.0%	92.0%	47.5%
Target	100%	100%	100%	100%	100%
2020/21 Actual	78.9%	95.3%			95.3%↑
26. Percentage of eligible operational staff in qualification					2020/21 Target: 100%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	98.8%	99.3%	99.1%	99.2%	98.9%
Target	100%	100%	100%	100%	100%
2020/21 Actual	97.3%	96.9%			96.9%↓
27. Number of formal grievances					2020/21 Target: Monitor
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	3	0	8	1	3
Target	--	--	--	--	--
2020/21 Actual	0	5 (anon) +1			5 (anon) +1
28. Number of RIDDOR accidents					2020/21 Target: 6 max
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	1	0	0	1	1
Target	1	1	1	1	1
2020/21 Actual	0	1			1↔
29. Percentage of spend subject to competition					2020/21 Target:
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	95.4%	91.4%	95.1%	93.6%	95.4%
Target	85%	85%	85%	85%	85%
2020/21 Actual	91.7%	92.1%			91.9%↓
30. Compliant spend as a percentage of overall spend					2020/21 Target:
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	100%	100%	100%	100%	100%
Target	100%	100%	100%	100%	100%
2020/21 Actual	100%	100%			100%↔



31. Number of Information Commissioner assessments finding that the Service has breached Information Rights Legislation*					2020/21 Target: 0
	Q1	Q2	Q3	Q4	Year to Q1
Previous Year (19/20)	0	0	1	0	0
Target	0	0	0	0	0
2020/21 Actual	0	0			0↔
*Freedom of Information Act, Environmental Regulations or Data Protection Legislation					



Quadrant Three – Priority Programmes

Our Priority Programmes Quadrant brings together progress updates on our areas of work where we are delivering defined outcomes that are different to, or improve on, current working practices, policies and procedures.

Updates are provided on our IRMP, People Strategy, Strategic Asset Investment Framework, and HMICFRS Action Plan.

Throughout the COVID-19 pandemic we have focussed on protecting core service delivery, the wellbeing of our staff, and support for our partners. Mindful of the challenges facing us as we enter the winter period, we have reviewed our Service Plan and programme activity to ensure we retain our focus on our priorities. As a result many of our Priority Programme projects have had their timescales reassessed, and the status updates below reflect this. We have also this Quarter been able to ensure priority areas get back on track, for example the National Operational Guidance Project, and our response to the Grenfell Inquiry recommendations. We have also made progress in implementing the recommendations from our 2019 HMICFRS report.

IRMP

RBFA is required to publish an Integrated Risk Management Plan (IRMP). In 2018, we consulted on and published an [IRMP for 2019-23](#), which reflects the priorities and requirements of the [Fire and Rescue National Framework for England](#).

Project 1: Risk Analyses						
	End 19/20	Q1	Q2	Q3	Q4	
Further development of our existing Risk Methodology and Risk Modelling capability to ensure we have an even understanding of all foreseeable fire and rescue related risks; working with academic partners to peer review and validate our work	G	G	A			
Continue to maintain a theoretical response model for the Thames Valley, in collaboration with our Thames Valley Fire and Rescue partners to ensure our Risk Methodology and Risk Modelling aligns to theirs.	G	A	A			
Continue to engage with and drive the National Fire Chiefs' Council (NFCC) work to develop national best practice in this area.	G	G	G			
Project 2: Prevention						
	End 19/20	Q1	Q2	Q3	Q4	
Continue to work towards the delivery of our 'Risk to Individuals' and 'Risk to Household' Safe and Well Visits, working in collaboration with our Berkshire partners to identify the most vulnerable people in our society.	BAU	BAU	BAU			
Develop a programme of follow up Safe and Well Visits to the most vulnerable (subject to the outcome of our Prevention Strategy consultation).	New	R	R			



Focus our activities in support of Children and Young People through our road and water safety education programmes, Fire Cadets and FireSafe (subject to the outcome of our Prevention Strategy consultation).	New	NS	A		
Carry out targeted road safety activity for motorcyclists (subject to the outcome of our Prevention Strategy consultation).	New	NS	R		
Continue to pilot an Adult FireSafe programme to fully understand the implications and potential benefits of this activity (subject to the outcome of our Prevention Strategy consultation).	New	NS	A		
Further develop local safety initiatives, campaigns and events to target risk at a local level.	A	A	A		
Project 3: Protection					
	End 19/20	Q1	Q2	Q3	Q4
Develop our risk-based inspection programme to ensure that we are identifying and targeting our resources at the areas of highest risk, in line with our Protection Strategy (subject to the outcome of our Protection Strategy consultation).	G	G	A		
Support the delivery of our Protection Strategy to improve the efficiency of our processes and policies.	New	G	A		
Increase our access to specialist qualified Fire Safety staff and engineers to ensure that we have the expertise to deliver an effective and efficient Protection function.	New	G	G		
Respond to and learn from recommendations relating to the Grenfell Tower fire and align our Protection Strategy, policies and processes to these recommendations.	A	A	G		
Project 4: Response Resource Deployment					
	End 19/20	Q1	Q2	Q3	Q4
Continue to evaluate future developments in housing and infrastructure to ensure that our resource deployments match predicted future demands.	G	G	A		
Undertake a review of our specialist water rescue capability to ensure it continues to be aligned to local risk and reflects national best practice (subject to the outcome of our Response Strategy consultation).	New	NS	R		
Commence a project to consider the feasibility of introducing dynamic risk-based daytime nucleus crewing in the West of the County to improve emergency incident response times (subject to the outcome of our Response Strategy consultation).	New	NS	R		
Project 5: Response Safe Systems of Work Development					
	End 19/20	Q1	Q2	Q3	Q4
Align our systems of work and training to National Operational Guidance and National Operational Learning.	A	A	G		
Conclude the procurement and take delivery of our new Aerial Ladder Platform and continue our roll out of latest generation fire appliances.	A	A	A		
Work with the NFCC and other key stakeholders to adopt new technologies, which support effective and efficient safe systems of work.	New	G	G		



People Strategy

The purpose of our [People Strategy 2018-2021](#) is to support RBFRS staff to become the best public servants they can be, creating a workforce that can deliver efficient and effective service on behalf of the Fire Authority, to manage all foreseeable fire and rescue related risks that could affect the people of Berkshire.

Objective 1: Recruit, train and develop people to ensure we create a safe, professional and capable workforce, who can provide a fit for purpose service, 24/7, 365 days a year						
	End 19/20	Q1	Q2	Q3	Q4	
Review our recruitment lifecycle from pre-attraction to induction; consider target audiences, communication techniques for early engagement with communities, technology to assist the application process, criteria for selection and time from advert to induction.	A	A	A			
Through the Workforce Planning Board, we will monitor the skills and staff numbers with the aim of ensuring we have the right people, in the right place, at the right time.	G	G	G			
Implementing recommendations from the review of assessment of operational competence	A	G	G			
Review the delivery mechanisms of the Learning and Development and implement findings	New	G	A			
Objective 2: Increase the diversity of our workforce to better represent and therefore serve our local communities						
	End 19/20	Q1	Q2	Q3	Q4	
Continue to support the Leonard Cheshire Change 100 programme to work with disabled graduates on a 100-day intern programme.	G	G	G			
Integrate and embed EDI objectives in our everyday activities	G	G	G			
Objective 3: Develop people and recruit talent to take personal responsibility for leadership in the organisation to ensure a public service ethos, support collaboration and effectively deliver service improvement						
	End 19/20	Q1	Q2	Q3	Q4	
Undertake a review of Reward and Recognition	NS	NS	NS			
Develop talent management systems for development of high potential staff	G	G	G			
Develop career pathways across all staff groups across the organisation	G	G	G			
Create a framework for coaching and mentoring	New	A	A			
Objective 4: Develop a diverse and inclusive 'one team' culture where everyone's contribution is valued and positive behaviours are used to describe how we work together						
	End 19/20	Q1	Q2	Q3	Q4	
Implement a Behavioural Competency Framework (BCF)	G	G	G			
Review the Communications and Engagement strategy	NS	NS	NS			
Continue to develop the Fire Authority Member Development Programme	New	G	G			



Implement a programme of staff engagement following the staff survey results	New		R	G		
Objective 5: Change policies, processes and systems to ensure they enable and support the delivery of a fit for purpose, efficient and effective service to the community						
	End 19/20		Q1	Q2	Q3	Q4
Working with external suppliers, to undertake programme of process improvement, which will ultimately lead to a culture of continuous improvements within teams.	A		A	A		
Initiate development of additional core skills courses on continuous improvement and business process improvement	NS		NS	NS		
Learn and adapt to different ways of working during and after the COVID-19 pandemic	New		G	G		
We will ensure efficiency through the implementation of digital resources for Prevention services	G		G	G		
We will explore the options for use of digital resources for Protection services	New					
Objective 6: Continue to support both the physical and mental health and wellbeing of our people.						
	End 19/20		Q1	Q2	Q3	Q4
Ensure the wellbeing of our staff is maintained throughout and after the COVID-19 pandemic	G		G	G		
Deliver the requirements of the 2020/21 mental health action plan	G		G	G		



Strategic Asset Investment Framework

The Strategic Asset Investment Framework sets out how we will maintain and renew the vital capital assets, necessary to support our services. Our capital assets include our fire stations and HQ, fleet and equipment and our ICT systems. All together, they represent a major capital investment.

Buildings						
		Status				
		Q4 19/20	Q1	Q2	Q3	Q4
New Fire Stations: Theale	On Track	G	G	G		
	On Budget		G	G		
Major Redevelopment: Crowthorne	On Track	G	C	C		
	On Budget		G	G		
Major Redevelopment: Whitley Wood	On Track	new	G	A		
	On Budget		na	na		
Minor Capital Works Programme	On Track	new	G	G		
	On Budget			G		
Fleet and Equipment						
		Status				
		Q4 19/20	Q1	Q2	Q3	Q4
Fleet: Fire Appliances	On Track	G	A	G		
	On Budget			G		
Fleet: Special Appliances	On Track	G	A	A		
	On Budget			G		
Fleet: Aerial Ladder Platform	On Track	G	A	A		
	On Budget			G		
Fleet: Other Ancillary Vehicles	On Track	G	A	A		
	On Budget			G		
Equipment	On Track	G	G	G		
	On Budget			G		



ICT						
		Status				
		Q4 19/20	Q1	Q2	Q3	Q4
Hardware	On Track	G	G	G		
	On Budget	G		G		
Software	On Track	G	G	G		
	On Budget	G		G		
Services	On Track	G	G	G		
	On Budget	G		G		
Networks	On Track	G	G	G		
	On Budget	G		G		
Security Resilience	On Track	G	G	G		
	On Budget	G		G		
ESMCP	On Track	G	G	G		
	On Budget	G		G		



HMICFRS ACTION PLAN

The HMICFRS report for RBFRS was published in 2019 rating us good in each of the three areas of effectiveness, efficiency and people. Improvements were identified within the report and the actions to address these are being tracked through this plan.

Section One: Effectiveness							
		End 19/20		Q1	Q2	Q3	Q4
Prevention evaluation to better understand benefits	Prevention new ways of working project	G		A	A		
Prevention quality assurance	Prevention new ways of working project	A		A	G		
Protection quality assurance	Service Plan	A		A	G		
Addressing the burden of false alarms	Service Plan	G		A	A		
Keeping the public informed during ongoing incidents	Service Plan	G		G	G		
Effective system to use for learning and debriefs	Service Plan	G		G	G		
Section two: Efficiency							
		End 19/20		Q1	Q2	Q3	Q4
Best use of available technology	ICT Strategy Prevention new ways of working project	G		G	G		
Section three: People							
		End 19/20		Q1	Q2	Q3	Q4
Values and behaviours understood and demonstrated	Service plan	G		A	G		
Effective use of competence recording system	Service plan	G		A	G		
Effective grievance procedures in place	Service plan	G		G	G		
Staff are confident in using feedback mechanisms	Service plan	G		G	G		
Process to identify, develop and support high-potential staff and aspiring leaders	Service plan	G		G	G		



Quadrant Four – Risk

Risk Register

RBFRS has developed a comprehensive Organisational Risk Management Policy, along with a framework for monitoring and managing risks and uncertainties to ensure that organisational objectives can be achieved. Strategic Risks and those with a current score of 17 or above, are escalated to the Corporate Risk Register and monitored monthly by the Senior Leadership Team.

Risk Movement Highlights

This section highlights organisational risks which have been added, closed or substantially changed risk score over the course of Quarter Two. To ensure the most up to date picture for risk, the updates include information about progress since the end of the quarter.

In addition to the below, a number of risks relating to the Built Environment Programme have been assessed and added to the Risk Register this quarter.

New Risk: Ongoing Impact of COVID-19 (Risk: 689)				
	Previous update Risk Score	End of Q2 Risk Score	Direction of travel	Risk score as at Dec 2020
<p>Risk 689 Risk Description: If we lose a number of staff simultaneously from critical roles across the organisation, which may be increasingly likely due to the fluctuations in Covid-19 infection rates locally, then we can expect to fail to deliver core services to the public and experience impacts on capacity to deliver planned service objectives and staff health and wellbeing.</p>	22 (Oct 2020)	22	↔	22
<p>At the end of September a new Covid-19 risk assessment was written reflective of the end of the 'first wave'. With the start of the 'second wave' of infections coinciding with the introduction of the new Covid-19 risk the score has remained at 22. At the beginning of October the C3 Structure was modified to include a dedicated 'Covid Response Lead' role in the place of the Response Support Group. The structure was further enhanced by the appointment of a 'Covid Support Officer'. At the end of November the treatments associated with the risk were refined in order to give clear ownership of specific treatments. This resulted in some treatments being closed and new ones introduced. Throughout this period various risk reduction measures have been introduced and varied dependent on current local and national guidance including the continuation of home working, Covid Safe workplaces and risk assessed variation of Service Delivery activity. The risk continues to be discussed and monitored on a regular basis at CEMT.</p>				
Current Key Controls and Mitigations	Risk Movement			
<p>Through the Operational Planning and Resilience Group ensure the continuation of operational readiness of both WDS and RDS assets</p>	<p>New process for tracking staff movements for PAOT etc now in place. Good overview by hub managers for resources required. Covid 19 degradation plan going to CEMT for sign off 02/12/2020 Following the recent Slough issue there have been lessons learned, there was good use of on Call crews and PAOT to try and cover the deficit. Guidance, monitoring and understanding has been improved.</p>			



<p>Through the Operational Planning and Resilience Group review service plans to identify sustainable and safe Response and TVFCS delivery models in line with changes to Covid Alert levels and restrictions</p>	<p>new treatment</p>
<p>Through existing structures review service plans to identify sustainable and safe Learning and Development delivery models in line with changes to Covid Alert levels and restrictions</p>	<p>L&D activities reviewed scalable L&D operational training identified and essential training to continue as appropriate in line with tier model. revised plan to go to CEMT 2 December 2020. Incident command assessment activities supported with remote delivery to meet promotion needs and increase resilience. L&D delivered by third parties continues where possible.</p>
<p>Maintain effective internal C3 structures, regularly reviewing arrangements and scaling up and down as required</p>	<p>The revised structure is now in place and beginning to function well. The creation of a response lead is working well but we have additional support to form a wider team approach. We will continue to monitor capacity of the team.</p>
<p>Provide daily monitoring of absences across all teams to support national, local and internal reporting arrangements and to inform management and planning activity</p>	<p>HR monitoring for staff sickness and self-isolating numbers. Providing this information to Covid Response Lead to meet required updates to CEMT, NFCC and LRF</p>
<p>Maintain links to and support LRF C3 structure to provide appropriate escalation and intelligence gathering routes</p>	<p>DCFO primary lead with SCG. AM P&P primary lead with TCG. COP and updates shared for CEMT consideration. MAC supported by Comms team with TV/Berkshire messaging supported and briefings, such as MP's update distributed to FA members.</p>
<p>Maintain links to and support National C3 structures (e.g. NFCC) to provide appropriate escalation and intelligence gathering routes</p>	<p>NFCC and other partners continue to circulate information via the CFO however we have established the Covid19infomation@ email address to create a single point contact with the organisation and this has been shared with outside organisations where appropriate. Information sent to this inbox is logged and actioned. CFO is maintaining links with national and local senior leaders.</p>
<p>Through existing structures review service plans to identify sustainable and safe Prevention and Protection delivery models in line with changes to Covid Alert levels and restrictions</p>	<p>C-19 lead and sub group leads and sponsors identified. Some groups will stand up as soon as practicable , others will be 'on demand' as the situation develops.</p>
<p>Through the Staff Planning and Resilience Group - facilitate effective support arrangements to all staff to ensure ongoing development, engagement and the safety and wellbeing of staff</p>	<p>Regular meetings in place. Health and wellbeing constant consideration and further action taken to provide reimbursement of Flu vaccination costs where staff could not access the voucher provision as agreed at CEMT 4.11.20. Revisiting return to workplace assessments for staff with line managers to ensure appropriate supports in place. CV guidance reviewed 1/12/20 and operations in line with current position in RBFRS (RA and OH support available to assist decisions).</p>



Maintain close working relationship with representative bodies across in relation to BAU activity	Regular contact has been in place throughout Covid response. Consultation initiated on proposed changes and regular sessions set up to keep informed where required
Through the Staff Planning and Resilience Group ensure the continuation of business critical services	Focus through recent weeks on reporting of positive covid cases, plus those with symptoms and links that inform internal continuity of service, particularly in relation to service delivery (stations). Business Continuity services for payroll, pension and occupational health confirmed and in place.

Returning Risk: EU Exit Transition (Risk: 683)				
	End of Q1 Risk Score	End of Q2 Risk Score	Direction of travel	Risk score as at Dec 2020
Risk 683 Risk Description: If negotiations taking place to establish the basis of the UK's departure from the UK on the 31 December 2020 result in a 'no deal' exit we can expect potential disruption to goods, services, finance and personnel which could have a significant impact in managing delivery of our core services.	New Risk	13	New Risk	13
Following significant planning work in 2019 in response to previous 'Brexit' negotiations, risk 683 was established to ensure our arrangements remain up to date and responsive to EU Transition. Treatments are up to date and reflect measures taken to mitigate potential impacts of the transition period. At the time of updating this risk negotiations were on-going so no further consideration of impacts could be considered.				
Current Key Controls and Mitigations	Risk Movement			
HoS to review their specific risks within their service area based on a 'no deal' outcome of any Reasonable Worst Case Scenarios coming from HMG.	Initial work has already been undertaken by HoS as part of Brexit task group to look key risks within their service area. This needs to be reviewed and updated as necessary by HoS to account for any changes.			
Risks to be assessed against current BCM plans, identify need for additional mitigation and implement	D-20 work continues within TVLRF overseen by the standing LRF SCG and any relevant information fed back into the Service. SCG and EU Exit Working Group meetings occurring weekly. Monitoring for Issues around transportation (Heathrow routes/A34) for congestion impacts or dumping of perishable goods. Brexit sub-group in place but no new information to inform or changes RBFRS BCM plans at this time.			
If required produce action plan to address mitigation/treatments for sign off at SLT	To be kept under review pending any change in risks, new demands or requirements or new information/intel coming from SCG/LRF channels.			
If required escalate any significant risks through TVLRF EU response structure	Internally EU Risk considered against existing BCP's. No new issues to raise through service or LRF SCG. EU Transition being monitored through weekly LRF SCG meetings (SCG dealing with concurrent risks of COVID/EU transition/Weather). EU Transition Sub group beneath this to consider detail issues.			



Ensure RBFRS are sighted on any impacts on transportation links, issues with fire safety due to storage and effects at Heathrow. Produce planning for any contingency if required	No detailed information from LRF to indicate specific risks within Berkshire at this time and no specific measures required to adapt operational arrangements. Affects at Heathrow and the A34 continued to be monitored
Ensure impacts on staff and employment arrangements have been considered against the change in freedom of movement that stem from EU Transition.	We have reviewed the employment situation in the context of end to all free movement from 31 December 2020 and will undertake actions to address recruitment processes as a result. We do not consider there to be a need to apply to become a Licenced Sponsor and therefore have no plans to pursue this at this
Mitigate impact of access to supplies to ensure on-going and effective operation of the services	Plans established to mitigate exposure to any limitations in accessing supplies. Fuel stocks in place to provide 3 month supply. Other identified consumables ordered. Contractors engaged to ensure considerations given to securing supply chain.

Closed Risk: Property Capital Projects Theale (Site Remediation) (Risk: 513)				
	End of Q1 Risk Score	End of Q2 Risk Score	Direction of travel	Risk score as at Dec 2020
Risk 513 Risk Description: If the site remediation works are more extensive than surveys indicate, which is possible on this site, then we could see an increase in the costs to carry out the remediation works.	13	Closed	Closed	NA
<p>This risk was first assessed in July 2018, when it was clear that a significant package of remediation works would be needed to prepare the site for construction. The treatments below were applied and the remediation works were completed through the first COVID-19 lockdown, which placed significant restrictions on site operation. Despite this, we were able to complete the remediation works on time and on budget, and the risk was closed in July 2020.</p>				
Key Controls and Mitigations	Risk Movement			
Site remediation is part of a separate tender to the main build contract. Contractor will be nominated by RBFRS and will be a sub-contractor to the main contractor. Site will be remediated in line with requirements for build contract and planning	The appointed specialist contractor worked in full alignment with the main build contractor from start to finish. This ensured the smooth progression of the fixed scope specialist remediation works to deliver a site ready for construction. This enabled us to realise efficiencies in terms of programme timeline.			
Close engagement with nominated remediation contractor to identify any additional risk factors that may impact on cost of remediation	Due to the close working relationship between the entire project team, at each stage of the remediation works the project team were able to review potential risks and issues immediately in order to resolve them swiftly. All risks were identified early and a detailed mitigation strategy was followed.			
Working with remediation contractor to seek opportunities for cost reduction	The specialist remediation works were packaged into a fixed scope of works with a fixed price. This reduced the potential risk to one of time as opposed to cost. Contingency was built into the project programme to ensure that sufficient time was available for the planned remediation. The project team			



	continued to work with the appointed contractors throughout this process to identify any areas for efficiencies in terms of cost or programme time.
Land acquisition agreement includes up to £90k cost recovery for Japanese Knotweed (JKW) removal and treatment. National Rail (NR) intend to do some removal prior to land purchase.	The entire package of remediation works were completed by our appointed contractors to ensure these were aligned to both our construction requirements and those of the Local Planning Authority. No works were therefore completed by NR prior to purchase. On completion, we were able to recover the agreed £90k contribution from NR towards the removal of the JKW.

Corporate Risk Register risks as at 15th December 2020

Risk ID	Risk Short Name	Risk Description	Inherent Score	Current Score	Treated Score
417	Firefighter Safety	If we do not maintain the safety, health and wellbeing of our operational staff through effective training; operational policy and guidance; safe systems of work and; means to capture and respond to operational learning, we risk a significant firefighter injury or fatality, a failure to comply with our legal duty and an undermining of the operational effectiveness and competence of our staff. This could significantly impact the effectiveness of our operational response, have a long term impact on staff welfare and damage our public reputation and trust levels.	25	19	19
418	ESMCP	If we do not make sufficient provision of resources to support the development, transformation to and implementation of ESMCP products and capabilities at a Service level, then we will not be a part of the proposed Emergency Services Network and we will be out of step with national and regional partners across the three emergency services. This could significantly impact on the effectiveness of our operational mobilization and response and limit access and use of operational technology to support incident command and joint emergency services interoperability. Consequently this could impact negatively on our collaborative and partnership working and our public and political reputation.	18	14	10
506	Volatility of funding	If RBFRS fails to receive sufficient funding, which is becoming more likely given the level of national debt, the Government's fiscal policy, increasing volatility in local funding and increasing budget pressures, we can expect to face further reductions in service delivery and a loss of public trust, which will severely impact on our ability to deliver our statutory duties and strategic objectives.	24	22	16



Risk ID	Risk Short Name	Risk Description	Inherent Score	Current Score	Treated Score
565	Asset Management	RBFRS needs clear visibility of assets and equipment through records, maintenance regimes and management systems to ensure effective use, efficiency and safety throughout their lifecycle. Failure to do this could led to assets and equipment that are not fit for purpose remaining in service, higher than necessary costs and a potential increase in the likelihood of equipment failure.	21	18	15
570	High rise evacuation management	If we do not provide clear guidance and training to effectively manage high rise evacuation strategies and tactics, which is likely to attract increased scrutiny following the Grenfell incident, then we can expect potential loss of life or injury to occupants which is significant in respect of managing community risk and our public reputation	18	14	10
629	Management of Cyber Security	If we fail to ensure compliance with Cyber Security best practices and guidelines, which is increasingly likely due to ongoing evolution in the sophistication of attack methodologies, we may be exposed to operational degradation, financial loss and/or reputational damage due to reduced availability, integrity or currency of our data and systems.	21	12	12
641	Collaboration	If collaboration activity is not appropriately commissioned, prioritised, resourced and coordinated, which is likely due to the complexity of working across different organisations and the capacity to manage additional demand, then we can expect impacts on delivery of the expected benefits, efficiencies and improvements which is significant in respect of our legal duties and the Authority's commitments in the IRMP and annual plan.	21	15	12
651	Grenfell - Phase 1	If we do not respond to the recommendations made within the Grenfell Inquiry phase 1 report which is becoming increasing likely given the additional changes/information being received through a number of channels then we can expect potential impact to the safety of our staff and members of the public which is significant in respect to our public reputation and managing our community risk.	24	18	15



Risk ID	Risk Short Name	Risk Description	Inherent Score	Current Score	Treated Score
663	Capital Projects - Effective Estate Management	If we fail to effectively manage our property assets to ensure they are fit for purpose and in the right locations, which may become increasingly likely given the funding challenges and the increasing age of our fire stations, then we can expect our revenue expenditure to increase, our services to be less effective and our stations to further decline which would be significant in respect to our strategic objectives; to ensure value for money and ensure fire stations are suitable and accessible for our own staff and the communities they serve.	23	16	8
664	Management of Budget Pressures	If we fail to accurately capture budget pressures over the medium term, which is becoming more likely given the volatility in the macro-economic environment, then resource allocation will become sub-optimal, impacting negatively on our ability to deliver an efficient and effective service to the public.	24	22	16
669	National Operational Guidance	If we do not ensure operational documentation is up to date, accessible and aligned to national best practice then there is the potential for personnel to train in or deploy operational procedures that do not maximise safety and operational effectiveness which is significant in respect of delivery statutory duties and legislative responsibilities	18	15	12
676	Workforce Planning	If RBFRS fail to increase the capability, capacity and resilience of our workforce which may become increasing likely as we lose knowledge through retirement of experienced staff, and require new skills and additional capacity to help us respond to the changing demands, then we can expect to fail to deliver against our statutory requirements and broader organisational development objectives	21	15	10
678	Management of operational risk information	Failure to manage the capture, processing and storage of operational risk information which may result in holding inaccurate, invalid or out of date information. This risk is a significant in relation to managing community and firefighter safety and meeting the requirements of GDPR. The current likelihood is high given the range, volume and complexity of the data,	18	18	12
681	WDS Operational Availability, Crewing and Capabilities	If we do not maintain the necessary numbers, skills and knowledge requirements of WDS personnel, which requires constant attention with our lean operating model, we may see adverse impacts on the provision of appliance availability, delivery of our response standard and our wider service plans and this could significantly impact community safety and our organizational reputation.	23	15	12



Risk ID	Risk Short Name	Risk Description	Inherent Score	Current Score	Treated Score
682	On-Call Operational Availability, Crewing and Capabilities	If we do not sustain activity to ensure our on-call provision has the appropriate numbers of personnel with the necessary skills, knowledge and availability then we risk undermining organisational resilience in our response capability and this could impact community safety and organizational reputation.	21	18	12
683	EU Exit Transition	If negotiations taking place to establish the basis of the UK's departure from the UK on the 31 December 2020 result in a 'no deal' exit happens we can expect potential disruption to goods, services, finance and personnel which could have a significant impact in managing delivery of our core services.	17	13	6
685	Pensions Case Law	If we do not keep informed of pension case law and prepare records and establish adequate arrangements to meet the expected changes to pension regulations and ensure the Pensions Administrator undertakes the necessary action; which is becoming increasingly difficult due lack of understanding and clear direction, the technical complexity associated with changes and competing demands, then we can expect to be in breach of the regulations, subject to potential legal challenge and adversely impact employees and pensioners, which are significant in respect to our financial security, employer duties and our reputation.	24	22	18
686	Pensions Governance	If we do not employ an effective pension governance, management and administration strategy; which is becoming increasingly important given the complexity and changes made to pension regulations, limited pensions expertise and capacity within the HR department, then we can expect to fail in our employer duties, breach regulations, be subject to legal challenge and scrutiny from The Pensions Regulator resulting in potential for enforcement and penalty notices, which are significant in respect to our financial security, statutory duty and our reputation.	21	18	15
689	Ongoing impact of Covid-19	If we lose a number of staff simultaneously from critical roles across the organisation, which may be increasingly likely due to the fluctuations in Covid-19 infection rates locally, then we can expect to fail to deliver core services to the public and experience impacts on capacity to deliver planned service objectives and staff health and wellbeing.	24	22	19



Risk ID	Risk Short Name	Risk Description	Inherent Score	Current Score	Treated Score
704	Management of Corporate Data, Information and Knowledge	If RBFRS fails to effectively manage the sharing, control and distribution of corporate data, information and knowledge, which is increasingly likely due to the increasing complexity of data flows into, out of and within the organisation, as well as significant change in organisational structure and personnel, then we can expect mishandling and loss of critical information as well as reduced efficiency in getting the right information to the right individuals for the right action to be taken, which is significant in respect to achieving all of our strategic objectives.	17	16	10



Audit Plan

Audits provide assurance that the Service is run properly and in ways that have been agreed by our Officers and Members. They demonstrate that the business is conducted in accordance with relevant legislation, government expectations, good practice and organisational policy.

Our Audit Programme for the year has been affected by the COVID-19 restrictions in place. We have been working to re-schedule and re-prioritise the programme. Five audits will be complete by the end of December, with the remaining two to follow in Quarter Four.

At the start of Quarter Two there were five actions from previous audits open. One of these was closed during the quarter. Two are on track for completion. The fourth action, relating to succession planning for Firefighter Pension Administration, currently has an amber status due to ongoing delays with the provider. The final action, a requirement to establish unique user accounts to ensure cyber security, also has an amber rating due to some slippage as a result of COVID-19 delays.

Audit title and date	Audit Action	Date due (revised where applicable)	Priority	Status	Open / Closed
Firefighter Pension Administration 27/11/2019	Implement written succession plans for 'Fire' clients with reference to specific RBFRS workarounds where appropriate.	30/11/2020	Low	A	Open
<p>Progress: Delays to the sign off of the organisational review by the Council resulted in the delay to consultation. This started but was suspended due to the Covid-19 situation but work has now recommenced and is expected to progress over the next two months. Whilst this has created a delay to the development of a formal written succession plans for WYPF, interim measures have been put in place to address the risk identified through the recruitment of additional resource. Additional staff in WYPF are being recruited to, following internal filling of more senior roles.</p>					
Governance and Risk Management 08/01/2020	As part of the review of Constitution and Members Handbook (Including the Terms of Reference), the responsibility for electing a Chair and Vice Chair will be added to the relevant Terms of Reference and will be subsequently sent to the relevant body for approval.	31/01/2020	Low	G	Open
<p>Progress: The review was completed and an update to the Constitution drafted, which was approved by A&G and has now been agreed by the Fire Authority (post end of Q2).</p>					



Audit title and date	Audit Action	Date due (revised where applicable)	Priority	Status	Open / Closed
Governance and Risk Management 08/01/2020	<p>As part of the planned review of the Members Handbook, the conditions for reviewing the Terms of Reference of the Fire Authority and its committees will be clearly outlined.</p> <p>The updated Terms of Reference will subsequently be sent to an appropriate body for approval.</p>	31/01/2020	Low	G	Open
<p>Progress: The review was completed and an update to the Constitution drafted which was approved by A&G and has now been agreed by the Fire Authority (post end of Q2).</p>					
Key Financial Controls – Creditors 04/03/2020	<p>Once the implications of Brexit have become clear, the Financial Regulations will be as planned sent to the Audit and Governance Committee in March 2020 and subsequently sent to the full Fire Authority for approval in April/May 2020</p>	30/09/2020	Low	C	Closed
<p>Progress: Revisions to the Regulations were delayed to take account of learning from COVID19 in relation to procurement and supplier resilience. The revised Regulations were presented to A&G Committee on the 3rd November and to Fire Authority on the 16th November.</p>					
Cyber Essentials 12/03/2020	<p>Management will establish unique user accounts for RBFRS station users to avoid the risks associated with generic group accounts after finalising the on-going review</p>	31/12/2020	Med	A	Open
<p>Progress: Preparation work required to migrate from generic station based accounts to individual accounts continues, with permissions mapping tools installed and training in their use underway. This will allow the introduction of individual accounts with much lower risk of broken permissions leading to loss of access to critical records for station based staff. Some COVID-19 imposed delays may result in remediation slippage but a recovery plan is in development to minimise any impact. Overall status has been changed to amber until the recovery plan is in place.</p>					



Appendix A – Additional Data

REPORTABLE SERVICE MEASURES					
Percentage of occasions where time to answer emergency calls is within 10 seconds					2020/21 Target: 97%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	98.2%	97.7%	99.2%	97.6%	97.9%
Target	97%	97%	97%	97%	97%
2020/21 Actual	98.4%	98.3%.0			98.4%↔
Percentage of occasions where time to mobilise is within 90 seconds					2020/21 Target: 80%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	72%	73.5%	74.5%	72.1%	72.8%
Target	80%	80%	80%	80%	80%
2020/21 Actual	71.7%	70.8%			71.2%↓
Percentage of occasions where wholetime duty system crew turnout time is under 90 seconds					2020/21 Target: 90%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	91.9%	93.4%	94.2%	94.5%	92.7%
Target	90%	90%	90%	90%	90%
2020/21 Actual	95.8%	95.4%			95.6%↑
Percentage of occasions where On Call crews turnout is within the agreed timeframes					2020/21 Target: 90%
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	69.4%	74.1%	74.2%	81.1%	72.1%
Target	90%	90%	90%	90%	90%
2020/21 Actual	94.1%	86.3%			90.5%↑
Percentage of occasions a second fire appliance attending a dwelling fire arrives within 2 minutes of the first appliance to arrive					2020/21 Target: Monitor
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	63%	61.6%	62.8%	73.3%	62.3%
Target	--	--	--	--	--
2020/21 Actual	62.7%	56.2%			59.2%↓
Percentage of occasions a second fire appliance attending a road traffic collision arrives within 2 minutes of the first appliance to arrive					2020/21 Target: Monitor
	Q1	Q2	Q3	Q4	Year to Q2
Previous Year (19/20)	55.3%	54.0%	52.3%	58.3%	54.6%
Target	--	--	--	--	--
2020/21 Actual	55.6%	52.7%			54.0%↔



Accident Investigations

Measure		Q1 Actual	Q2 Actual	Q3 Actual	Q4 Actual	2020/21 YTD
Accidents Requiring Investigation	Minor	6	4			10
	Moderate	4	7			11
	Major	0	0			0
Near Misses Requiring Investigation	Minor	5	6			11
	Moderate	4	3			7
	Major	0	0			0
*Accident Investigations Outstanding	Minor	0	0			0
	Moderate	0	0			0
	Major	0	0			0
*Near Miss Investigations Outstanding	Minor	0	0			0
	Moderate	2	0			2
	Major	0	0			0

*Accident Investigation Officers (AIO) have two months within which to submit their reports, unless an extension to this has been agreed due to the complexities of the investigation. The figures in the table relating to accident investigations or near misses outstanding, refer to investigation reports that were due to be submitted within that quarter but had not been received at that time.

Minor - an accident which causes only a slight injury, and not requiring medical attention other than first aid, with no potential to have been more severe, or a near miss event with the potential to cause slight injury. The local workplace manager investigates these events.

Moderate - an accident which causes an injury requiring medical treatment immediately (not including first aid) or at a later date (for example physiotherapy), and/or an accident that is likely to lead to more than three days' absence from work or normal duties (i.e. restricted duties) but is not a specified injury as defined under RIDDOR, or a near miss event, including Dangerous Occurrences as defined under RIDDOR, which had the potential to have caused such injuries. These investigations are carried out by someone who is trained in analytical accident investigation, known as an Accident Investigation Officer (AIO).

Major - an accident causing a death or a specified injury; or a near miss event, including Dangerous Occurrences as defined under RIDDOR, with potential to have caused such injuries. Major events are investigated by a team of AIO's, co-ordinated and led by an Area Manager.

Near miss definition: An unplanned event including damage to equipment and property that had the potential to cause death, injury or ill health.

Accident categories may be re-categorised at any point before or during the investigation, which can retrospectively affect the numbers.



Equality, Diversity and Inclusivity Data Summary

Measure		Q1	Q2	Q3	Q4	2020/21 YTD	Q2 19/20	Authorised establishment (Number of authorised posts)
STAFF IN POST	Wholetime	364	361			361	357	362
	Retained	84	75			75	89	80
	Control	41	43			43	39	39
	Green Book	170	168			168	149	171
	Total Number of Staff	659	647			647	634	652
STAFF TURNOVER	Wholetime	7	8			15	8	
	Retained	4	9			13	5	
	Control	2	0			2	0	
	Green Book	0	7			7	12	
	Total Number of	13	24			37	25	
	Staff in Post (SIP)	659	647			653	634	
	Percentage of Leavers	1.97%	3.71			1.97%	3.94%	
FEMALE STAFF	Wholetime	4.4%	4.4%				4.4%	
	Retained	14.3%	16%				12.4%	
	Control	73.2%	69.8%				71.8%	
	Green Book	56.5%	57.1%				57.0%	
	Total	23.4%	23.8%				21.9%	
AGE PROFILE	25 and Under	46	43				38	
	26-35	176	169				162	
	36-45	208	208				209	
	46-55	192	187				191	
	56-65	36	39				33	
	66 and Over	1	1				1	
	Total	659	647				634	
							Target	
ETHNICITY FIGURES	Wholetime	5.2%	5.3%				4.8%	
	Retained	4.8%	2.7%				4.5%	
	Control	2.4%	2.3%				2.6%	
	Green Book	14.1%	13.7%				14.8%	
	Total	7.28%	6.96%				6.94%	



Appendix B – 2020-21 Annual Objectives

- 1) We will provide education and advice on how to prevent fires and other emergencies.
- 2) We will ensure a swift and effective response when called to emergencies.
- 3) We will provide advice, consultation and enforcement in relation to fire safety standards in buildings.
- 4) We will seek opportunities to contribute to a broader safety, health and wellbeing agenda, whilst delivering our core functions.
- 5) We will ensure that Royal Berkshire Fire and Rescue Service provides good value for money.
- 6) We will work with Central Government and key stakeholders in the interests of the people of Royal Berkshire.
- 7) We will recruit, train and develop our people to ensure we create a safe, professional and capable workforce that are supported to become the best public servants they can be for the residents of Berkshire.
- 8) We will manage RBFRS in accordance with best practice, understanding and continuous improvement, learning from events and being transparent in our compliance.
- 9) We will be strong and visible in our leadership in developing a diverse and inclusive 'one team' culture where everyone's contribution is valued and positive behaviours are recognised.
- 10) We will explore collaboration opportunities to ensure we deliver effective and efficient services to the people we serve.



Appendix C - Performance Measures and Definitions

Service Provision

ID	Measure	Definition
1	Number of fire deaths in accidental dwelling fires	The number of deaths that occur as a result of an accidental dwelling fire, even when the death occurs weeks or months later.
2	Number of non-fatal fire casualties in accidental dwelling fires	The number of non-fatal casualties that occur as a result of an accidental dwelling fire. This includes a person or persons whose injuries may be slight or serious and require hospital treatment and which are attributed to the accidental dwelling fire.
3	The number of deliberate primary fires	The total number of primary fires, where it has been identified that the fire was started deliberately.
4	The number of deliberate secondary fires	The total number of secondary fires, where it has been identified that the fire was started deliberately.
Prevention		
5	Number of Safe and Well Visits (S&Ws) delivered to those with individual characteristics making them at higher risk of death in the event of an accidental dwelling fire	A Safe and Well Visit is a free service that we provide to eligible residents. Safe and Well Visits are tailored to individual needs, relating to health and wellbeing, as well as fire risk reduction. A Safe and Well Visit will take place in the home and can be arranged at a convenient time.
6	Number of Safe and Well Visits (S&Ws) delivered to those who live in households with characteristics associated with higher risk of injury in accidental dwelling fires.	A Safe and Well Visit is a free service that we provide to eligible residents. Safe and Well Visits are tailored to individual needs, relating to health and wellbeing, as well as fire risk reduction. A Safe and Well Visit will take place in the home and can be arranged at a convenient time.
7	Percentage of Safe and Well referrals, where there has been a threat or incidence of arson, completed within 48 hours	When RBFRS are made aware of the threat or incidence of arson against an individual(s) a Safe and Well Visit should be conducted, wherever possible, within 48-hours.



ID	Measure	Definition
Protection		
8	Total Number of Full Fire Safety Audits carried out	A Fire Safety Audit is carried out to enforce the Regulatory Reform Order (RRO) 2005, which applies to virtually all non-domestic premises and covers nearly every type of building, structure and open space. This is the total number of Full Fire Safety Audits carried out in premises in Berkshire. This is calculated once the service has been closed by RBFRS and only includes the initial Full Fire Safety Audit.
9	Percentage of Fire Safety Audits with a 'Broadly Compliant' result.	This is the percentage of closed Fire Safety Audits carried out in commercial premises, where the result was 'Broadly Compliant' (satisfactory) and no further action or follow-up was required. This target has been reviewed this year and amended from 50% max to 60% max to ensure it is both stretching and realistic. National performance was 67% in 2018/19.
10	Percentage success when cases go to court	This is the percentage of successful prosecutions following Fire Safety Audits.
11	Percentage of statutory fire safety consultations completed within the required timeframes	Statutory fire consultations have a legally defined timeframe in which they must be completed and include: <ul style="list-style-type: none"> • Licensing • Building regulations • Building regulations approved supplier
12	The number of Automatic Fire Alarm calls received	Automatic Fire Alarm calls are calls from Alarm systems and have a higher likelihood of being a false alarm.
13	The percentage of Automatic Fire Alarm calls where RBFRS did not attend.	This is the number of Automatic Fire Alarm calls received where we did not attend. In some circumstances we are able to seek confirmation that this is not a false alarm, before attending.



ID	Measure	Definition
Response		
14	Percentage of occasions where the first fire engine arrives at an emergency incident within 10 minutes from the time the emergency call was answered	This measure looks at the time taken from when the Fire Control Room Operator answers the phone until the time the first fire engine (appliance) arrives at the scene of the emergency incident, and on how many occasions RBFRS does this in under 10 minutes.
15	Percentage of full shifts where there is adequate crewing on all wholetime frontline pumping appliances	This is the percentage of shifts (day or night) where there is sufficient minimum qualified firefighters (four personnel) on all wholetime pumping appliances (fire engines). A wholetime frontline pumping appliance is available 24/7, 365 days a year.
16	Percentage of hours where there is adequate crewing on retained frontline pumping appliances (based on 24/7 crewing)	This is the percentage of hours where there is sufficient minimum qualified firefighters (four personnel) on retained pumping appliances (fire engines). Retained frontline pumping appliances are crewed mainly by on-call fire fighters who are based at stations in more rural locations, and are ready to leave their place of work or home and attend emergencies from the local retained station, when they receive the call.
Customer Feedback		
17	Percentage of domestic respondents satisfied with the overall service	Results are from a customer feedback questionnaire which is sent to those who have experienced a dwelling fire asking about their satisfaction and experience with the service they received from RBFRS.
18	Percentage of commercial respondents satisfied with the overall service	Results are from a customer feedback questionnaire which is sent to business owners/ managers who have experienced a fire in their commercial premises asking about their satisfaction and experience with the service they received from RBFRS.
19	Percentage of respondents satisfied with the services with regards to Fire Safety Audits	Results are from a customer feedback questionnaire which is sent to business owners/ managers who have had a full fire safety audit, asking about their satisfaction and experience with the service they received from RBFRS.



20	Percentage of domestic respondents satisfied with the service regards their Safe and Well Visit	Results are from a customer feedback questionnaire which is sent to a sample of individuals who have received a Safe and Well Visit and asks about their satisfaction and experience with the service they received from RBFRS.
21	Number of complaints received	The number of complaints made to RBFRS about any aspect of our service or staff.
22	Number of compliments received	The number of compliments received by RBFRS about any aspect of our service or staff.



Corporate Health

ID	Measure	Definition
Human Resources and Learning & Development		
23	Percentage of working time lost to sickness across all staff groups	This measure looks at sickness across the whole organisation and the percentage of time lost, based on the number of working hours available to the organisation. This will not include COVID-19 related absences where an individual is isolating but not symptomatic.
24	Percentage of eligible operational staff successfully completing fitness test	The measure reflects the percentage of eligible operational personnel who have successfully completed their fitness test. Individuals who are not eligible, include those on long-term sick or light duties.
25	Percentage of eligible staff with Personal Development Reviews	This measure reflects the percentage of eligible employees who have had a Personal Development Review meeting. Eligible staff are those who have completed their initial probation period, before the end of the PDR period and who have not been absent for over 50% of the reporting period. Employees moving within the Organisation to new roles on trial or probation periods will still be eligible for a PDR.
26	Percentage of eligible operational staff in qualification	This measure examines performance in the key qualifications, outlined in the eight core areas of the Fire Professional Framework , required by staff to maintain effective service delivery.
27	Number of formal grievances	The number of formal grievances raised by staff under the Grievance, Bullying and Harrassment Policy.
Health and Safety		
28	Number of RIDDOR accidents	RIDDOR (<i>Reporting of Injuries Diseases and Dangerous Occurrences Regulations</i>) are more serious injury accidents.



ID	Measure	Definition
Finance and Procurement		
29	Percentage of spend subject to competition	This measure looks at all items of expenditure over £10k as RBFA must obtain quotes or tenders for all these purchases. This excludes statutory payments such as local authority charges or HMRC.
30	Compliant spend as a percentage of overall spend	This measure calculates the supplier spend that is in a compliant contract as a percentage of the total spend to external bodies and suppliers (as per RBFA contract regulations).
Freedom of Information		
31	Number of Information Commissioner assessments finding that the Service has breached Information Rights Legislation (Freedom of Information Act, Environmental Information Regulations or Data Protection Legislation)	RBFRS are required to conform to Data Protection and Freedom of Information legislation. The Information Commissioner is responsible for determining compliance and issuing advice or penalties. This measure includes only incidents where there is a finding of a breach (not complaints which are subsequently dismissed).

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