

Due to the current heightened security level in all our premises, Members are reminded to wear their identity badges whilst attending meetings. Any visitors must produce photographic identification at Reception.

SOUTH WALES FIRE & RESCUE AUTHORITY

COMMITTEE: Finance, Audit & Performance Management Committee

DATE: Monday, 27 July 2020 at 10:30 hours

VENUE: To be held on Star leaf, access code: 4527628339

A G E N D A

1. Apologies for Absence
2. Declarations of Interest

Members of the Fire & Rescue Authority are reminded of their personal responsibility to both verbally and in writing declare any personal and/or prejudicial interests in respect of matters contained in this agenda in accordance with the provisions of the Local Government Act 2000, the Fire & Rescue Authority's Standing Orders and the Members Code of Conduct.

3. Chairperson's Announcements
4. To Receive the Minutes of:
 - Finance Audit & Performance Management Committee held on 15 June 2020 3
5. Capital Monitoring Report 2020/21 9
6. Internal Audit Report 21
7. Update on COVID-19 Financial Impacts 45
8. Business Fire Safety Annual Summary Report 2019/2020 47

9.	Emergency Services Network Update	71
10.	Forward Work Programme 2020-21	75
11.	To consider any items of business that the Chairperson deems urgent (Part 1 or 2)	81

Signature of Proper Officer:



MEMBERSHIP

Councillors:

M	Colbran	Merthyr Tydfil
M	Spencer	Newport
P	Drake	Vale of Glamorgan
S	Ebrahim	Cardiff
S	Evans	Torfaen
J	Harries	Rhondda Cynon Taff
W	Hodgins	Blaenau Gwent
A	Hussey	Caerphilly
V	Smith	Monmouthshire
D	White	Bridgend

SOUTH WALES FIRE & RESCUE SERVICE

**MINUTES OF THE FINANCE, AUDIT & PERFORMANCE
MANAGEMENT COMMITTEE MEETING
HELD ON MONDAY, 15 JUNE 2020 AT 10:30HRS
VIA STARLEAF**

01. PRESENT

Councillor	Arrived	Left
S Evans (Chair)		Torfaen
P Drake		Vale of Glamorgan
M Colbran		Merthyr Tydfil
D White		Bridgend
V Smith		Monmouthshire
A Hussey		Caerphilly
M Spencer		Newport
J Harries		Rhondda Cynon Taf
W Hodgins		Bridgend
T Davies		Caerphilly
S Bradwick		Rhondda Cynon Taf

APOLOGIES

S Ebrahim	Cardiff
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OFFICERS PRESENT: Mrs S Chapman – Deputy Chief & Monitoring Officer, Mr C Barton – Treasurer, Mr G Thomas – Head of Finance & Procurement, Mr N Selwyn – Audit Wales, Ms A Butler – Audit Wales, Mr S Gourlay – TIAA

02. DECLARATIONS OF INTEREST

Each Member declared a personal non-prejudicial interest in each agenda item which affected their Authority.

Councillor W Hodgins advised that he is the owner of a transport company that sub contracts to a Service contractor, delivering goods to Cardiff Gate Training Centre, and queried whether this would need to be declared.

The Deputy Chief Officer confirmed that this will need to be entered onto the Register of Interests and the sub-contractor database held within Finance, but advised that this will have no effect on this meeting. The Head of Finance & Procurement to progress with Councillor W Hodgins

RESOLVED: The Head of Finance & Procurement to provide relevant forms to Councillor W Hodgins for inclusion within the Register of Interests and the sub-contractor database.

03. CHAIR'S ANNOUNCEMENTS

There were no announcements from the Chair.

04. MINUTES OF PREVIOUS MEETING

The following minutes were received and accepted as a true record of proceedings;

- Finance, Audit & Performance Management meeting held on 2 March 2010.

05. REVENUE OUTTURN 2019/20

The Head of Finance & Procurement provided details of the Revenue Outturn for 2019/20, and summarised the main points within the report, these being an increase in employee costs, additional energy costs, and reduced activity in some departments such as Training, and Workshops.

Regards energy costs, he confirmed costs are based on estimates, so may be subject to back credits which would then show a slight underspend.

He confirmed that a big impact on revenue outturn is costs for Home Safety equipment. The grant received from Welsh Government is below what is required, but thanks to a decision made by the Fire Authority we are able to continue to distribute Home Safety equipment. He also added that the other two Welsh fire and rescue services reported an underspend in this area, so Welsh Government supports our overspend from their underspends.

Councillors V Smith commended staff on the amount of work and information provided within the reports, the Chair seconded that.

Relating to a query from Councillor V Smith regards the energy saving from our boiler management system at stations and whether there has been a saving, the Head of Finance & Procurement advised that savings had not yet been calculated, but added that LED lighting had been installed at HQ at a cost of £80,000 which is saving approximately £50,000 a year.

He drew Members attention to Appendix 3, which details Authority Reserves which shows that reserves are being earmarked and invested. He also asked members to be aware of £47,000 that has been drawn from the management reserve.

RESOLVED THAT

Members noted the outturn position and net revenue deficit and use of usable reserves.

06. CAPITAL OUTTURN 2019/20

The Head of Finance & Procurement provided details of the Capital Outturn for 2019/20.

He reported a total available budget equating to £9.7m, with the outturn and slippage for the year as £6.6 million and £3.4m respectively. In summary, since previous reporting the projected spend has decreased by £0.6m while slippage has increased by £0.5m.

He reported some delays due to COVID-19, e.g., the refurbishment of Pontypridd Fire Station, delivery of vehicles and equipment, and the BA project where a decision was made that this would now be run in-house resulting in a £64,000 saving.

He confirmed that figures are being monitored regularly and will be reported within the Capital Monitoring Report.

RESOLVED THAT

Members noted the progress of the capital schemes, approved the alterations identified in Appendix 1, and noted the associated funding streams.

07. STATEMENT OF ACCOUNTS 2019/20

The Treasurer presented the Statement of Accounts for 2019/20, adding that they are subject to the audit process.

He advised there had been some challenges due to COVID-19 in the preparation of the accounts, but staff have worked tirelessly through this difficult period to complete on time.

A number of risks have been identified by auditors mainly relating to timing which have now been addressed. There were no significant measures imposed to achieve deadlines, and the process was followed as usual.

Ms A Butler, Audit Wales advised that due to COVID-19 auditing is currently being undertaken remotely. It was envisaged that sign off would be achieved by end of July, but as members of the public are unable to scrutinise the accounts (as is the statutory requirement), sign off will need to be deferred to September, or such time as restrictions are eased. Sally Chapman confirmed

that Welsh Government do review legislative requirements that are proving challenging due to Covid and may take a view in due course if personal inspection becomes impossible to safely achieve.

Mr N Selwyn, Audit Wales presented the letter from the Auditor General, which gives the detail of the Audit Wales work programme and how it will be achieved during COVID-19. The letter advised that, although the Annual Plan for 2020-21 has been published, it is recognised that much of the performance audit work programme described within it will now need to be re-shaped or deferred. One exception to this is the Auditor General's national report under the Well-Being of Future Generations (Wales) Act 2015, which he is required by statute to lay by 5 May 2020.

The letter also describes real-time audit work in respect of COVID-19 that is planned, where his intention is to deploy the capability and capacity of Audit Wales for the good of the wider public sector, specifically providing real time capture and sharing of learning and experience across audited bodies to allow bodies to learn from each other going forward.

RESOLVED:

Members noted the contents of the Statement of Accounts 2019/20.

08. INTERNAL AUDIT REPORT

The Internal Auditor updated Members upon progress being made against the Internal Audit Plan 2019/2020.

RESOLVED THAT

Members noted the internal recommendations and work completed to date on the Internal Audit Annual Plan.

09. INTERNAL AUDITORS ANNUAL REPORT YEAR ENDING 31 MARCH 2020

The Internal Auditor presented the Annual Report for year ending 31 March 2020 and confirmed that, based on the evidence provided he is able to draw a reasonable conclusion as to the adequacy and effectiveness of the South Wales Fire and Rescue Service's risk management, control and governance processes.

RESOLVED THAT

Members noted the work and overall opinion of the Internal Auditor for the financial year 2019/2020.

10. INTERNAL AUDIT ANNUAL PLAN 2020/2021

The Internal Auditor presented the proposed Internal Audit Annual Plan 2020/2021 for Members' approval. He advised that the Plan had been drafted prior to COVID-19, and it is the intention to reconsider after restrictions have been lifted.

RESOLVED THAT

Members approved the Internal Audit Annual Plan for 2020/2021.

11. FORWARD WORK PROGRAMME 2019/20

The Deputy Chief Officer presented the Forward Work Programme for 2019/20.

RESOLVED THAT

Members accepted the Forward Work Programme for 2019/20.

12. TO CONSIDER ANY ITEMS OF BUSINESS THAT THE CHAIRMAN DEEMS URGENT (PART 1 OR 2)

12.01 Social Distancing Measures at Fire Stations

Councillor W Hodgins queried social distancing measures at fire stations and the wellbeing of staff, particularly those at community stations and joint emergency services stations.

The Deputy Chief Officer advised that Welsh Government regulations and guidance state the 2 metre rule be enforced wherever reasonably practicable in the workplace, although it is acknowledged that this is not always possible, particularly within fire and rescue services. Members were assured that this is being managed appropriately but sensitively by the Station Commanders.

12.02 Expenditure during COVID-19

Councillor D White queried whether Members could receive a briefing detailing where funds are being spent during COVID-19.

The Deputy Chief Officer advised that all Covid related expenditure is being tracked by the Service and that figures have been provided to Welsh Government on their request and is currently estimated at £250,000. She added that it is uncertain at present if Welsh Government will cover these expenses.

The Head of Finance & Procurement advised that expenditure during the Recovery phases is also being captured and will be reported to Members and Welsh Government.

RESOLVED:

Details of expenditure during COVID-19 be included in future revenue monitoring reports.

12.03 Emergency Services Network (ESN)

Councillor V Smith queried the impact new 5G masts was having on the implementation of the new ESN network and if this is causing any delays. The Deputy Chief Officer advised that the overall project has been delayed, but not as a consequence of the 5G masts. The contract and agreed timelines for completion were awarded prior to current press coverage on 5G.

It was agreed that this issue be expanded further within the Capital Monitoring Reports going forward.

RESOLVED

The Head of Finance & Procurement to include within the Capital Monitoring Reports going forward.

CAPITAL MONITORING REPORT 2020/21

SUMMARY

The capital monitoring report provides detail of the capital budget, transactions to date and the forecast year end position.

RECOMMENDATION

That Members note the progress of the capital schemes, approve alterations identified in Appendix 1 and 2 and note the associated funding streams.

1. BACKGROUND

- 1.1 This report provides an update of the major changes affecting the capital budget since budget setting.
- 1.2 Appendix 1 illustrates budget information for all approved capital investment plans for the current financial year. Longer timelines are the norm for capital investment activities and completion of capital schemes. Timelines for build, delivery and testing stages can result in budgets been phased over more than one financial year and this is referred to as slippage.
- 1.3 In summary, Appendix 1 presents the total budget (2019/20 slippage + 2020/21) for 2020/21 as £7.9 million and the forecast outturn and slippage as £6.5 million and £1.6 million respectively. A detailed analysis of schemes supports these totals and a funding analysis provides information on how we intend to finance the investment.
- 1.4 The following provides a narrative explanation in support of the capital programme set out in appendix 1.

2. ISSUES

2.1 Property

- 2.1.1 The overall forecast spend and slippage on property schemes are £2 and £1.2 million respectively. There is an anticipated over spend on Pontypridd Station refurbishment due to the potential

demolition and relocation of the drill tower. Initially the intention was to refurbish the existing brick tower, however further review of the site has revealed the opportunity to relocate the tower using a steel construction. This will make the site far more accessible and flexible for station based training and should the need arise the steel drill tower has the potential to be relocated. This work was not included in the original costing and so Members are asked to approve an increased budget for Pontypridd Station. Further details are provided in presentation slides attached at appendix 2.

A number of schemes have slipped into 2021/22, some are the result of delays associated with potential co-locations with NHS/WAST and the impact COVID-19 has had on this work. A report on New Inn station will be brought to this committee in September.

2.2 Vehicle Replacement Programme (VRP)

2.2.1 Forecast spend and slippage are £1.5m and £500k respectively, with a small, net over spend of £15k, largely related to an unbudgeted purchase i.e. prime mover, which is offset by grant funding.

2.2.2 Water ladders

The budget of £464k has slipped into 2021/22 as we await feedback on recent purchases of a similar specification. It is envisaged an order will be placed in July although due to the impact of COVID 19 on the supply chain, it is unlikely that orders will be received within this financial year.

2.3 Operational Equipment

2.3.1 Forecast spending is £3m with a resultant overspend of £81k. This comprises Helmets £30k, Gloves £9k, Multimedia £35k and server equipment £7k.

2.3.2 As reported throughout 2019/20, the purchase of helmets is forecast to be overspent by £30k. This is due to the change in specification since the original bid to include torch lights on the helmets.

2.3.3 The budget for multimedia instalments on station will be overspent due to additional video conferencing equipment required as a result of COVID 19. These features allows remote

communication and meetings to be held with stations and the items were not included in the original specification.

2.3.4 Server & Storage Replacement

An overspend of £7k is forecast due to a change in model since the original quote was received when the budget bid was made.

3 FINANCIAL IMPLICATIONS

- 3.1 Appendix 1 illustrates capital spending plans for the year and how this differs from the original budget set. The above paragraphs 2.1 to 2.4 provide explanation of variances that have arisen.

Overall the capital budget is over spent by £196k and is partly offset by grants of £23k and a small under spend of £8k on the mini bus. This is analysed as follows;

	Over/Underspend	Additional Funding	Report Variances
PONTYPRIDD	-100		-100
MINIBUS	8		8
HELMETS	-30		-30
GLOVES	-9		-9
MULTIMEDIA	-35		-35
SERVER & STORAGE REPLACEMENT	-7		-7
PRIME MOVER (grant funded)	-23	23	0
TOTAL	-196	23	-173

4. EQUALITY RISK ASSESSMENT

- 4.1 There are no equality implications resulting directly from this report. Each element of the capital programme will have undergone Equality risk assessments by the responsible project lead, prior to the commencement of the scheme.

5. RECOMMENDATION

- 5.1 That Members note the progress of the capital schemes, approve alterations identified in Appendix 1 and 2 and note the associated funding streams.

Contact Officer:	Background Papers:
Geraint Thomas Head of Finance & Procurement	Revenue & Capital Budget Capital Monitoring working papers 2019/20 Budget Holder Reports

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CAPITAL PROGRAMME 2020/21							APPENDIX 1	
	Project Total £000	SLIPPAGE B/F 2019/20 £000	2020/21 BUDGET £000	ACTUAL AS AT 02.07.2020 £000	COMMITTED AS AT 02.07.20 £000	OUTTURN POSITION 31.03.21 £000	BUDGET UNDER/OV ER SPEND £000	SLIPPAGE C/F 2021/22 £000
PROPERTY								
STATION REFURBISHMENTS								
PONTYPRIDD	1,000	672	0	8	565	772	-100	0
MONMOUTH (co-location scheme)	600	597	0	0	0	10	0	587
PENARTH	1,600	0	100	0	0	0	0	100
COWBRIDGE (co-location scheme)	530	0	30	0	0	0	0	30
NEW INN	2,000	497	0	0	0	497	0	0
TONYPANDY	800	247	482	0	18	729	0	0
MAINDEE	300	0	300	0	0	10	0	290
PLANNED & PREVENTATIVE MAINT	150	0	150	0	0	0	0	150
	6,980	2,013	1,062	8	583	2,018	-100	1,157
VEHICLES								
OPERATIONAL 4WD	243	243	0	185	58	243	0	0
TRUCK (SLIDE DECK / CRANE)	150	150	0	0	0	150	0	0
WATER LADDERS	464	0	464	0	0	0	0	464
RESCUE TENDERS	705	235	470	0	0	705	0	0
RECOVERY UNIT	115	115	0	0	0	115	0	0
VAN/OPS ESTATE CAR	155	155	0	0	63	155	0	0
RESCUE BOAT	45	45	0	0	0	45	0	0
MINIBUS	56	0	56	0	0	48	8	0
PRIME MOVER (grant funded)	0	0	0	0	23	23	-23	0
	1,933	943	990	185	144	1,484	-15	464
EQUIPMENT & ICT								
HELMETS	242	242	0	0	0	272	-30	0
RADIOS AND BATTERIES	435	5	0	5	0	5	0	0
STRUCTURAL KIT	1,850	0	1,850	0	1,793	1,850	0	0
THERMAL IMAGING CAMERA	252	0	252	0	0	252	0	0
GLOVES	36	0	36	0	0	45	-9	0
WIRELESS LAN CONTROLLERS	80	0	80	0	0	80	0	0
GPS REPEATERS ON ALL STATIONS	45	0	45	0	0	45	0	0
PATIENT MANAGEMENT SYSTEM	60	0	60	0	0	60	0	0
TRANSMAN UPGRADE	52	0	52	0	0	52	0	0
INFRASTRUCTURE MANAGEMENT	50	43	0	1	1	43	0	0
MICROSOFT 365	40	40	0	0	0	40	0	0
MULTIMEDIA	120	120	0	64	65	155	-35	0
SERVER & STORAGE REPLACEMENT	100	0	50	0	57	57	-7	0
	3,362	450	2,425	69	1,916	2,956	-81	0
TOTAL	12,275	3,406	4,477	262	2,643	6,458	-196	1,621
FUNDING ANALYSIS								
BORROWING						6,235		
CO-LOCATION CONTRIBUTIONS						0		
REVENUE CONTRIBUTION						200		
REVENUE RESERVES						0		
CAPITAL GRANT						23		
CAPITAL RECEIPTS						0		
						6,458		

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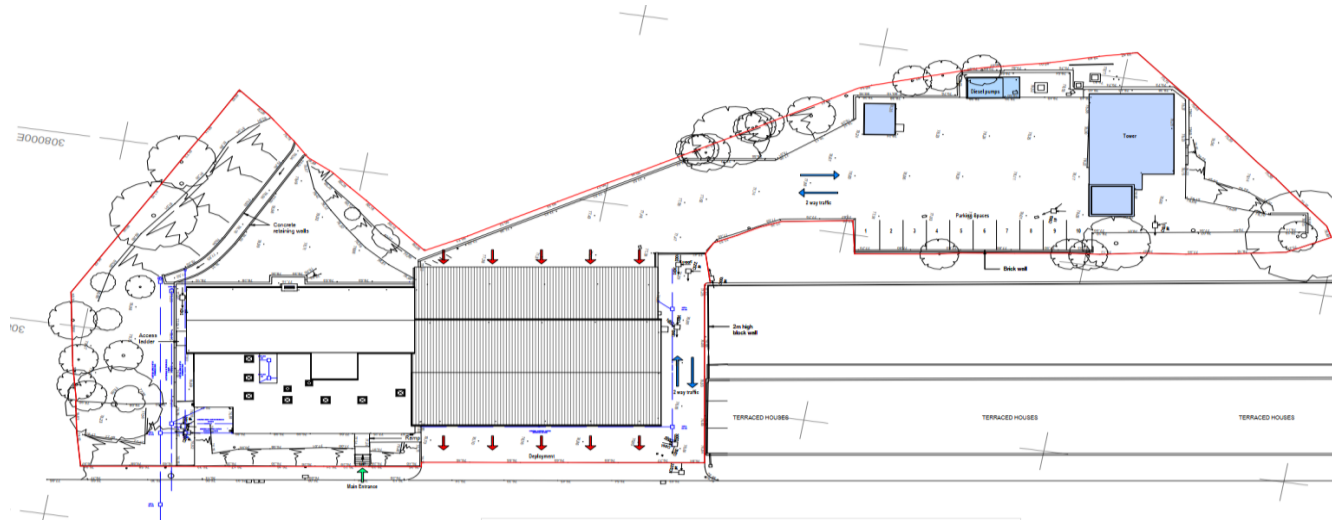


South Wales
Fire and Rescue Service

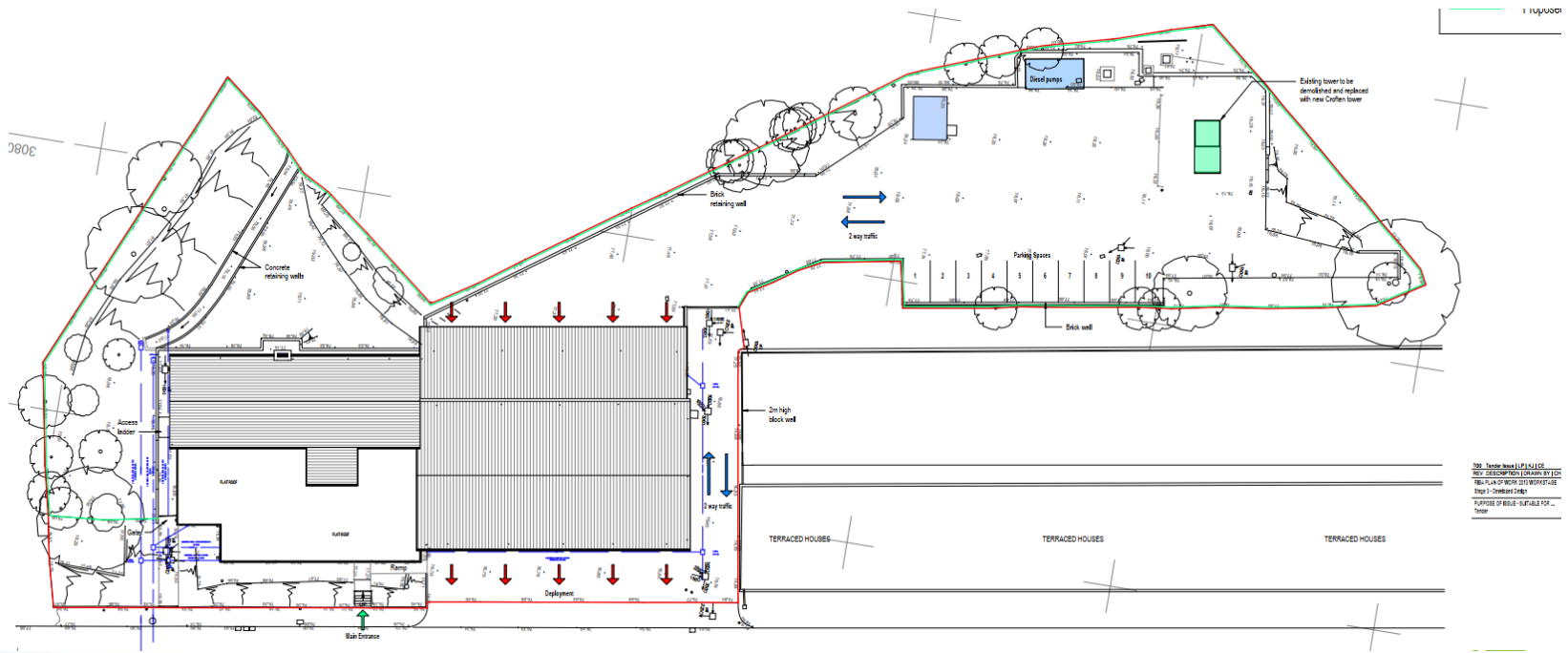
Station 15 – Pontypridd Refurbishment

Additional Funds Request Tower & Fuel Pump

Existing Site plan – Complex/Tower Highlighted in Blue



Proposed Site Plan – New steel tower highlighted in Green



Existing Tower & Garage Complex





New Crofton Training Tower

Tower Costs

Purchase of tower - £60,000

Demolition of existing building - £20,000

Groundworks to receive tower - £25,000

Additional Costs

Fuel Pump - £25,000

Covid 19 Provisions - £10,000

Less Provisional Sum - £50,000

Total (to include 10% contingency) - £100,000

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INTERNAL AUDIT REPORT

SUMMARY

This report updates Members upon progress being made against the Internal Audit Plan 2020/2021.

RECOMMENDATION

Members are asked to note internal audit recommendations and work completed to date on the Internal Audit Annual Plan.

1. BACKGROUND

- 1.1 As Members will be aware, TIAA Limited are appointed as the Authority's Internal Auditors to undertake work covered in the Internal Audit Plan 2020/2021 which was approved by this Committee on 15th June 2020.
- 1.2 As previously agreed, all audit reports with an assurance level of limited or no assurance will be provided in full. Recommendations only will be provided for reports with an assurance level of substantial or reasonable.

2. ISSUE

- 2.1 The areas of internal audit reviews within the Annual Plan were completed with 2 final report being issued:-
 - **Strategic Control**
 - **Communications**

The Summary Internal Audit Progress Report written by TIAA Limited is attached as Appendix 3.

2.2 Strategic Control

- 2.2.1 The review considers the role and operation of: the South Wales Fire and Rescue Authority and senior management groups; standing orders and financial regulations; and delegated authorities.
- 2.2.2 The review received a substantial level of assurance with no recommendations for improvement made.

2.3 Communications

2.3.1 The review will consider the effectiveness of the internal and external Communication and Public Relations strategies, management arrangements, processes and delivery. The review will also consider how corporate communications and departmental teams work together to publicise events and campaigns.

2.3.2 The review received a substantial level of assurance with only one recommendation for improvement made.

3 EQUALITY RISK ASSESSMENT

3.1 The issues raised within this report have no adverse impact on the protected characteristics, and would have been considered during the audit process.

4 RECOMMENDATION

4.1 Members are asked to note the internal audit recommendations, and work completed to date on the Internal Audit Annual Plan.

Contact Officer:	Background Papers:
Geraint Thomas Head of Finance & Procurement	Appendix 1 – Strategic Control Appendix 2 – Communications Appendix 3 – Summary Internal Audit Progress Road



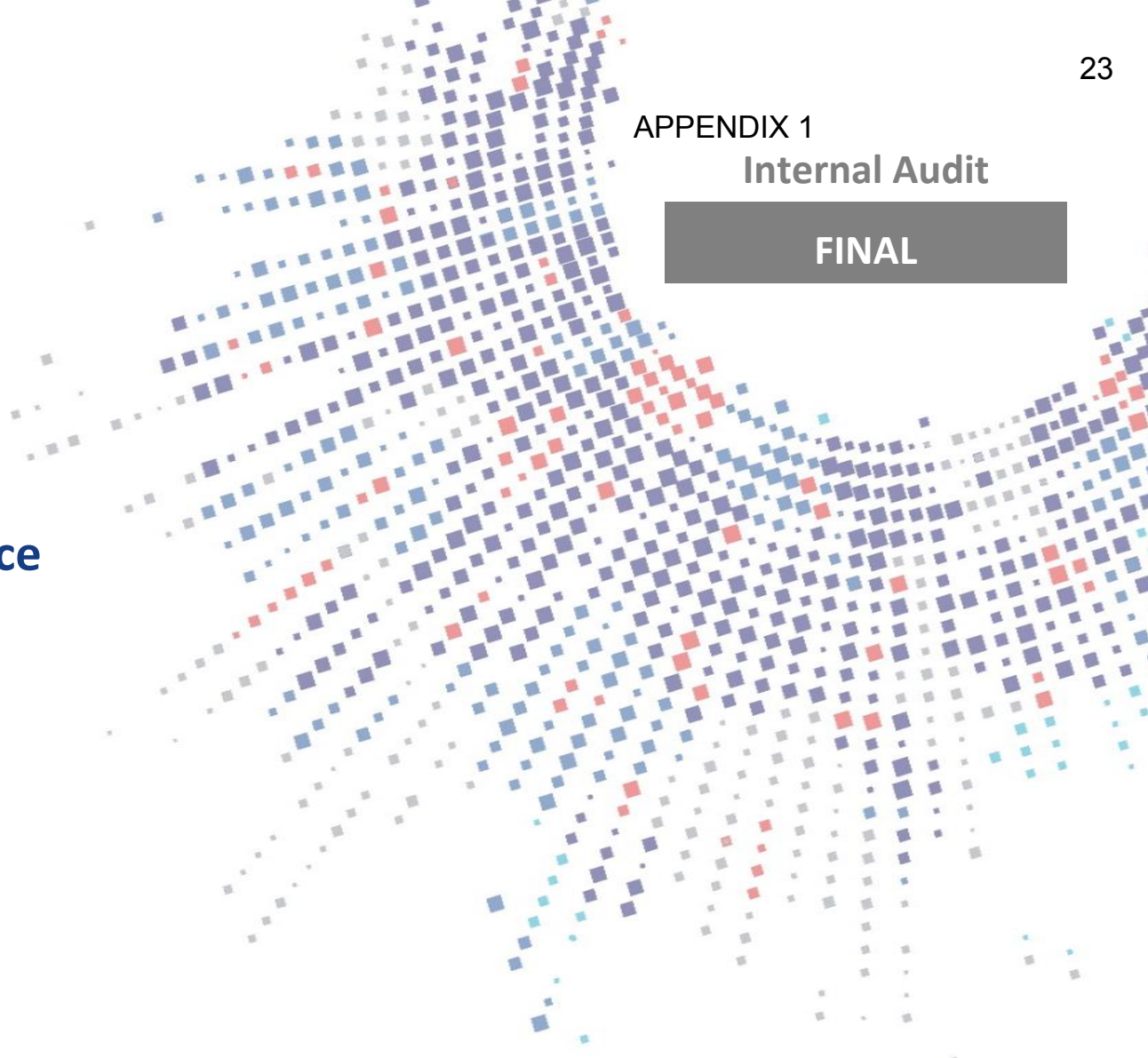
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South Wales Fire and Rescue Service

Assurance Review of Strategic Control

2020/21

July 2020



Executive Summary

OVERALL ASSESSMENT

ASSURANCE OVER KEY STRATEGIC RISK / OBJECTIVE

Inadequate or ineffective governance arrangements result in an inability to deliver the objectives of South Wales Fire and Rescue Service’s Strategic Plan.

KEY STRATEGIC FINDINGS

- The governance structure and control framework in place facilitates the effective delivery of the South Wales Fire and Rescue Authority’s Strategic plan.
- No recommendations have been identified.

GOOD PRACTICE IDENTIFIED

- Key documents are clearly transparent and published on the Authority's public website.
- An attendance register is maintained of all attendees at each committee meeting.

SCOPE

The review considered the role and operation of: the South Wales Fire and Rescue Authority and senior management groups; standing orders and financial regulations; and delegated authorities. The review does not include consideration of the extent of compliance and reporting on controls assurance or the arrangements for managing risks or conflicts of interest.

ACTION POINTS

Urgent	Important	Routine	Operational
0	0	0	0

Assurance - Key Findings and Management Action Plan (MAP)

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
No recommendations were identified during this review.							

PRIORITY GRADINGS

1 **URGENT** Fundamental control issue on which action should be taken immediately.

2 **IMPORTANT** Control issue on which action should be taken at the earliest opportunity.

3 **ROUTINE** Control issue on which action should be taken.

Operational - Effectiveness Matter (OEM) Action Plan

Ref	Risk Area	Finding	Suggested Action	Management Comments
No Operational Effectiveness Matters were identified during this review.				

ADVISORY NOTE

Operational Effectiveness Matters need to be considered as part of management review of procedures.

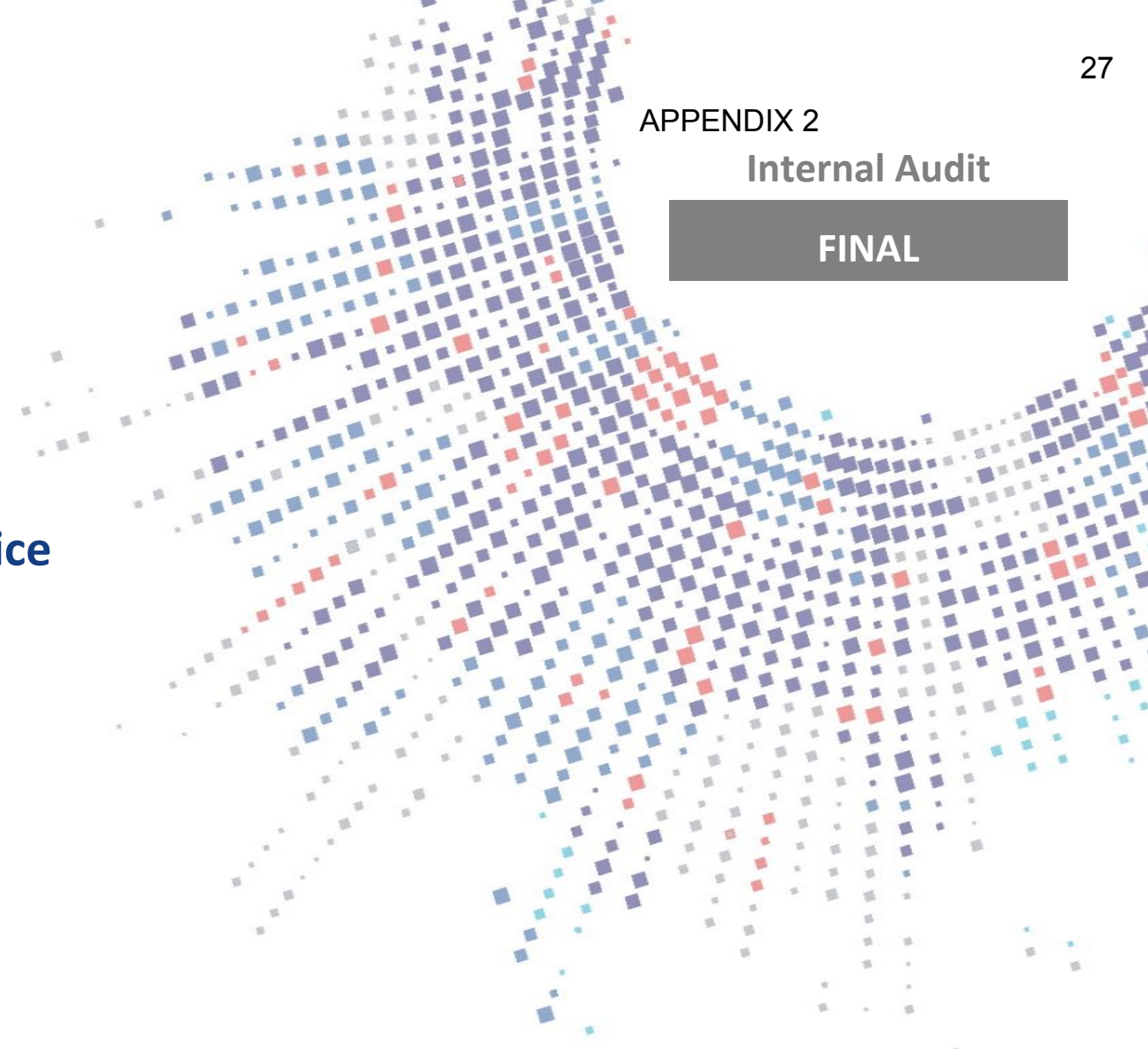


South Wales Fire and Rescue Service

Assurance Review of Communications

2020/21

July 2020



Executive Summary

OVERALL ASSESSMENT



ASSURANCE OVER KEY STRATEGIC RISK / OBJECTIVE

Within the South Wales Fire and Rescue Service communication can help to foster a good relationships between the Fire Authority and Service and the general public and other stakeholders and between senior management and staff, which can in turn improve morale and efficiency. Good communications strategies can help the Service provide information to the public in an efficient, clear and effective way and help influence behaviours in line with the Service's Strategic Objectives.

There are no specific risks relating to Corporate Communications on the Service's Strategic Risk Register.

KEY STRATEGIC FINDINGS



A Communications and Engagement Strategy 2020-21 has been documented through which there are a number of initiatives which help the Service and the Engagement and Communications Team to enhance the effectiveness of the internal and external communications strategies.



A number of examples were provided which demonstrate good working practices and relationships between the Engagement and Communications Team and departmental teams including planning of campaigns and events as well as on day-to-day messages and communications.



Arrangements need to be put in place to ensure the initial outcomes and objectives of campaigns are fully assessed through evaluations completed following campaigns and events.

GOOD PRACTICE IDENTIFIED



South Wales Fire and Rescue Service are members of an All Wales Media and Communications Group where the Service is able to collaborate on national campaigns and compare practice.



A number of examples and ways in which the Engagement and Communications team liaise with departments to support them with their communication needs and to ensure corporate requirements are maintained.

SCOPE

The review considered the effectiveness of the internal and external Communication and Public Relations strategies, management arrangements, processes and delivery. The review also considered how corporate communications and departmental teams work together to publicise events and campaigns.

ACTION POINTS

Urgent	Important	Routine	Operational
0	1	0	0

Assurance - Key Findings and Management Action Plan (MAP)

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
1	Delivery	"The Engagement and Communications Strategy 2020-21 states that clear evaluation of campaigns is an embedded consideration, with clear return on investment (ROI) and return on objective (ROO) being outlined, as well as any required KPIs and that through understanding what was successful and where aspects of those campaigns can be improved, it ensures that the Service is able to future-proof its communications activity in the longer term. However, not all communications and engagement activity has tangible measurables, but instead focuses on influence and changes in behaviour. These considerations should be given when developing campaign activity	To help support the Strategy aims noted, it is recommended that the objectives and estimated social media interaction at the outset of the campaign are incorporated into the campaign evaluations to provide a comparison of how the campaign performed against the original targets set.	2	<i>A review of the detailed evaluations produced for our last three campaigns (as referred to in the "findings" column) will be undertaken prior to planning and launching our next campaign. This will enable us to devise a number of objectives and estimated social media interactions that we would be targeting at the outset of the campaign as recommended.</i>	01/11/20	Head of Service Performance and Communications

PRIORITY GRADINGS

1

URGENT

Fundamental control issue on which action should be taken immediately.

2

IMPORTANT

Control issue on which action should be taken at the earliest opportunity.

3

ROUTINE

Control issue on which action should be taken.

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (did/mm/my)	Responsible Officer (Job Title)
		and how these will be reported against upon evaluation. For each of the campaigns for which information was examined during the internal audit review, 'Don't Fuel the Fire', Electrical Safety' and 'YuleBeSorry', detailed evaluations were produced utilising social media analytics tools to provide data on, for example, reach/impressions views and engagements.					

PRIORITY GRADINGS

1	URGENT	Fundamental control issue on which action should be taken immediately.
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2	IMPORTANT	Control issue on which action should be taken at the earliest opportunity.
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3	ROUTINE	Control issue on which action should be taken.
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Operational - Effectiveness Matter (OEM) Action Plan

Ref	Risk Area	Finding	Suggested Action	Management Comments
No Operational Effectiveness Matters were identified.				

ADVISORY NOTE

Operational Effectiveness Matters need to be considered as part of management review of procedures.

South Wales Fire and Rescue Service

Summary Internal Controls Assurance (SICA) Report

2020/21

July 2020

Summary Internal Controls Assurance

Introduction

1. This summary controls assurance report provides the Finance and Performance Management Committee with an update on the emerging Governance, Risk and Internal Control related issues and the progress of our work at South Wales Fire and Rescue Service as at 14th July 2020. The period covered by this summary controls assurance report was significantly impacted by the COVID 19 pandemic.

Emerging Governance, Risk and Internal Control Related Issues

2. COVID 19 is the most significant recent event to impact both strategically and operationally upon modern day Governance, Risk and Internal Control arrangements. There will be a number of phases in relation to the move through the pandemic and each phase has different implications for the Governance, Risk and Internal Control arrangements. Based upon the information garnered from our work at number of clients some of the potential strategic impacts for 2020/21 are summarised below. A key consideration is that there is unlikely to be a precise timeline when the organisation moves from one phase to the next and also there will be a consequential timelag as the organisation adapts and adopts new ways of operating. The box in the table below signifies the approximate stages which occurred during the period covered by this SICA.

Impact on COVID 19 on strategic focus during business interruption



- There are a range of operational matters arising from the COVID 19 pandemic which impact upon the governance, risk and internal control arrangements and examples of such have been summarised in Appendix B. During the COVID 19 period it would be prudent for South Wales Fire and Rescue Service to compare the policies, procedures and internal control processes in effect during the pandemic against the policies, procedures and internal control processes in effect prior to the onset of the pandemic. The matters identified should be risk assessed so as to gain awareness about where the undetected vulnerabilities that may exist so that an informed decision can be made around acceptance of such risks.

Internal Control Framework

Audits completed since the last SICA report to the Audit Committee

- The table below sets out details of audits finalised since the previous meeting of the Audit Committee.

Audits completed since previous SICA report

Review	Evaluation	Key Dates			Number of Recommendations			
		Draft issued	Responses Received	Final issued	1	2	3	OEM
Communications	Substantial	09/07/2020	14/07/2020	14/07/2020	-	1	-	-
Strategic Control	Substantial	09/07/2020	14/07/2020	14/07/2020	-	-	-	-

- There are no issues arising from these findings which would require the annual Head of Audit Opinion to be qualified.

Progress in actioning priority 1 & 2 recommendations

- We have made no Priority 1 recommendations (i.e. fundamental control issue on which action should be taken immediately) since the previous SICA. The table below summarises the extent to which confirmation has been received that management actions have been taken that the risk exposure identified has been effectively mitigated. More information is provided in Appendix D.

Mitigating risk exposures identified by internal audit reviews

Review	Date	Priority 1		
Not Applicable (NA)				

Root Cause Indicators

7. The Root Cause Indicators (RCI) have been developed by TIAA to provide a strategic rolling direction of travel governance, risk and control assessment for South Wales Fire and Rescue Service. Each recommendation made is analysed to establish the underlying cause of the issue giving rise to the recommendation (RCI). The analysis needs to be considered over a sustained period, rather than on an individual quarter basis. Percentages, rather than actual number of reviews/recommendations made permits more effective identification of the direction of travel. A downward arrow signifies a positive reduction in risk in relation to the specific RCI.

RCI – Direction of Travel Assessment

Root Cause Indicator	Qtr 1 (2020/21)	Qtr 2 (2020/21)	Qtr 3 (2020/21)	Qtr 4 (2020/21)	Medium term Direction of Travel	Audit Observation
Directed						
Governance Framework	NA				NA	
Risk Mitigation	NA				NA	
Control Compliance	NA				NA	
Delivery						
Performance Monitoring	100% (1)				NA	
Financial Constraint	NA				NA	
Resilience	NA				NA	

Going forward above table will be populated and updated for each Statement of Internal Controls Assurance report as reviews are finalised during the year.

Progress against the 2020/21 Annual Plan

8. **COVID 19:** The progress against the planned work for the quarter has been disrupted by the COVID pandemic. In mid-March, when the potential scale and impact of COVID 19 was becoming evident it was agreed with South Wales Fire and Rescue Service that the delivery of the internal audit service would be carried out remotely thereby minimising the need to physically access South Wales Fire and Rescue Service's offices/premises and to hold face to face meetings.
9. Our progress against the Annual Plan for 2020/21 is set out in Appendix C.

Changes to the Annual Plan 2020/21

- 10. There are no of areas where areas where internal audit work is recommended to enable an unqualified Head of Audit Opinion to be provided for 2020/21.

Frauds/Irregularities

- 11. We have not been advised of any frauds or irregularities in the period since the last SICA report was issued.

Other Matters

- 12. We have issued a number of briefing notes and fraud digests, shown in Appendix E, since the previous SICA report. The actions taken by South Wales Fire and Rescue Service are summarised below:

Action taken by South Wales Fire and Rescue Service in response to Alerts issued by TIAA

Briefing Note
CBN – 20006 – Cyber Threats using the COVID-19 Pandemic
CBN – 20009 – Guide for Audit Committees on Financial Reporting and Management during Covid-19
Fraud Alert
Ghost Broking

Going forward prior to each Statement of Internal Control Assurance TIAA will request that a description of the Action taken by South Wales Fire and Rescue Service in response to alerts issued be provided for inclusion within the report.

- 13. As shown, a guide on Financial Reporting and Management during Covid-19 for Audit Committees was issued which provided guidance on potential COVID 19 related matters for Audit Committees.

Responsibility/Disclaimer

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

Covid 19 – Governance, Risk and Control considerations during ‘lockdown’ phase

Area	Possible assurance from internal audit
<p>Governance: The speed of the need to respond to COVID 19 has significantly impacted on the strategic governance infrastructure:</p> <ul style="list-style-type: none"> • Urgent decisions taken for urgent operational reasons which would normally have gone through Board review and approval • Extension and rollover of procurement contracts • Disruption to management information received by the Board • Operational necessity for management dispensation to scheme of delegation and financial regulations • Move to remote working for reactive operational expediency reasons, rather than as part of a pre-planned strategy 	<p>Covid-19 Financial Governance: A review of financial governance and decision making following the business interruption caused by Covid-19, including assessing the accountability for additional spend on Covid-19 related activity.</p>
<p>Risk Management: The markers which differentiate COVID 19 pandemic from most business resilience/recovery plans are:</p> <ul style="list-style-type: none"> • Speed of major disruption to business as usual did not permit normal level of preparation • International as well UK-wide, not local • Level of government intervention • Duration and severity • Move to medium term remote working arrangements by staff and suppliers • Consequential impact upon all the previous strategic risks 	<p>Business as Usual Resumption Arrangements: Targeted post-event risk mitigation assessment to identify any unintentional gaps in the risk management framework</p>

Area	Possible assurance from internal audit
<p>Internal Control: COVID 19 has provided the perfect storm both in a positive as well as negative manner. The positive aspects are the expeditious embracing of digital business delivery. It is recognised that a number of government and/or regulatory guidance requirements were issued at short notice and many of these were without the normal consultation and similar. On a negative basis the following need to be recognised:</p> <ul style="list-style-type: none"> • Suppliers and contractors being unable to deliver contracted services • Increased digitalisation introduced at very short notice increases information governance risks • Temporary compromise of effective segregation of duties due to staff absences and/or remote working etc. • Fraudsters seeking to take advantage of COVID disruption • Deferment and/or reprioritisation of services • Sudden and significant change in demand patterns for services 	<p>COVID-19 Business Interruption Controls Framework: To review the control environment in relation to policy and process design or temporary re-design, taking into account the heightened risk of fraud and changes to ways of working.</p> <p>Accountability for Additional COVID-19 Funding: Revisiting the control framework for when emergency payments shift into longer term services – especially where large sums are invested.</p>

Executive Summaries and Management Action Plans


All internal audit reports are presented in full to the Finance and Performance Management Committee. The outcomes of the reviews completed since the previous meeting are summarised below.


Review	Evaluation
Communication	Substantial
Strategic Control	Substantial

Progress against Annual Plan


System	Planned Quarter	Current Status	Comments
Strategic Control	1	Final Report issued 14/07/2020	Presented to FAPM – 27/07/2020
Communications	1	Site work commenced: 14/07/2020	Presented to FAPM – 27/07/2020
ICT Data Assurance	1	Site work commenced: 15/06/2020	Debrief meeting held w/c 6 th July
Procurement	2	Site work commenced: 13/07/2020	
Station Visits	2	To be commenced: 10/08/2020	
Human Resources Management – Training	2	To be commenced: 20/07/2020	
Key Financial Controls	3	To be commenced: 10/11/2020	
Mitigating Controls	3	To be commenced: 02/12/2020	
Estate Management - Delivery	4	To be commenced: 28/09/2020	
Follow-up	4	To be commenced: 04/01/2021	
Contingency	TBC		
Annual Planning	1		
Annual Report	4		
Client Portal	1-4		
Management, Planning, FAPM Committee Reporting and Support	1-4		

KEY:

 To be commenced

 Site work commenced

 Draft report issued

 Final report issued



Priority 1 - Progress update

There have been no Priority 1 recommendations made since the previous SICA reported to FAPM in June 2020.


Briefings on developments in Governance, Risk and Control

TIAA produces regular briefing notes to summarise new developments in Governance, Risk, Control and Counter Fraud which may have an impact on our clients. These are shared with clients and made available through our Online Client Portal. A summary list of those CBNs and Fraud Alerts issued in the last three months which may be of relevance to South Wales Fire and Rescue Service is given below. Copies of any CBNs are available on request from your local TIAA team.

Summary of recent Client Briefing Notes (CBNs)

CBN Ref	Subject	Status	TIAA Comments
CBN - 20006	Cyber Threats using the COVID-19 Pandemic		Action Required Audit Committees and Boards/Governing Bodies are advised to seek assurance from digital / IT teams that a comprehensive programme of protection measures are in place to protect technology, and to raise user awareness.
CBN - 20009	Guide for Audit Committees on Financial Reporting and Management during Covid-19		Action Required Not Urgent Audit Committees are advised to consider the guidance in the context of current and shorter-term financial reporting. They may also wish to review the assurance they require on how Covid-19 has impacted on the control environment, financial regularity and the potential for fraud.

Summary of recent Fraud Alerts

Ref	Subject	Status	TIAA Comments
0000	Ghost Broking		Action Required This alert provided information and advice to staff about fraud and economic crime that may occur during the pandemic, and the risks associated with it. The IFB have a confidential Cheatline service for specifically reporting insurance scams. Visit www.insurancefraudbureau.org or call 0800 422 0421.

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AGENDA ITEM NO 7

Update on COVID-19 financial impacts

The below table summarises revenue spend and budget commitments as at 6 July 2020. This currently excludes capital spending although as costs become clear, they will be included in subsequent reporting.

COVID-19 Spending				
Project Code: GN0510				
	Actual	Committed	GRNI's	Total 06.07.20
Salaries	40,106.17			40,106.17
Honarariums	1,409.90			1,409.90
Overtime	18,047.94			18,047.94
Mileage claims	648.59			648.59
Cleaning Materials	63,124.30	9,251.52	40.84	72,416.66
Enhanced Cleaning	5,827.20			5,827.20
Consumables/PPE	48,739.62	53,983.61		102,723.23
Building alterations	848.00	2,065.00		2,913.00
Signage		2,679.50		2,679.50
Furniture	451.45			451.45
Operational Equip	6,198.48	764.98		6,963.46
Other Equipment	1,212.06	1,671.33		2,883.39
Stationary		1,264.30		1,264.30
ICT Equipment	49,440.78	20,316.53	1,098.65	70,855.96
ICT Agreements	32,229.53	3,166.92	1,800.00	37,196.45
Mobile Calls / Rentals	2,066.50			2,066.50
Delivery Costs	160.31	26.20		186.51
	270,510.83	95,189.89	2,939.49	368,640.21

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Gwasanaeth Tân ac Achub
De Cymru

South Wales
Fire and Rescue Service



Business Fire Safety
Annual Summary Report
2019/2020



YN EICH CEFNOGI CHI I AMDDIFFYN EICH BUSNES
SUPPORTING YOU TO PROTECT YOUR BUSINESS

This report contains statistics regarding fire protection activities undertaken by South Wales Fire and Rescue Service's Business Fire Safety (BFS) Department.

1. Introduction

The Fire Authority through the BFS Department has responsibility for the enforcement of fire safety legislation and it will carry out its fire safety enforcement activities with regard to the provisions of the Regulatory Reform (Fire Safety) Order 2005 ('the FSO'). The Authority will consider prosecution where for example, there is failure to comply with the fire safety duties imposed by the FSO.

Effective prosecution forms a legitimate element of the South Wales Fire and Rescue Authority's Strategic Plan 2018 to 2023 to reduce the risk of death and injury in premises by enforcing fire safety law.

The Regulators' Code imposes a duty on any person exercising a specified regulatory function to have regard to the five principles of good regulation. SWFRS principles provide that regulatory activities should be carried out in a way which is transparent, accountable, proportionate and consistent and should be targeted only at cases in which action is needed and to promote good regulatory principles that reduce unnecessary burdens on business, allowing them to comply and grow.

BFS provide education both internally and to businesses to support them as necessary under better regulation. We only use our enforcement powers as a last resort to make premises as safe as possible. This helps to protect the people, property and the environment of South Wales by preventing fires from occurring in the first place or limiting the effects of fires when they do occur.

2. Purpose of this report

This report has been developed to provide the Head of Service for Risk Reduction activities of SWFRS with relevant information concerning the Management and Delivery of BFS Department during April 2019 to March 2020 and a brief forecast of the year ahead.

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Date published
May 2020

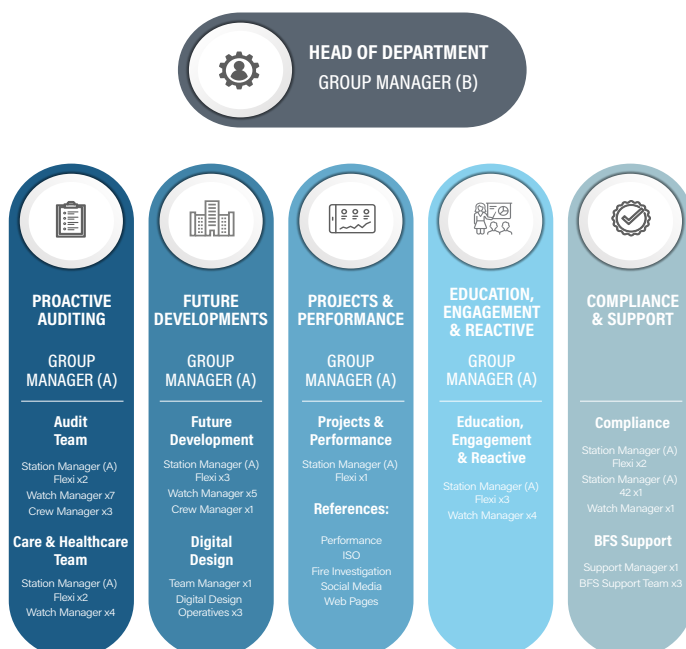
J/N 3498/BFS-05/20

Fire protection refers to the Fire and Rescue Service's statutory role in ensuring public safety in the wider built environment and involves auditing and, where necessary, enforcing regulatory compliance, primarily but not exhaustively in respect of the provisions of the FSO.

Key results

- In 2019/20 there were **862** fire safety audits carried out
- **142** (16%) of audits in 2019/20 were deemed satisfactory
- The most common type of premises to be audited was "other sleeping" premises
- There were **72** Formal Notices issued in 2019/20 (compared to **69** In 2018/19), which comprised of **67** Enforcement Notices and **5** Prohibition Notices
- There were **3** Prosecutions, including **1** Residential Care Premises, **1** Licensed Premises and **1** other Residential Premises
- Since 2018, there have been **42** high rise training courses run at West Midlands Fire Service, resulting in **608** operational personnel being trained
- High rise engagement / compliance actions - **97** audits conducted, resulting in **12** Enforcement Notices and **9** Action Plans
- There are **13** staff working towards their national requirement of Level 4 Diploma in Fire Safety and **4** staff achieved their Level 5 qualifications
- There were **8** NFCC and Welsh Government consultation documents completed (**6** NFCC consultations and **2** Welsh Government consultations)

3. BFS Department Structure and Staff Levels



There are 50 staff within the BFS department who carried out fire safety activities. This is broken down as follows:

5 x Group Managers
12 x Station Managers
21 x Watch Managers
4 x Crew Managers
8 x Support Staff

Succession planning and resilience remains a challenge to BFS over the last few years we have lost a huge amount of experience it therefore rightly sits as one of the issues identified in BMIS as a departmental risk 'DR RR 002.03 Utilise succession planning and develop a cadre of middle and strategic managers.'

Since the changes in Management and structure in 2018-19 we have been able raise awareness of the department and attract a new cadre of people who have shown an interest in BFS. During 2019/20 we had 13 new staff join BFS either via promotional process or transfer. Consequently, over the last year these have been working towards achieving the national requirement of Level 4 Diploma in Fire Safety and meeting the competencies set out in the NFCC framework which states that only competent staff should undertake fire safety audits."

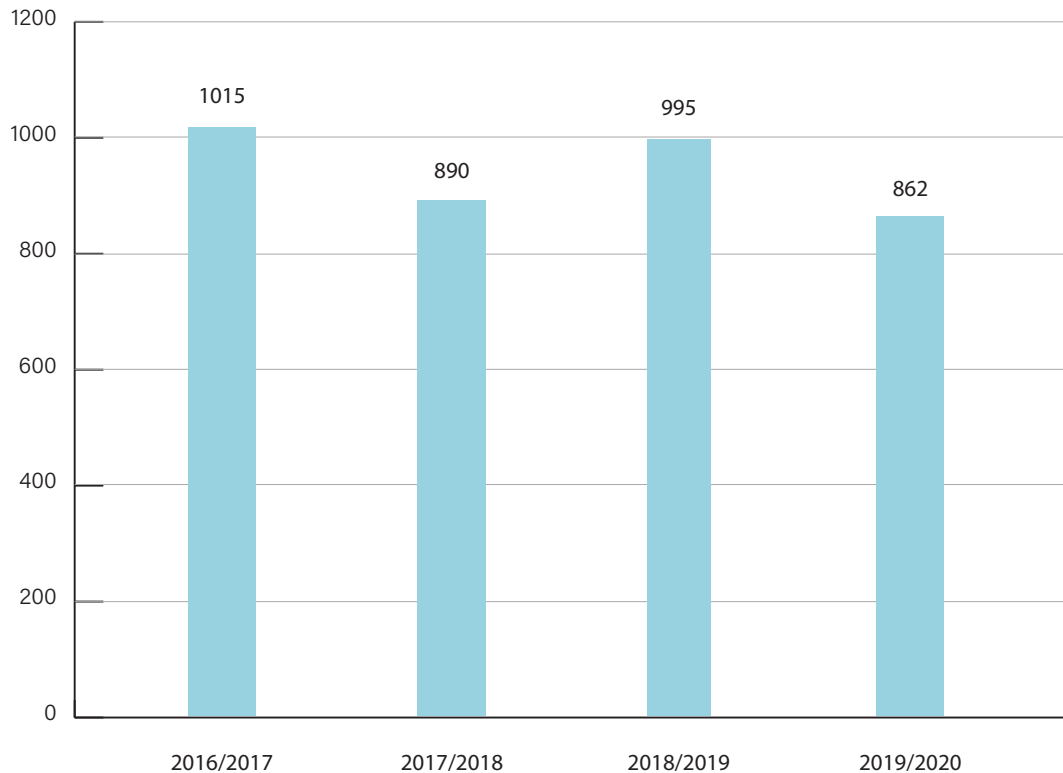
4. Number of Fire Safety Audits

A fire safety audit is a planned visit by the FRS to carry out a comprehensive assessment of the level of compliance with the requirements of the FSO in a particular premises. The FSO requires the 'responsible person' for a relevant premises to carry out and regularly review a fire risk assessment to ensure that the general fire precautions are adequate and appropriate, to reduce the risk from fire to employees and other relevant persons to as low as reasonably practicable. The FSO applies to the majority of non-domestic premises and the communal areas in residential buildings.

It is anticipated that the number of audits will fluctuate year on year as we move focus to our emerging risks dependent on the local need and the complexity of the buildings being audited.

Our audit capacity has been affected by a loss of experienced staff and having to re-structure the department to reflect this, Fire Safety development and mentoring of new staff, resulting in less audits being done in some areas. We have had a record number of Enforcements this year which led to more involvement from the compliance team and the number of prosecution cases which are time consuming.

Number of Fire Safety Audits conducted 2016/2017 to 2019/2020



South Wales Fire & Rescue Service (SWFRS) devotes a significant level of resource to the audit of buildings covered by the FSO and associated enforcement work. In order to focus our resources on buildings that represent the greatest risk to life in the event of fire, here in South Wales, we implement a Risk Based Inspection Programme (RBIP) which is developed from analysis of fire data and provides us with intelligence led information on which to base our inspection policy. Our policy is based on the principles of 'Better Regulation' contained in the Regulators' Code 2014 and any regulatory action taken is proportionate to the potential loss or risk to the community the building would pose.

As with all SWFRS activities it is important to be able to demonstrate that resources are being used effectively, are targeted at areas of higher risk and the level of resource is in proportion to the risk. Outside of our RBIP we have a more reactive response which involves post fire evaluations and alleged fire risk where concerns are raised relating to a building. This gives SWFRS a dual approach to targeting and reducing risk, having a clear understanding of resource requirements according to need and data analysis developed with the support from our statistics team.

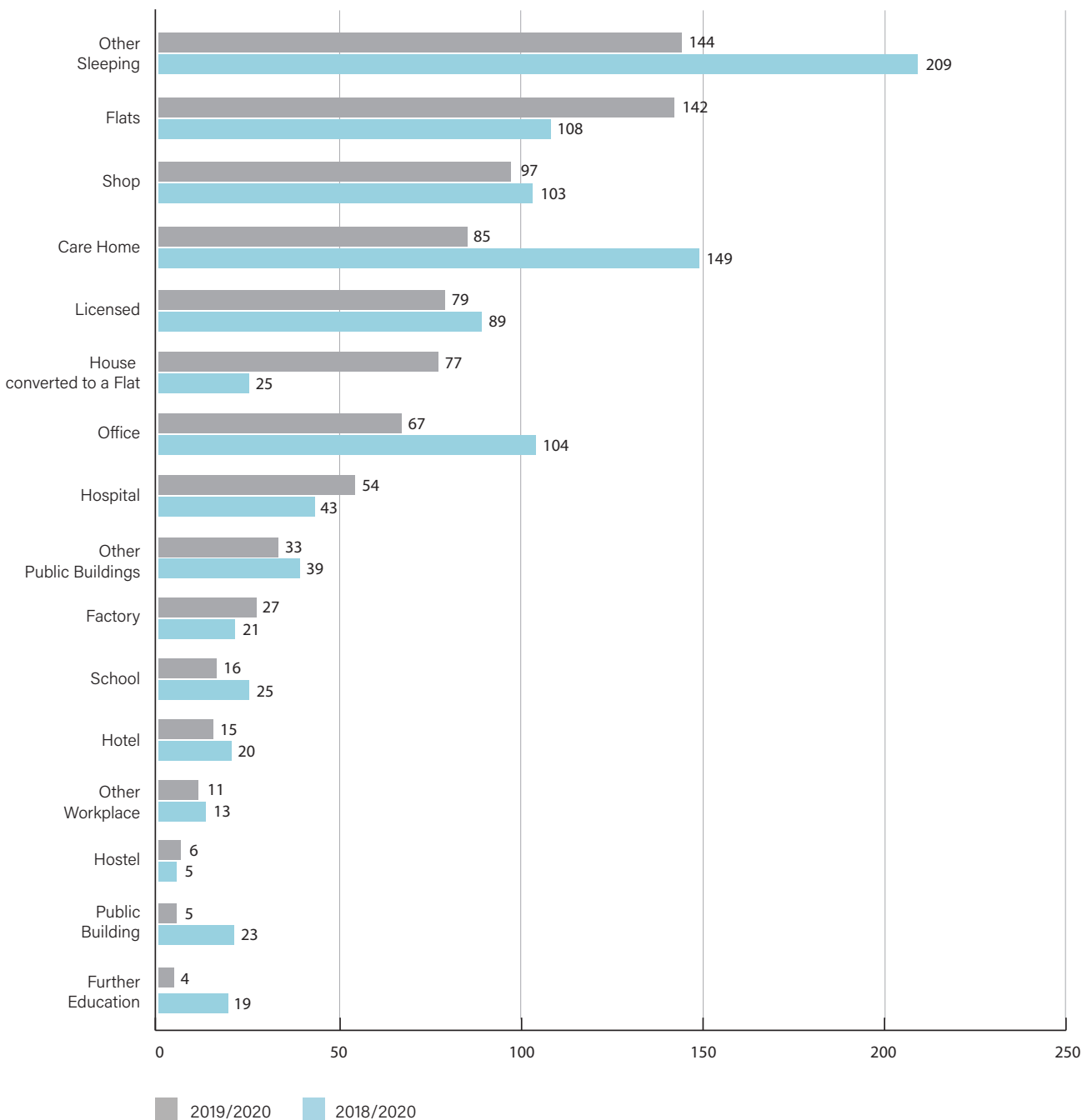
The proactive auditing teams are split into 2 areas; one to cover the general auditing strand of the RBIP and the other dedicated to support the care and healthcare sector, housing some of our most vulnerable members of society. The RBIP has enabled our auditing team to focus on a number of sleeping risks which includes mixed commercial premises and necessitates a collaborative approach with our Local Authority partners to ensure the safety of our communities. Additionally, a large amount of time and resource has been dedicated to supporting Natural Resources Wales in reducing the number and impacts of waste site fires within the SWFRS area. Likewise, the care and healthcare team dedicates resources towards care homes and hospitals, working closely with Care Inspectorate Wales, Health Inspectorate Wales and continually building relationships with the Local Health Boards through regular concordat meetings.

Alleged Fire Risks and Post Fire Enquiries

One of the roles of the members of the Risk Evaluation Team (RET) is to carry out Post Fire Evaluations (PFEs) and investigate any Alleged Fire Risks (AFRs). These engagement activities include team members visiting premises following any fire in premises that fall within the scope of the FSO. Visits are conducted to investigate the causes of fires, action of occupiers and staff, if present, and to ensure the FRA has been reviewed to ensure that a similar incident does not occur.

The team respond to any information received into the department regarding any fire risks in premises. This information arrives from many sources of information such as members of the public, employees of businesses, other agencies such as HSE or Local Authorities and also our own operation fire crews following incidents or other engagement activities. This year the team carried out **174** PFEs and **342** AFRs which led to **22** formal actions.

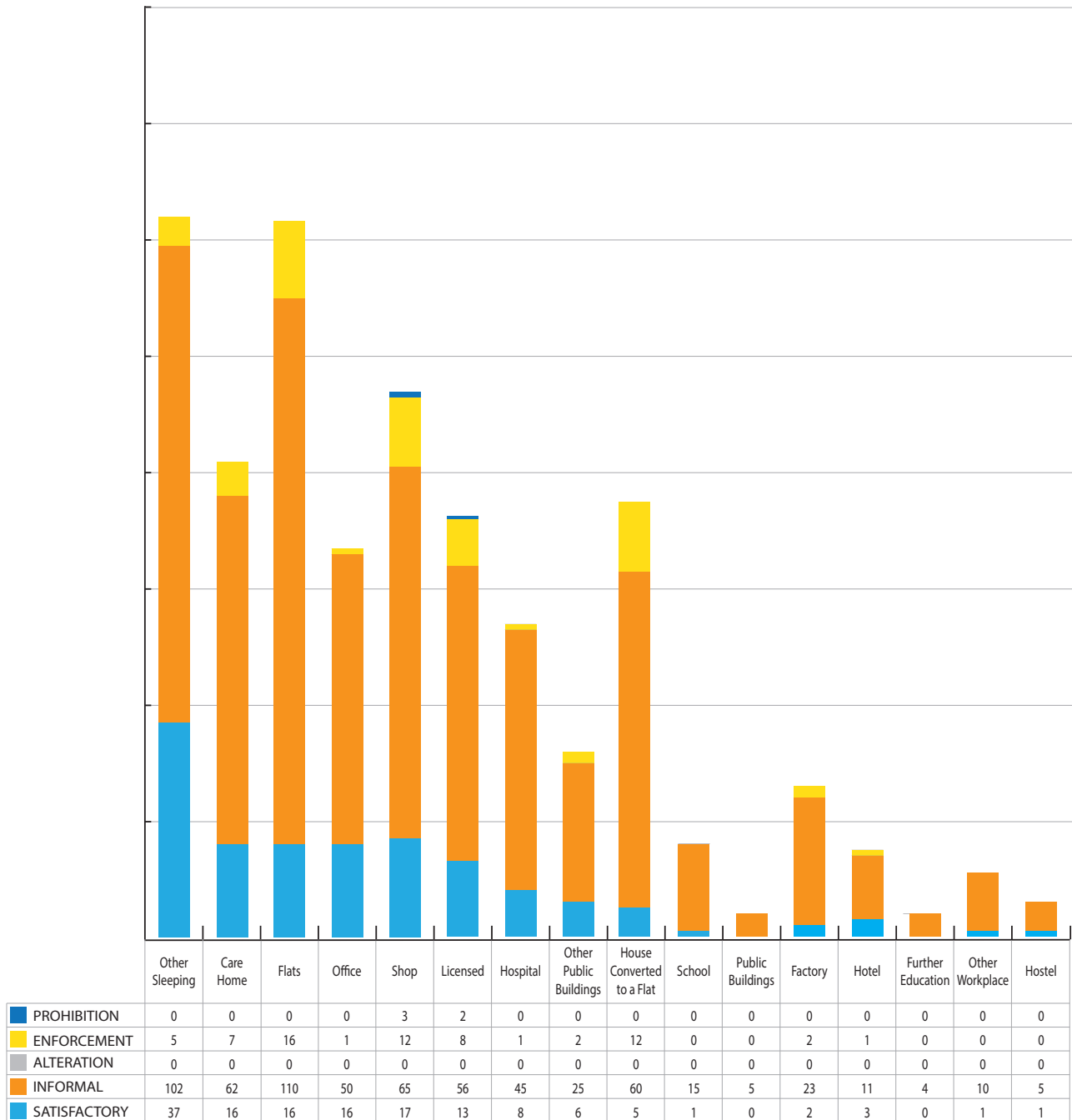
Total number of fire safety audits conducted by type of premises, April to March



Outcome of Fire Safety Audits

When a fire safety audit is completed, the result is categorised as either satisfactory (where no further action is taken), or unsatisfactory (where the responsible person is non-compliant with the FSO), which can then result in either Informal Notifications or Formal Notices. (See the table on page 8 for further details).

Proportion of fire safety audits deemed satisfactory or unsatisfactory by type of building, April 2019 to March 2020



In 2019/2020, **720** fire safety audits were deemed unsatisfactory, which equated to **84%** of all audits carried out, which demonstrates that we are targeting the correct premises.

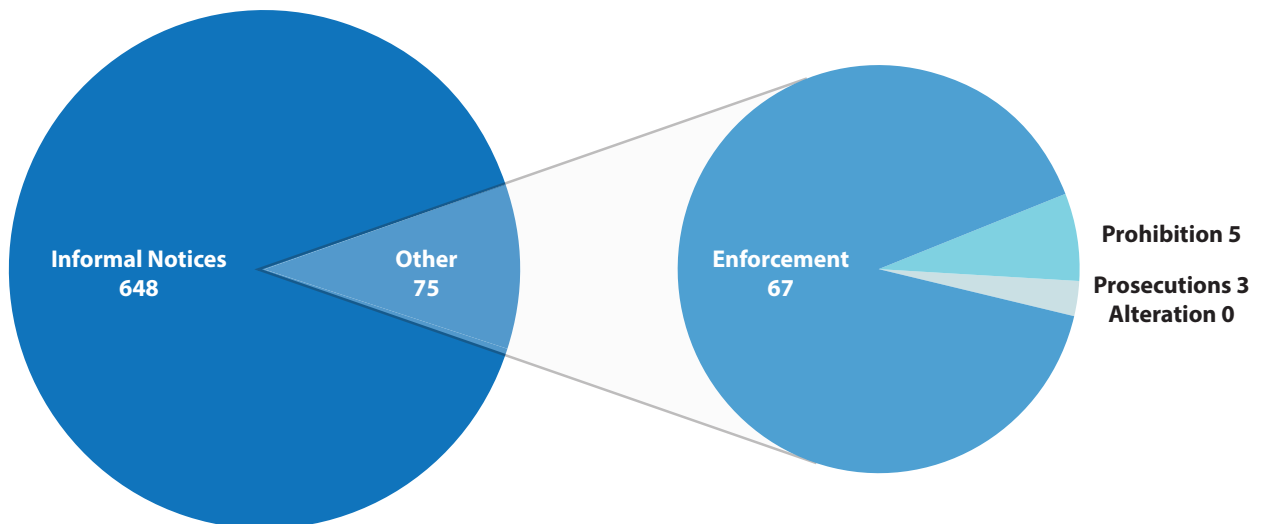
Formal notifications are issued in the most serious of cases where less formal action has failed to resolve issues of non-compliance.

These are categorised within the FSO as:

Details of formal notifications

Type of enforcement action	Explanation of action
Enforcement notices (Article 30)	These are served if the enforcing authority is of the opinion that the responsible person has failed to comply with any provision of the FSO or of any regulations made under it.
Prohibition notices (Article 31)	These are served on the responsible person or any other person, if the enforcing authority is of the opinion that use of premises involves or will involve a risk to relevant persons so serious that use of the premises ought to be prohibited or restricted.
Alteration notices (Article 29)	These are served on the responsible person if the enforcing authority is of the opinion that the premises constitutes a serious risk to relevant persons (whether due to the features of the premises, their use, any hazard present, or any other circumstances); or may constitute such a risk if a change is made to them or the use to which they are put.
Prosecutions (Article 32)	These are the number of convictions for failure to comply with an alteration, enforcement or prohibition notice, or any other matter for which it is an offence under Article 32.

Fire safety notices resulting from unsatisfactory fire safety audits (informal and formal) issued



5. Compliance

The Compliance Team in the BFS Department comprises two Station Managers and a Watch Manager under the direction of the Head of BFS.

The team is currently working on a number of projects in addition to their core prosecution function, including the production and review of internal procedural documents. They also monitor activity in relation to formal notices issued and advise the Fire Safety Management Team (FSMT) of any threats to the Authority.

The team's prosecution work is carried out under the careful guidance of counsel, Mr. David C Stotesbury LLB (Lond) MA (Cantab), to whom the team has Bar Direct Licenced access and with the support of Mr Justin Davies a specialist regulatory prosecutor working for Hugh James solicitors.

Key prosecutions brought before the Courts by the Compliance Team recently:

Residential Care Home

The company pleaded guilty to three offences under the FSO in relation to the private Care Home in Porthcawl containing over thirty bedrooms.

Offences related to the failure to provide adequate training to staff and the failure to conduct realistic worst-case scenario night-time evacuation drills.

The company was ordered to pay £24,000 in fines plus the full £9,930.70 in costs; the total sum of £33,930.70 to be paid within 56 days.

In summing up, Judge Harmes said "there was a clear risk because of penny-pinching" and that the Company had been "putting profit before safety".

Residential Flats

The managing agent of a number of Cardiff properties pleaded guilty to nine offences under the FSO in relation to a house converted to seven self-contained flats.

Offences included the failure to maintain working fire alarm and emergency lighting systems, failure to keep escape routes clear, a failure to conduct a fire risk assessment and a lack of measures to stop fire and smoke from spreading.

The management agent was sentenced to 10 months imprisonment, suspended for 18 months and ordered to undertake 200 hours of unpaid work. He was also ordered to pay over £60,000 in fines and costs.

In summing up, the judge said the Agent was "more than happy to place cost-cutting before the safety of occupants."

Takeaway

Owner of a Takeaway in Maesteg, pleaded guilty to an offence under Article 31 of the FSO.

The offence related to the owner permitting the flat above the takeaway to be used for residential purposes occasions, in breach of a Prohibition Notice. The Notice had been served as the premises lacked a fire alarm and emergency lighting, the stairway lacked the necessary separation from the kitchen area and combustible materials were being stored inappropriately.

The Owner was sentenced to six months imprisonment (reduced from nine on account of an early guilty plea). After taking into account the defendant's family circumstances and lack of previous convictions, the sentence was suspended for twelve months and fined £10,000 and also ordered to pay full costs of £7,576.

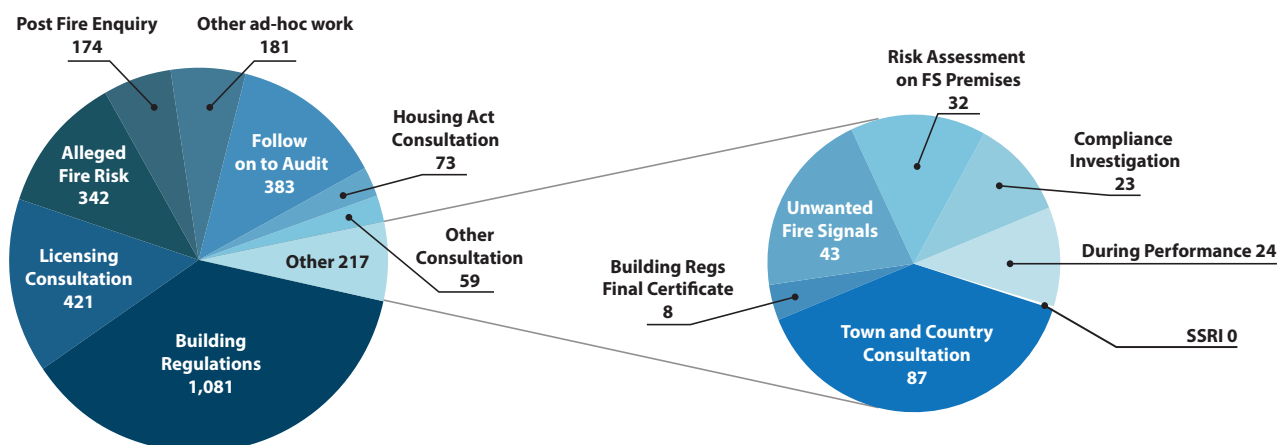
6. Building regulations consultations and other related fire safety activities

The Future Developments Team is involved in a number of different facets within the BFS Department of SWFRS. The team provide an enhanced level of technical knowledge to manage new and complex developments across the Service area. They also work closely with Local Authority Building Control, Approved Inspectors and Licencing Authorities to ensure the standards associated with Building Regulation and Licencing Regulation consultations are met.

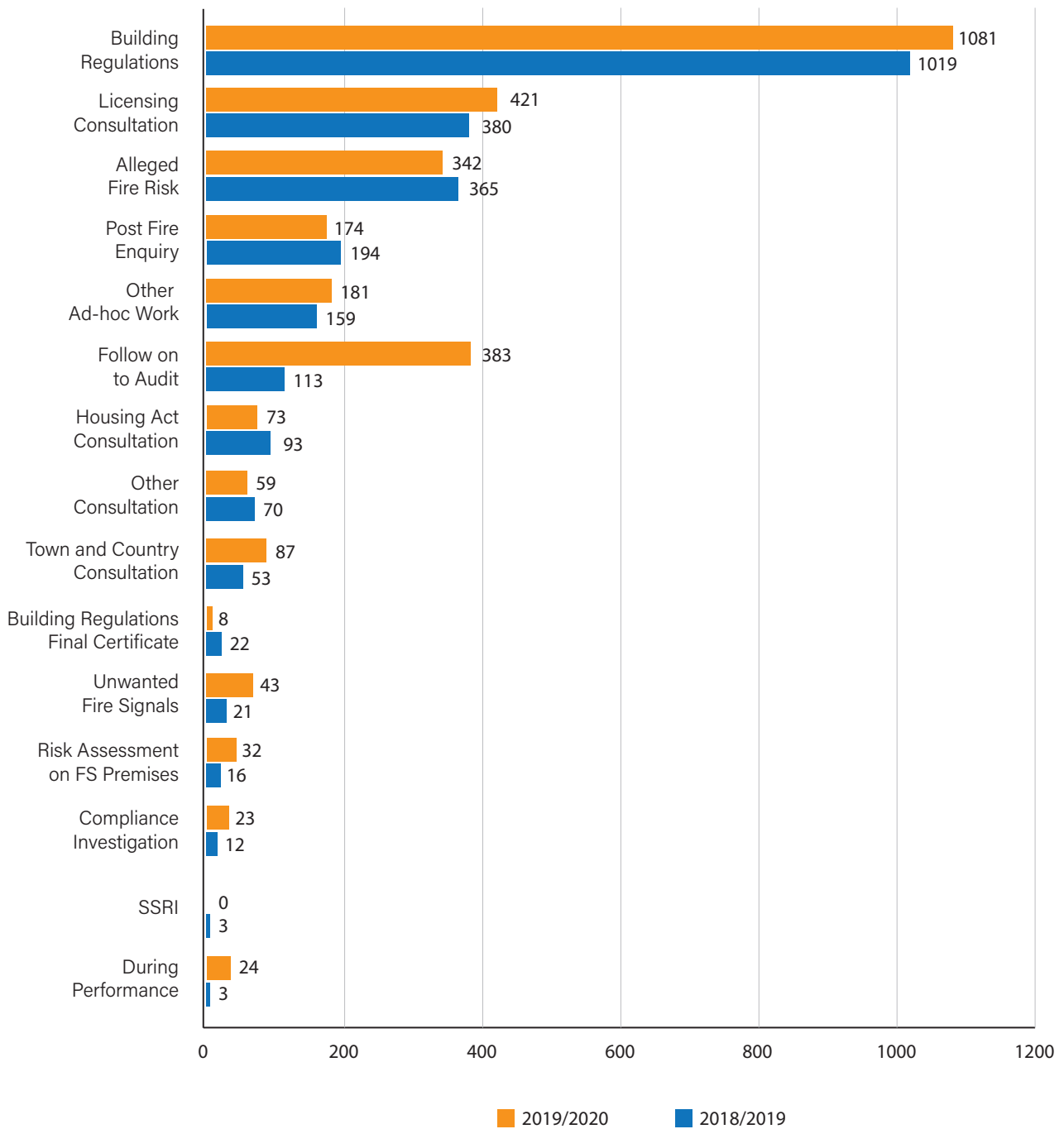
In 2019/20 BFS carried out **1081** building regulation consultations. This is a **6%** increase in the number of building regulation consultations compared with 2018/19.

The Audit Team allocates its resource to auditing high rise and complex buildings which are subject to the FSO as the buildings represent a significant risk to life in the event of fire. Therefore, a suitable risk based inspection programme has been developed to ensure these buildings are inspected so that they are safe for people to occupy. In addition, the audits enable the Service to gather essential information relevant to risk and, where necessary, inform the various Departments of the Welsh Government.

Other fire safety activities undertaken 2019/2020



Other fire safety activities undertaken 2019/2020



Building Regulations

When a Local Authority Building Control Department receives a Building Regulation application to which the FSO applies, there is a statutory requirements for the Local Authority Building Control Department to consult the Fire Safety Enforcing Authority.

Section 15 of the Building Act 1984 (local authorities) and regulation 13(6) of the Approved Inspectors Regulations places a duty on Local Authority Building Control and Approved Inspectors to consult with the Fire Safety Enforcing Authority.

In addition, Section 6(2)(b) of the Fire and Rescue Services Act 2004 requires every Fire and Rescue Authority to secure efficient arrangements for giving, when requested, advice in respect of buildings relating to:

- Fire prevention
- Restricting the spread of fire
- Means of escape in case of fire

Therefore, as part of the consultation process, the Fire Safety Enforcing Authority may offer 'good will' advice that is not enforceable. In this connection, 'good will' advice must be clearly differentiated from statutory requirements.

In relation to the consultation process, the Fire Safety Enforcing Authority should make a formal response in writing within 15 working days.

Licensing

Article 42 (1a) of the FSO requires that Licensing Authorities provide the opportunity to Enforcing Authorities (including SWFRS) to make representations, before a Licence is issued.

As an Enforcing Authority, it is the duty of SWFRS to act as a consultee to both the Licensing Authority and the Health & Safety Executive (Explosive Licences), regarding matters of fire safety.

Formal consultation between the Authorities should take place in accordance with the requirements set out in the following Acts of Legislation:

- The Licensing Act 2003
- The Gambling Act 2005
- The Local Government (Miscellaneous Provisions) Act 1982
- The Marriages and Civil Partnerships (Approved Premises) Regulations 2005 and (amended 2011 regulations)
- Explosives Regulations 2014

Housing Act

The Housing Act 2004 and the FSO highlight the need for authorities to work together and there is a duty on authorities to consult one another on certain prescribed matters relating to Houses in Multiple Occupation. Formal consultation between authorities should take place in accordance with the requirements of the Housing Act 2004 Section 10 and the FSO Article 46.

7. Staff development and competency

NFCC Competency Working Group (WG5)

The Group was formed following Dame Judith Hackitt's 'Raising the Bar' report and the requirement for competency, and the ability to demonstrate competency. For the last two years SWFRS have been an integral part of the National Working Group 5 (which met in London), producing the new Competency Framework document for Fire Safety Inspectors. The Group also comprised of a large number of UK FRSs, HSE, Ministry of Defence & Institution of Fire Engineers amongst others.

Consultation on the document is complete and now awaiting minor amendments regarding National Occupational Standards and clarification of certain definitions.

We are working towards ensuring all our staff are deemed competent in accordance with the Framework document. We are doing this by;

- Training all staff to Level 4 Diploma in Fire and Safety, eventually, third party accreditation and registration
- Regular progress meetings
- Assessments
- Quality assurance assessments
- Organising regular training, which is third part accredited to ensure the minimum annual requirement of 25 hours of Continuing Professional Development is achieved

Fire Safety Inspecting Officer's Development Programme

The BFS Department have liaised extensively with other Services nationally (and continue to do so) to produce a programme that is fit for purpose and serves the needs of both our staff and the organisation. The programme is trialling at present with the newest members of staff, and based on the national Competency Framework. The programme is still in its infancy and learning points noted as we move forward.

The programme involves a matrix whereby staff in development spend time in each of the different teams within the BFS Department. This requires cooperation from each of the teams and Team Managers, something which they have wholeheartedly supported.

BFS Staff Development

There are 13 staff in development, at various stages from new learners to those awaiting final results from courses. All are working towards their Level 4 Diploma in Fire Safety.

When deemed ready for undertaking fire safety audits, the team manager will accompany the individual on the audit. They will be assessed against set criteria within the development programme form. When the team manager has carried out at least two assessments and is satisfied with the performance of the individual, BFS Learning and Development team will quality assure said individual. This process will be undertaken for initially 'simple' premises. When deemed competent, the process will be repeated for 'Complex' premises.

Fire Safety Inspector Apprenticeship

Working on a national level with other services the BFS Department have been instrumental in producing the Fire Safety Inspector Apprenticeship framework document. This apprenticeship has now been successfully adopted in England. Amendments have been made by SWFRS's BFS Department and are ongoing to the document to ensure it satisfies the requirements of Welsh Government. We continue to liaise with the other FRSs updating them on developments.

There are a number of hurdles, including funding, to the scheme being adopted in Wales. We are currently working closely with other departments within the organisation intending to run schemes, to ensure our strategies are aligned.

BFS continues to meet regularly with other organisations in the South Wales region's Apprenticeship Group, working collaboratively to ensure the scheme is adopted.

8. Projects

Risk Identification and Data Gathering Engine (RIDGE)

The RIDGE project has made significant steps forward over the past 6 months, with the trial system and partnerships with West Midlands Fire Service (WMFS) development teams to design and develop a UK leading RBIP system allowing us to target and identify risk, while gathering data once and sharing many times. We continue to strive for a go live date of the end of April 2020, this will be Phase 1 the auditing element of RIDGE project. As this will not be the complete RIDGE system we will still need to use Hestia for Building Regs, AFRs, Licensing etc, and therefore will be utilising 2 systems for a period until such elements are active on RIDGE.

Further development of;

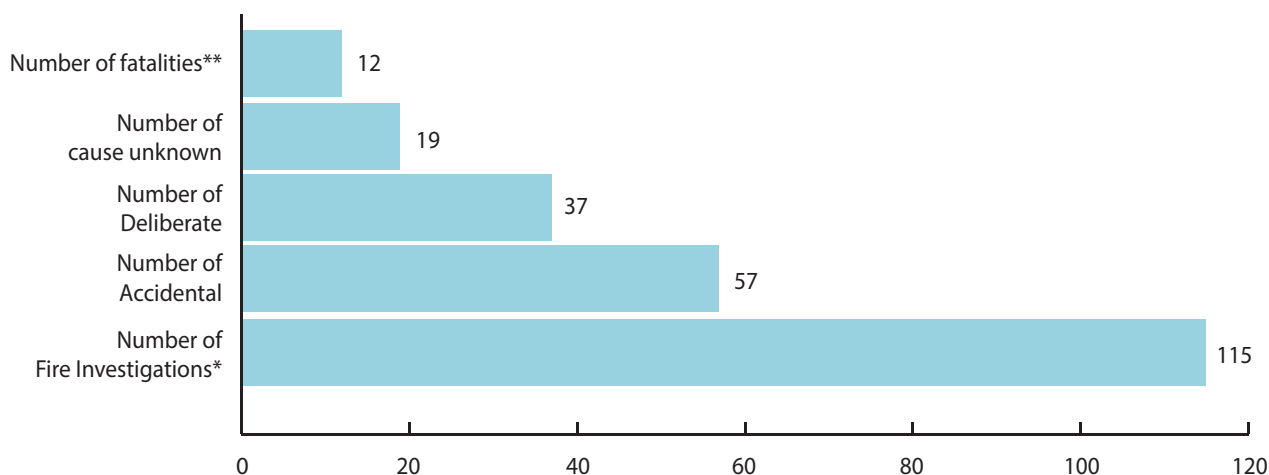
- Business processes event to establish current practices and how these may change to adapt to RIDGE
- Transfer of all data from Hestia to RIDGE /SharePoint
- Training of all end users, Managers and Admin teams
- Final transfer of data prior to Go Live date
- Establish working practice for the transfer of data from RIDGE to BMIS

Further phases will see such improvements as digital letter creation, Building Regs, licensing and other areas important within BFS.

RIDGE will bring the requirement for the BFS department to work differently, however this will bring benefits in times allowing current processes to be streamlined to efficiency and effective practice.

Fire Investigation

The Fire Investigation Team (FIT) have been established within SWFRS for many years. From 2018 to current date the FIT have attend the following incidents:



*incidents tagged by control as FI or with an FI officer identified in Section 8 of IRS, 2 of the incidents tagged are not fires

** There were 12 fatalities in fires, 3 of these are recorded as not fire related, 4 were in deliberate fires and 5 in accidental fires

As you can see from the above data the FIT have seen a 35% increase in investigation in over a 12 month period, and with the upcoming implementation of ISO17020 we envisage this increase to continue.

The current Fire Investigation Team has an establishment of:

- 8 Competent FI Officers
- 5 Development FI Officers
- 5 Non Competent FI Officers
- 4 Awaiting Course allocation

Additional to the above we have 3 x Group Manager (B)s who will function as mentors to those in development. It is anticipated that the team will have additional competent FIs by April 2020 following the completion of the Level 5 Skills for Justice qualification.

The FIT response and investigation methodology will change as we implement ISO17020, however this will see improvements in equipment, policies and processes along with great partnership working and collaboration with the Joint Scientific Unit.

9. BFS Policies and Procedures

The following internal documents have been reviewed and published this year:

- BFSP/02 General Audit and Inspection Procedures
- BFSP/04 Enforcement Notices
- BFSP/18 Consent Procedures
- BFSP/20 Production and Control of BFS Documents

Work has also been ongoing regarding the development of an Organisational Procedures document for unwanted fire signals.

10. Fire Risk Assessments of Fire and Rescue Service Premises

Under the auspices of the FSO, Fire Risk Assessments (FRAs) are a legal requirement. The Responsible Person (i.e. the Fire and Rescue Authority) should ensure that suitable and sufficient Fire Risk Assessments are carried out on their building stock. In order to comply with this requirement, the BFS Department are responsible for carrying out full FRAs on a 3-yearly cycle at Service premises.

Using the All Wales Fire Risk Assessment Form, the BFS Inspecting Officer will produce a list of significant findings, suggest remedial actions/timescales and prioritise the suggested remedial action to assist key personnel such as Property Services, Health & Safety, etc.

Annual reviews are then co-ordinated by the Premises Manager and to support this, the Premises Manager should liaise with a BFS Inspecting Officer, BFS Station Liaison Officer or a member of the BFS Department.

11. All Wales Internal Fire Safety Audit Quality Assurance Process

Production of an All Wales framework within which each service can demonstrate that it enforces the requirements of the FSO in its own premises impartially, fairly and in a manner consistent with the way in which it enforces the FSO in premises under the control of other agencies, ensuring robust and verifiable self-regulation.

As the enforcing authority of the FSO, the FRS is responsible for enforcing the FSO in its premises; as a Responsible Person under the FSO, the FRS is also responsible for complying with the requirements of the FSO in its premises.

There is a risk that a conflict of interest may occur wherever a single entity is responsible for both the adherence to, and enforcement of any regulations. Even where care is taken to ensure impartiality, the FRA may be challenged to prove it is applying the FSO in its own properties without fear or favour.

The intention of this process is to ensure these risks can be mitigated and any challenges can be met with suitable documentation to evidence fair enforcement of the FSO.

12. High Rise Project

The High Rise Project Team have identified a total number of **287** residential high-rise buildings across the SWFRS area, **22** of which have failed cladding systems fitted. To date, remedial work has been completed on 9 buildings (**4** Aluminium Composite Material (ACM) & **5** other failed cladding) with the remaining expected to be completed in 2020. The High Rise Team have overseen the cladding removal and replacement programs of all the above buildings. Although this is scheduled to continue into 2020, the emergence of COVID-19 may once again delay the current replacement schedules.

In addition, the High Rise Team delivered theory training to all Wholetime and On-Call Duty System stations over a 24 month period covering topics such as, building design, ACM cladding, external fire spread, firefighting facilities, etc. This training is also delivered to all uniformed staff joining SWFRS.

The practical training delivered at WMFS continues to offer the staff the opportunity to experience a carbonaceous training environment in a building over 18m. Key learning outcomes from the use of this training facility include, Incident Command of high rise building fires, critical communications with Fire Control, ventilation strategies, including automatic openable vents (AOVs), early identification of building failure (compartmentation) and external fire spread. To date, **608** Wholetime and On Call Duty System personnel have attended the 1-day practical training session at the WMFS's high rise training facility. A further **117** are yet to be trained and this will be captured in the remaining courses planned before the end of June 2020.

The High Rise Team has also worked with the Community Safety department in delivering awareness days at high rise buildings whereby the evacuation strategy has changed and the Team have also undertaken familiarisation visits with operational crews at higher risk buildings including Altolusso, Celestia and Olympia House.

The High Rise Project Team concluded at the end of March 2020 and the responsibility for Fire Safety Audits at high rise buildings sits with the Future Developments Team within BFS.

13. Engagement and Partnerships

Primary Authority Scheme

A suite of SWFRS Primary Authority Scheme (PAS) forms and associated procedural guidance is now in the BFS library for all in the department to view and follow.

A revised PAS partnership agreement has been 'signed off' by Castle Leisure Limited and SWFRS. This partnership has now been 'nominated' on the Primary Authority Register and is 'live'. Publicity of this partnership with the media and communications team once the current Covid-19 restrictions have been lifted and Castle Leisure re-opens its facilities.

Meetings continue to be held with Community Housing Cymru (CHC) and its members and this PAS partnership is progressing well.

Liberty Living have merged with the Unite Group and it is unsure as to the effect on SWFRS's PAS with Liberty Living. A planned meeting for April 18th has been postponed for later in the year due to the current Covid-19 health emergency.

SWFRS is still progressing the existing PAS with SA Brain and will meet up with their representatives later in the year to review this partnership.

SWFRS's PAS partnerships continue to run well with no detrimental effect on BFS's day-to-day service delivery. However, the current Covid-19 situation has affected our partners' businesses.

The CHC co-ordinated PAS has been very beneficial for Housing Associations, with the close relationship forged by the PAS facilitating better communication channels. This closer relationship has meant that several Housing Associations have now 'signed up' to Local Service Agreements which strengthen SWFRS's partnership working.

Cardiff Central Project

A new initiative has been trialled to help share information between BFS, Fire Control and Operations. The primary aim of the project has been to improve firefighter safety by further developing the way the departments exchange relevant and important information relating to firefighter risks and fire safety deficiencies identified by operational personnel or BFS Inspecting Officers. In addition, there has been a broader drive to help develop the understanding of fire safety issues of crews and supervisory officers so they may feel more confident in addressing any suspected deficiencies they see whilst attending an incident or visiting a business.

The initiation of the project has been well received at Cardiff Central, with all watches being trained by BFS to help them identify relevant any pertinent risks that they can either deal with or should report to BFS. As a result, since the project started, there has been a steady report of issues to BFS using the new "Premises Risk Data Form", which is a means of reporting BFS issues and sharing identified firefighter risks with the relevant stations and Fire Control. Engagement has also taken place with Fire Control with Fire Control as all referrals using the Premises Risk Data Form enable the relevant information to be communicated mobilising information (e.g. the turnout sheet). Further evaluations are ongoing prior to rolling out the initiative across the rest of SWFRS.

Defence Fire Safety

The Defence Fire Safety Regulator (DFSR) approached SWFRS with a view of collaborative working and to conduct a peer assessment audit. This assessment provided evidence based advice to the DFSR to assist in discharging its legal functions, meeting its responsibilities in relation to the DFSR arrangements for safeguarding and improving the quality and safety of all premises within the Ministry of Defence in accordance with its stated objectives and the requirements and standards determined by the Secretary of State for Defence. Whilst aligning their working practices, policies and procedures with Local Authority FRSs and National Occupational Standards.

The audits were not a form of inspections but a mechanism to provide the Director General-Defence Safety Authority (DG DSA) with information that allowed for a review of their service delivery and the organisational effectiveness of the DFSR. This provided the opportunity to ensure efficiency, effectiveness and robust procedures were implemented.

During the assessment SWFRS reviewed the following Key Assessment Areas, protection and prevention, focused on legislative fire safety activity. The scope of the enquiry was divided into three key areas, those being Planning, Delivery and Review. In addition, the opportunity was taken to review how well the DFSR were ensuring its responsibilities for Health, Safety and Welfare were being met.

Along with evidence submitted within the Self-Assessment provided by DFSR and in further support, a number of site visits were attended both nationally and internationally. The final report contained proposals for improvement and implementation which were welcomed by DFSR.

Other Engagement Work

We also work with local business groups and Local Authorities to support the development and building of safer homes, workplaces and places of entertainment and we deliver this by:

- Engaging with business communities, Local Authority housing associations, National Resources Wales, etc. to inform and educate people in how to reduce the risk of fires and other emergencies the environment from harm.
- Influencing and regulating the built environment by working with Local Authority building control, Welsh National Health Service concordat, etc. to protect people, property and the economy.

Our work under this aim focus on activities that reduce fires and the impact they have, and by targeting people most at risk in places such as offices, leisure centres, care homes, hostels and hospitals."

14. Other ad-hoc work

Freedom of Information Requests

- 6 requests for high rise premises
- 8 requests for other premises

During Performance Inspections

24 During Performance Inspections (DPIs) took place in Cardiff City Centre during December 2019. These were joint inspections with SWFRS's BFS Officers, South Wales Police Licensing Officers and Cardiff City Council Licensing Officers.

This was followed by two days of DPIs which coincided with Six Nations Rugby games.

In December, **22** out of **24** premises were found to have fire safety issues. However, the Six Nations inspections had a far lower incidence of fire safety issues (only 6 of 24 inspected premises). This reduction is evidence that the DPI initiative worked with premises acting on advice given and reviewing their fire safety measures. Resulting in an improved fire safety of premises and a reduced risk from fire to persons at the premises.

For evaluation purposes, Service Performance and Communications Department helped to produce a qualitative 'survey monkey' tool and members of the public were asked questions regarding how they perceived the value of the fire service performing DPIs. All the responses were positive regarding BFS Officers' work.

It is the intention that once Covid-19 restrictions are lifted and licensed premises are operating 'normally' that DPIs will again be part of the risk based fire safety inspection programme.

'Do You Have Paying Guests' Guide

A representative attended a NFCC workshop aimed at updating the fire safety guide named 'Do you have paying Guests' which is aimed at owners of small premises such as B&B's, shared economy accommodation, better known as AirBnB, guest houses and lodges. It also applies to smaller types of outdoor accommodation, such as holiday cottages, caravans, camping and glamping pods, lodges, shepherds' huts, tents, tree houses and yurts. DYHPG guide provides recommendations that are designed to protect not only the lives of families living within these premises and any guests that are staying with them, but also the property and their business enterprise. It has been written in conjunction with the hospitality sector to provide guidance for individuals to carry out a fire risk assessment in less complex premises, and provides simple and practical advice to those responsible for fire safety to ensure that they are meeting the requirements of the FSO.

The guide is specifically for owners of smaller domestic-type accommodation that:

- is not to be occupied by more than ten people
- does not act as the principal residence for paying guests
- does not have a single storey area over 200m²
- has an escape travel distance of no more than 18 metres
- has an escape route from bedrooms that is via a hall or stairway with at least one direct exit to the outside

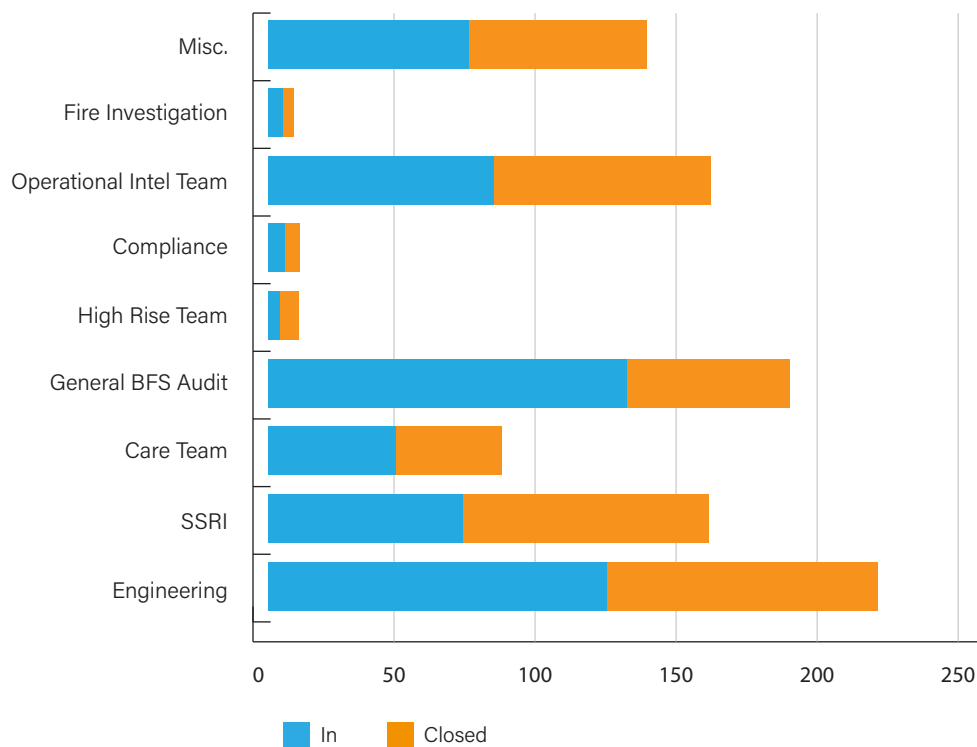
DYHPG guide also sets out;

- peoples responsibilities under the law
- practical advice on what fire safety measures may be appropriate to provide an adequate level of fire safety
- how to undertake a fire risk assessment for a simple premises
- where to go for further information

15. Digital Drafting

The Digital Drafting Team is responsible for producing and maintaining accurate digital drawings of buildings and high risk sites, on behalf of the Service. This includes uploading firefighter safety information onto the Mobile Data Terminals, to benefit operational crews and onto BFS databases. Each year the team respond to hundreds of requests for building drawings from the various Departments at Headquarters and from Stations and often are involved in developing large plotting of maps, charts and training diagrams. In addition, the Digital Drafting Team is currently the lead on digital drawings for the developments associated with the National Issues Committee.

Plans drawn by the Digital Drafting Team (April 2019 - March 2020)



In addition, **70** identified residential premises with no drawings have not been included in these figures as they will roll out over the next year.

Affecting factors are large projects such as University Hospital Wales, Wales International Conference Centre, etc, relatively new team members, and the number of staff (reduced from 6 technicians to 4).

16. BFS Support Team

The BFS Support Team provides support and administrative services to all BFS teams including FI and Compliance.

The Team maintains the current BFS Management Information system and assisting in the development of a new RBIP system.

Recording of inspection data and collating statistics for analysis by the BFS Management Team as well as producing the annual Welsh Government returns and ad hoc queries.

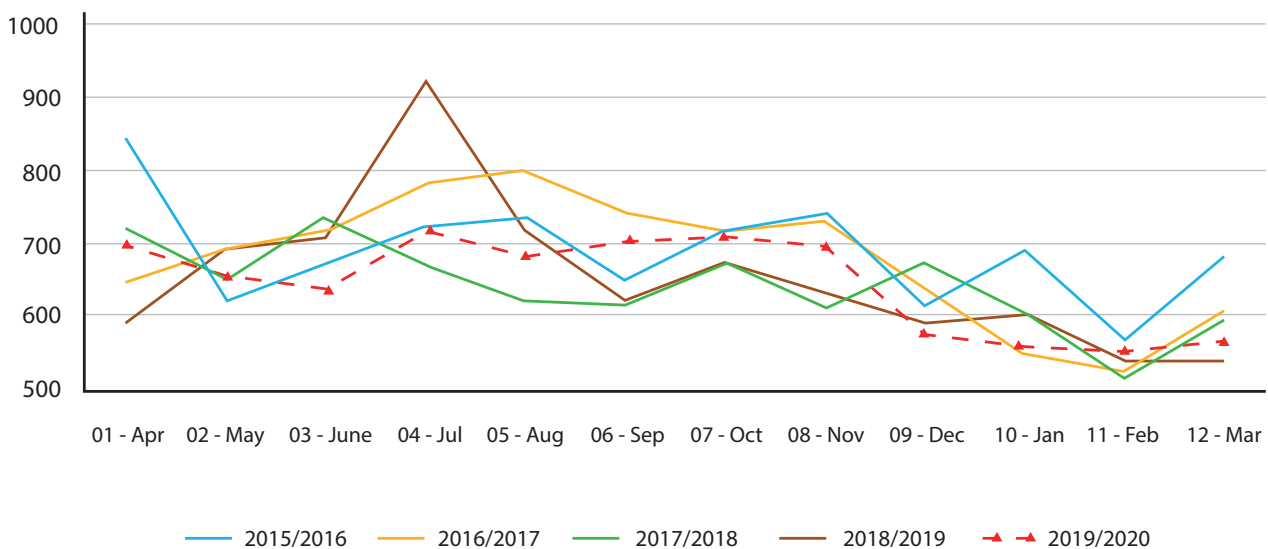
It administers the SWFRS area of the NFCC Public Register and publishes information on formal notices issued by the Service i.e. enforcement and prohibitions as well as publishing prosecutions, a total of **113** for 2019/20

BFS Support Team maintains BFS's SharePoint site which includes **58** standard letters covering various legislations. It maintains and updates the Outdoor Events calendar with notifications from Local Authorities ranging from village fetes to large concerts and major events being held throughout the Service area.

BFS Support also deal with Freedom of Information requests, timber framed developments via the Structural Timber Association and the NFCC Sitesafe group, Licensing and Planning applications for the ten Unitary Authorities as well as attending All Wales Business Fire Safety Group meetings as Support Staff.

17. Unwanted Fire Signals

Unwanted Fire Signals within scope of the FSO (April 2019—March 2020)



Statistics and synopsis of performance

Overall, total false alarms are down **103** (1%), but 1% above SWFRS's target of **7,655** false alarms (not just AFAs)

- False alarm due to apparatus increased by **4%**, caused by a **31%** increase to false alarms in dwellings
- False alarms in hospitals were down **15%**
- False alarms in residential care premises were down **21%**
- Appliances in attendance at hospitals decreased by **15%**, and at residential care premises by **20%**

AFA SOP

Since the introduction of the new AFA SOP and its changes to mobilisation and engagement procedures, there was noticeable reduction in the number of UFS incidents for the first five months (as was expected), however, there was quite a significant increase over the summer months. The majority of these increases were in domestic properties, i.e. those outside the scope of the changes imposed within the new SOP.

Engagement and Collaboration

Engagement and collaboration is still ongoing with internal and external stakeholders, including:

- Station Commanders
- Operations Department
- Fire Control
- Service Performance and Communications Department
- Local Authorities
- Health Boards
- Other organisations generating high numbers of unwanted fire signals

18. Glossary of Terms

ACM	Aluminium Composite Material
AFR	Alleged Fire Risk
AOV	Automatic Openable Vent
B&B	Bed & Breakfast
BFS	Business Fire Safety
BMIS	Business Management Information System
CHC	Community Housing Cymru
DFSR	Defence Fire Safety Regulator
DPI	During Performance Inspection
DYHPG	Do You Have Paying Guests
FI	Fire Investigator / Fire Investigation
FIT	Fire Investigation Team
FRA	Fire Risk Assessment
FRS	Fire and Rescue Service
FSMT	Fire Safety Management Team
FSO	Regulatory Reform (Fire Safety) Order 2005
Hestia	Business Fire Safety's current data management system
HSE	Health & Safety Executive
NFCC	National Fire Chiefs Council
PFE	Post Fire Enquiry
RBIP	Risk Based Inspection Programme
RET	Risk Evaluation Team
RIDGE	Risk Identification and Data Gathering Engine
WMFS	West Midlands Fire Service

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EMERGENCY SERVICES NETWORK UPDATE

SUMMARY

The following report gives an update on the progress of the Emergency Service Network (ESN) project, as requested by members at the FAPM committee on 15th June 2020.

RECOMMENDATION

That the Finance, Audit & Performance Management Committee note and agree the report content.

1. BACKGROUND

- 1.1 The Home Office is leading a pan departmental, cross government programme to deliver the new Emergency Services Network (ESN) critical communications system. This will replace the current Airwave service used by the emergency services in Great Britain.
- 1.2 The strategic aim of the Emergency Services Mobile Communications Programme (ESMCP) is to deliver a much better voice and data service to the Emergency Services. It will replace the reliable but limited and ageing Airwave system.
- 1.3 The ESMCP is currently working on a refreshed Full Business Case with the aim of having a working draft to share with Funding Sponsor Bodies during August. At this point it is believed there will be much needed clarity on the Core and Non-Core costs of ESN.
- 1.4 The South Wales Fire and Rescue Service ESN Programme continues to work as part of the Welsh Joint Emergency Services ESN Strategy Group to ensure a collaborative delivery of ESN for the Welsh Emergency Services.

2. ISSUES

2.1 Coverage

EE's roll out of ESN coverage within SWFRS is nearing completion and we have been capturing coverage data for some time to assess the network. SWFRS, Gwent Police, South Wales Police and the Welsh Ambulance Service all have "fit and forget" devices installed in a

selection of vehicles that all report coverage data back to a central portal, which can be viewed by each service. Services can see all of the data captured and this prevents each service unnecessarily testing the same roads. Where potential coverage concerns are identified these are escalated to the programme to identify appropriate resolution.

2.2 **Control Rooms**

The Joint Public Service Centre (JPSC) based in Bridgend and used by South Wales Police, South Wales Fire and Rescue Service and Mid & West Wales Fire & Rescue Service is unique in the fact that it is a true Joint Control Room Solution, supporting three Emergency Services. The Programme has confirmed that ESN can support this joint solution and work is ongoing to understand the technical detail of how this will be achieved. The Home Office has contracted directly with Control Room Suppliers, including Capita, for them to develop ESN solutions for their customers.

2.3 **Devices**

The ESN devices environment continues to mature. Samsung have developed a ruggedized Handheld Device and this is currently being used by a number of Immigration Enforcement Officers alongside their existing Airwave devices. Two companies are currently developing Fixed Vehicle devices and are under contract with the Home Office to have working prototypes by the end of 2020 and production ready devices during 2021. All of these devices, and accessories, will be available for purchase through a Home Office call off framework.

2.4 **Training**

ESN Training materials are currently being developed by the central Programme and, once completed, will be shared with the Emergency Services so that they can be adapted for local use. Current planning assumptions are that training will be a single 2 hour session, delivered directly to watches for station based personnel, and via additional group sessions for other operational staff.

2.5 **Timescales**

It is anticipated that Operational Validation will take place in quarter 4 2020 to quarter 2 2021, this will be followed by Operational Evaluation (Q2 2021 -Q 2022) and a 'National Pilot' provisionally ending in mid-2022. As a service we do not have an intended implementation date at this time.

3. **FINANCIAL IMPLICATIONS**

3.1 The report presents an updated position of the ESN scheme. There are no financial implications resulting directly from this report, however the

financial impacts on revenue and capital budgets will be included in future budget setting reports.

4. EQUALITY RISK ASSESSMENT

4.1 There are no equality implications resulting directly from this report.

5. RECOMMENDATION

5.1 That the Finance, Audit & Performance Management Committee note and agree the report content.

Contact Officer:	Background Papers:
Geraint Thomas Head of Finance and Procurement	

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**FORWARD WORK PROGRAMME FOR
FINANCE, AUDIT & PERFORMANCE MANAGEMENT COMMITTEE 2020/21**

Expected Date of Report	Report Name	Purpose of Piece of Work	Lead Director/ Contact Officer	Progress
As required	Internal Audit Progress Report & Audit Action Updates	To provide an updated position of work performed against the internal audit plan and to highlight any significant issues arising from the internal audit work performed	DCO Contact Officer: Geraint Thomas	On agenda
As required	Performance Report	To scrutinise specific issues of performance identified and referred by Fire Authority	DCO Contact Officer: Sally Chapman	
As required	Statistics Report	To scrutinise specific statistics or trends as identified and referred by Fire Authority	ACFO SD Contact Officer: Sarah Watkins	
As required	WAO Reports	To advise Members of the conclusions of WAO Reports and to consider the implications for the Service	DCO Contact Officer: Sally Chapman	
15 June 2020	Revenue Outturn	To advise on total revenue expenditure for the year against the set revenue budget following the year end and to explain variations	Treasurer/DCO Contact Officer: Geraint Thomas	Completed
15 June 2020	Capital Outturn	To advise on total capital expenditure for the year against the set capital budget following the year end and to explain variations	Treasurer/DCO Contact Officer: Geraint Thomas	Completed

Expected Date of Report	Report Name	Purpose of Piece of Work	Lead Director/ Contact Officer	Progress
15 June 2020	Draft Statement of Accounts	To advise Members of the content of the Draft Statement	Treasurer Contact Officer: Chris Barton/ Geraint Thomas	Completed
27 July 2020 21 Sept 2020	Statement of Accounts (Revenue and Capital) for 2019/20 budget	To seek Members' approval for publication of the Statement of Accounts.	Treasurer Contact Officer: Geraint Thomas	Deferred to 21 September 2020
27 July 2020	Capital Monitor	To provide an update on capital expenditure against the capital budget for the year	Treasurer/DCO Contact Officer: Geraint Thomas	On agenda
27 July 2020	Update on COVID-19 Expenditure	To provide an update on the revenue spend and budget commitments to date.	Treasurer Contact Officer: Geraint Thomas	On agenda
21 Sept 2020	Health Check of Priority Actions and Q1 progress against the Statutory PI's	To scrutinise the issues in relation to each of the Priority Actions and to review what the Service has planned to do to address each issue in the current financial year, and review Q1 progress against each of the statutory PI's	DCO Contact Officer: Sarah Watkins	
21 Sept 2020	Revenue Monitor	To provide an update on revenue expenditure against the revenue budget for the year	Treasurer/DCO Contact Officer: Geraint Thomas	

Expected Date of Report	Report Name	Purpose of Piece of Work	Lead Director/ Contact Officer	Progress
21 Sept 2020	Capital Monitor	To provide an update on capital expenditure against the capital budget for the year	Treasurer/DCO Contact Officer: Geraint Thomas	
21 Sept 2020	Treasury Management Outturn Report	To advise on performance against the treasury management policy and strategy following financial year end	Treasurer Contact Officer: Chris Barton/ Geraint Thomas	
21 Sept 2020	Medium Term Financial Strategy Update, Reserves Strategy and Revenue & Capital Budget Setting Report	To Update Members on the MTFS to inform and influence the 2021/22 budget setting process to meet the Service's requirements for the following financial year	Treasurer/DCO Contact Officer: Chris Barton/ Geraint Thomas	
23 Nov 2020	Revenue Monitor	To provide an update on revenue expenditure against the revenue budget for the year	Treasurer/DCO Contact Officer: Geraint Thomas	
23 Nov 2020	Capital Monitor	To provide an update on capital expenditure against the capital budget for the year	Treasurer/DCO Contact Officer: Geraint Thomas	
23 Nov 2020	Revenue & Capital Budget Setting Update Report	To assist in determining the appropriate revenue & capital budget required to meet the Service's requirements for the financial year	Treasurer/DCO Contact Officer: Chris Barton/ Geraint Thomas	

Expected Date of Report	Report Name	Purpose of Piece of Work	Lead Director/ Contact Officer	Progress
23 Nov 2020	Audit & Plan Scheme Updates	To seek Members' views upon the progress of Audit & Plan Scheme Actions	DCO Contact Officer: Sarah Watkins	
23 Nov 2020	Treasury Management Interim Report	To update Members on treasury management activity during the year to date	Treasurer Contact Officer: Chris Barton/ Geraint Thomas	
15 March 2021	Treasury Management Strategy Report	To secure Members' approval to the adoption of the Treasury Management Strategy 2021/22	Treasurer Contact Officer: Chris Barton/ Geraint Thomas	
15 March 2021	Health Check of Priority Actions and Q3 progress against the Statutory PI's	To scrutinise the issues in relation to each of the Priority Actions and to review what the Service has planned to do to address each issue in the current financial year, and review Q3 progress against each of the statutory PI's	DCO Contact Officer: Sarah Watkins	
15 March 2021	Draft Annual Report of the Work of the FAPM Committee and the Discharge of the Terms of Reference of the Finance, Asset & Performance Management Scrutiny Group	To consider the draft report on the annual work of the Committee before its submission to the Fire Authority and to ensure the Authority has efficient use of resources and robust procedures in place to ensure and manage this	Chair of FAPM, Chair of Scrutiny Group & DCO Contact Officer: Sally Chapman	

Expected Date of Report	Report Name	Purpose of Piece of Work	Lead Director/ Contact Officer	Progress
15 March 2021	Revenue Monitor	To provide an update on revenue expenditure against the revenue budget for the year	Treasurer/DCO Contact Officer: Geraint Thomas	
15 March 2021	Capital Monitor	To provide an update on capital expenditure against the capital budget for the year	Treasurer/DCO Contact Officer: Geraint Thomas	
15 March 2021	Internal Audit Programme	To outline the planned internal audit coverage for the financial year and to seek comment and approval	DCO Contact Officer: Sally Chapman/ Geraint Thomas	
15 March 2021	Internal Audit Annual Report	To provide an opinion on the adequacy and effectiveness of risk management, control and governance processes based on the internal audit work undertaken during the financial year. This will support the statement of internal control.	DCO Contact Officer: Sally Chapman/ Geraint Thomas	
15 March 202	Corporate (Strategic) Risk Register	To seek Members' views upon the Corporate (Operational) Risk Register	DCO Contact Officer: Sarah Watkins	

Expected Date of Report	Report Name	Purpose of Piece of Work	Lead Director/ Contact Officer	Progress
2 March 2020	Register of Gifts and Hospitality	To advise Members of gifts and hospitality accepted and declined by Members and Officers during the year	DCO Contact Officer: Sally Chapman	

Sally Chapman - DCO
Dewi Rose - ACFO Service Delivery
Chris Barton - Treasurer

Geraint Thomas - Head of Finance & Procurement
Andrew Jones - Head of Human Resources
Sarah Watkins - Head of Corporate Support

AGENDA ITEM NO 11

**To consider any items of business that the Chairperson deems urgent
(Part 1 or 2)**

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1. Apologies for Absence
2. Declarations of Interest

Members of the Fire & Rescue Authority are reminded of their personal responsibility to both verbally and in writing declare any personal and/or prejudicial interests in respect of matters contained in this agenda in accordance with the provisions of the Local Government Act 2000, the Fire & Rescue Authority's Standing Orders and the Members Code of Conduct.

3. Chairperson's Announcements
4. To Receive the Minutes of:
 - Finance Audit & Performance Management Committee held on 15 June 2020 3
5. Capital Monitoring Report 2020/21 9
6. Internal Audit Report 21
7. Update on COVID-19 Financial Impacts 45
8. Business Fire Safety Annual Summary Report 2019/2020 47
9. Emergency Services Network Update 71
10. Forward Work Programme 2020-21 75
11. To consider any items of business that the Chairperson deems urgent (Part 1 or 2) 81