TO ALL MEMBERS OF THE SCOTTISH FIRE AND RESCUE SERVICE

Dear Member

You are invited to attend the eighth meeting of the Scottish Fire and Rescue Service as follows:

Date: Thursday 28 November 2013
Time: 11am
Venue: Edinburgh City Chambers, 253 High Street, Edinburgh, EH1 1YJ

The business for the meeting is detailed overleaf.

Tea/coffee will be available from 10.30am.

Should you require any other information, please contact Jo-Anne Breckenridge on 01738 475206, or AM Kenneth Fraser on 07734 582441.

Yours sincerely

PAT WATTERS CBE
Chair
AGENDA

1. CHAIR’S WELCOME

2. APOLOGIES FOR ABSENCE

3. DECLARATION OF INTERESTS

Members should declare any financial and non-financial interest they have in the items of business for consideration, identifying the relevant agenda item, and the nature of their interest.

4. MINUTES OF PREVIOUS MEETING: 26 SEPTEMBER 2013 (attached)

The Board is asked to approve the minutes of the meeting held on 26 September 2013.

5. ACTION/DECISION LOG (attached)

The Board is asked to note the updated Action/Decision Log.

6. CHAIR’S REPORT (verbal report)

The Board is asked to note the Chair’s Report.

7. CHIEF OFFICER’S REPORT (verbal report)

The Board is asked to note the Chief Officer’s Report.
8. COMMITTEES UPDATE:
Audit and Risk Assurance Committee  
N Pirie

Approved minutes of the Audit and Risk Assurance Committee:
16 September 2013 (attached)

Update from HM Fire Service Inspectorate (attached)

Service Transformation Committee  
M Dwarshuis

Draft minutes of the Service Transformation Committee:
5 September 2013 (attached)

Local Stakeholder and Engagement Committee  
G Thoms
Employee Partnership Forum  
P Watters

The Board is asked to note the updates.

9. RISK MANAGEMENT POLICY (attached)  
A Clark

The Board is asked to approve the report.

10. ANNUAL OPERATING PLAN - PROGRESS REPORT (attached)  
A Clark

The Board is asked to approve the report.

11. BUDGET STRATEGY 2014-2016 (attached)  
S O’Donnell

The Board is asked to approve the report.

12. WORKING TOGETHER FRAMEWORK (attached)  
D Vincent

The Board is asked to approve the report.

13. MID YEAR PERFORMANCE REVIEW (update attached/verbal report)  
A Clark

The Board is asked to note the update.

14. RESOURCE BUDGET MONITORING REPORT – OCTOBER 2013 (attached)  
S O’Donnell

The Board is asked to note the report.
15. CAPITAL MONITORING REPORT 2013/14 – OCTOBER 2013
(attached) S O’Donnell

The Board is asked to note the report.

16. DATE OF NEXT MEETING
Thursday 30 January 2014 @ 11am in Dundee.
MEETING: SCOTTISH FIRE AND RESCUE SERVICE (SFRS) BOARD
THURSDAY 26 SEPTEMBER 2013
NORTH ANDERSON DRIVE FIRE STATION,
19 NORTH ANDERSON DRIVE, ABERDEEN, AB15 6DW

PRESENT: Pat Watters CBE (Chair); Jimmy Campbell (Deputy Chair); Bob Benson; Marieke Dwarshuis; Dr Michael Foxley; Robin Iffla; Sid Patten; Neil Pirie; Grant Thoms; Martin Togneri; Kirsty Darwent; Bill McQueen

IN ATTENDANCE: Alasdair Hay (Chief Officer); Alex Clark (Deputy Chief Officer); Dave Boyle (ACO/Service Delivery West); Sarah O'Donnell (Director/Finance & Contractual Services); Diane Vincent (Director/People & Organisational Development); Peter Murray (ACO/Service Delivery East); Robert Scott (ACO/Service Delivery North); Lewis Ramsay (Director/Prevention and Protection); David Goodhew (Director/Response and Resilience); Kenneth Fraser (Business Manager); Jo-Anne Breckenridge (Minutes).

1  CHAIR’S WELCOME

Pat Watters welcomed everyone to the seventh meeting of the Scottish Fire and Rescue Service (SFRS) Board. The Chair advised the Board are committed to engaging constructively with the communities SFRS serve and had decided to hold Board meetings across Scotland, the first of which is being held today in Aberdeen. An engagement event was held last night to which MSPs, Chief Executives, Councillors and partner organisations were invited to meet informally with the Board and the Strategic Leadership Team. The Chair thanked ACO Scott and his staff for hosting today’s Board meeting and for making all the arrangements for both the Board meeting and the engagement event.

2  APOLOGIES

None

3  DECLARATION OF INTERESTS

None.

4  MINUTES OF PREVIOUS MEETING: 27 JUNE 2013

Item 9 - Targeted Recruitment – Michael Foxley asked the minute and
action log be amended to reflect recruitment of women and links to childcare. Diane Vincent subsequently advised that recruitment and selection processes will be addressed at a future Board development day and that a survey had been developed aimed at under-represented groups to get their views of the Service and this will be discussed with the staffing group in October.

Item 11 – Committee Terms of Reference – LSEC – Martin Togneri advised he had moved an amendment at the last Board meeting to include oversight of marketing strategies and activities in the Committee’s ToR and asked for the minutes to be amended to reflect this. Grant Thoms advised that this had been formally captured in notes at a previous LSEC meeting and that marketing and communications had been incorporated in the Committee’s ToR, but this required to be reflected in the Board minutes.

Item 16 – Transitional Funding – Neil Pirie advised minute to be amended to reflect that Transitional Funding would not be considered by the Audit and Risk Assurance Committee.

With the above comments and amendments, the minutes were approved.

Matters Arising
None

5 ACTION/DECISION LOG

Members noted the updated Action and Decision Log.

6 CHAIR’S REPORT

The Chair updated Members in regard to events which had occurred since the Board meeting held on 27 June 2013:

- The Chair reflected on the Industrial Action taking place in other parts of the country and thanked staff, their representatives and the Strategic Leadership Team for their on-going co-operation and continuing discussions and the Minister for Community Safety and Legal Affairs for her assistance.
- At their regular monthly meeting, the Chair provided the Minister for Community Safety and Legal Affairs with an update on various topics from the last Board meeting. The Strategic Plan, Transitional Funding and resolution of the dispute in Scotland were also discussed.
- On 28 August, the Chair attended the launch of Water Rescue facility in Inverness with the Minister for Community Safety and Legal Affairs, Board Members aligned to North SDA and the Chief Officer.
- Met with ACO Scott and Scottish Wildfire Forum in Inverness following high levels of activity in the North SDA earlier this year.
- At a recent meeting with Society of Local Authority Chief Executives (SOLACE), positive feedback was received in relation to communications/involvement with the new Service.

D VINCENT
J BRECKENRI DGE
J BRECKENRI DGE
The Chair advised that he will be attending the launch of the new base of Tayside Mountain Rescue this weekend.

7 CHIEF OFFICER’S REPORT

The Chief Officer advised he had attended many of the same events/meetings as the Chair. He further confirmed that all points raised within his last update to the Board in June had been progressed and were on schedule. Looking ahead to the next quarter, the Chief Officer advised he would be focusing on the following:

- Budget reduction of £12 million for year 2014-15
- Firefighter safety – The Chief Officer stressed the importance of firefighter safety, which is a key priority for the Service. He referred to the recent death of a firefighter from Manchester FRS and advised he had received correspondence from Scottish Government and FBU, at a national level, asking for comment on the 2008 report “In the Line of Duty”. He informed Members that a very significant piece of work had commenced through the Service Transformation Programme addressing firefighter safety.

The Chief Officer commented on the very positive relationship SFRS have with the FBU in relation to the current trade dispute and advised that a number of issues had been addressed through the Minister, Scottish Government and the Board. The Chief Officer reinforced that SFRS will continue to work co-operatively with the FBU to maintain that relationship.

The Strategic Intent document will be discussed at today’s meeting and a key part of that is employee engagement. Following the decisions made today, the Chief Officer confirmed he will be visiting all the premises affected to meet with staff and will provide Members with an update at the next Board meeting.

8 COMMITTEES UPDATE

Audit and Risk Assurance Committee
Neil Pirie reported the Committee had its second public meeting on 16 September. He highlighted the following:

- Steven Torrie from HMFSI presented the Inspectorate’s Risk Assessment and work programme for 2013-16 and has subsequently sent a draft inspection plan to Committee members.
- An update was given by Internal Auditors who gave a positive review of the iTrent payroll system.
- External Auditors produced an Audit Findings Report for 2012/13 to which the Statement of Accounts relates.
- Alex Clark gave an update on latest and almost final version of corporate risk register and risk management policy.

Service Transformation Committee
Marieke Dwarshuis reported the Committee had its second public meeting on 5 September. She highlighted the following:
• Service Transformation Programme structure had been approved, with 44 separate projects developed. Next challenge for Committee is to start tracking progress on projects.
• An update was given on risk register, key issue is how this is aligned with the Corporate risk register.
• Benefits realisation – mapping of benefits, further discussion will be had on this at a Development Day in October.

Local Stakeholder and Engagement Committee
Grant Thoms advised the Committee has had a number of informal development sessions, working with ACO Ramsay, around forward planning. It is hoped the Committee will have their first public meeting late 2013/early 2014.

Employee Partnership Forum
Pat Watters advised there had been general discussion with representative bodies on the development of the forum. There had been concern from Trade Union colleagues over issues with the VS/ER policy. Since then there have been on-going discussions with the Trade Union representatives and Scottish Government and agreement has been reached on how to take this matter forward. This will be progressed at next meeting on 3 October.

9 STRATEGIC PLAN 2013-2016

DCO Clark presented a report to Members which gave an outline of the consultation process for the draft Strategic Plan 2013-2016, an analysis of responses to the consultation and suggested changes to the plan to reflect issues raised during the consultation.

Members approved the report and the Equality Impact Assessment, and agreed the suggested amendments to the Plan made as a result of the consultation. It was agreed to alter the reference within Service Resource Budget of the Strategic Plan to reflect Firelink funding to upgrade/merge Dumfries Controls with Johnstone Control.

10 STRATEGIC INTENT

Sarah O’Donnell presented a report to Members seeking approval of SFRS’s strategic intent in relation to the property estate requirements for specified support functions. Sarah O’Donnell outlined the background to the report, employee and financial implications and the next steps.

Following some strong debate, Members agreed the following recommendations:

• A single national training facility at Cambuslang (Clydesmill) with accommodation facilities;
• 4 strategically located Asset Resource Centres accommodating fleet, equipment and ICT workshops at Newbridge; Seafield Road, Inverness, and 2 new centres in
the West (Greater Glasgow/Lanarkshire area and North East Aberdeen – Dundee corridor);
- One main ICT data centre at Johnston, with an off-site disaster recovery facility;
- 3 Service Delivery Headquarters at Mounthooly Way, Aberdeen (North); Newbridge, Edinburgh (East) and Bothwell Road, Hamilton (West);
- A new national Headquarters building located in the area bounded by Perth, Glasgow and Edinburgh.
- Fire Control Rooms – Members agreed, by a vote of 6 to 5 an amendment to the recommendations, that there should be three Control Rooms instead of the recommended two Control Rooms. Members agreed that the Control Room in Johnstone will be retained and the Control Rooms in Dumfries, Maddiston and Thornton will close. A full business case regarding the location of the second and third Control Rooms, whether Aberdeen, Dundee, Inverness or Edinburgh, will be presented to the Board at its next meeting on 28 November.

Members agreed the following sites would be fully released and could be disposed of:
- Scottish Fire Service College at Gullane;
- Cowcaddens, Glasgow (retaining a fire station);
- Lauriston Place, Edinburgh (further work required to ensure continued public access to heritage assets in Edinburgh);
- Maddiston, Falkirk;
- North Anderston Drive, Aberdeen (retaining a fire station);
- Thornton, Fife.

Members also approved that the Transitional Funding set aside for Control Room Integration be utilised, subject to Scottish Government approval, to undertake the necessary technical work to enable call handling for the Dumfries and Galloway area to be transferred to Johnstone Control.

Members had a brief discussion on the location of the new SFRS Headquarters building. Further discussion is required on this before a decision is made.

11 SFRS QUARTER ONE REVIEW

DCO Clark presented Members with the first quarterly report on the performance of SFRS from 1 April 2013 to 30 June 2013 for scrutiny and approval. The report complies with the requirements set out in the Fire and Rescue Framework.

Members approved the quarterly report, with a recommendation to look at ways of developing the format further, allowing progress to date is reported rather than by each quarter.

12 ANNUAL OPERATING PLAN PROGRESS REPORT
DCO Clark presented Members with a quarterly progress report on the Annual Operating Plan 2013/14 for their consideration. Members were pleased to note the significant majority of the projects were showing green, a few were behind schedule and one indicator was at red (amalgamation of the operational intelligence process across Scotland). ACO Goodhew advised that there is substantial ICT involvement required for this project and due to other priorities at this stage, ICT are unable to commit the required resources. Plans have been put in place to ensure that the current methods of updating operational intelligence are continued and that they are suitable and sufficient in the interim.

**Members agreed the report and approved the progress report for onward submission to Scottish Ministers.**  

13 **STATEMENT OF ACCOUNTS 2012/13**


**Members agreed the report, approved the draft Annual Report and Statement of Accounts 2012/13 and agreed for this to be signed and submitted on behalf of the Service by the Chief Officer, who is the Accountable Officer.**

14 **HOME FIRE SAFETY VISIT POLICY AND PROCEDURE**

ACO Ramsay presented a report informing Members of the Home Fire Safety Visit (HFSV) Policy and Procedure proposed for introduction into SFRS. ACO Ramsay outlined the background to the report, policy delivery, performance and financial implications.

**Members agreed the report and approved the HFSV policy and procedure.**

15 **HR/PAYROLL BUSINESS CASE**

Sarah O'Donnell presented a report seeking approval of the business case for implementing a single HR and payroll solution for the SFRS.

**Members approved the HR/Payroll business case, commencement of the project in consultation with Scottish Government and employee representative bodies and that Scottish Government be approached to seek approval for the contractor element of the project costs. It was agreed that Sarah O'Donnell would meet with the supplier of the system to further review costings.**

16 **STANDING ORDERS FOR THE REGULATION OF CONTRACTS – PROPOSED AMENDMENTS TO FINANCIAL THRESHOLDS**

Sarah O'Donnell presented a report seeking authority to increase financial thresholds as stated in the Standing Orders for the Regulation of Contracts as approved by the Board in March 2013.
Members asked for reassurance that appropriate fraud mechanisms were in place. Sarah O'Donnell advised that that a detailed anti-fraud procedure would be presented to the Audit and Risk Assurance Committee at its next meeting.

Members approved the recommendations contained within the report for increasing financial thresholds, and requested that an end of year procurement report be brought to the Board.

17 PROVIDED CAR SCHEME POLICY
Sarah O'Donnell presented Members with a report seeking endorsement of the proposed Provided Car Scheme. The Provided Car Scheme is aimed at the Strategic Leadership Team for whom the provision of a car is part of their terms and conditions of employment.

Members approved the Provided Car Scheme Policy and agreed for it to be issued to employee representative body for formal consultation.

18 RESOURCE BUDGET MONITORING REPORT - AUGUST 2013
Sarah O'Donnell presented a report informing Members of the resource budget position for the period ending 31 August 2013. She outlined the analysis of the financial position and referred members to Appendix A, which identified a current underspend against budget of approximately £300k. Sarah O'Donnell further advised that based on current trends and projected future activity, it is now forecast that there will be an underspend against budget of approximately £600k. Options will be developed to reinvest the emerging underspend and the option of early debt repayment is currently being explored.

Members noted the Resource Budget position for the period ending 31 August 2013.

19 CAPITAL MONITORING REPORT 2013/14 – AUGUST 2013
Sarah O'Donnell informed Members in relation to actual and committed expenditure against the 2013/14 capital budget for the period ending 31 August 2013. She outlined the commitments to date and plans for the future. Savings of £528k have been identified within the TRZ project and the Strategic Leadership Team had agreed to reallocate the funding to a range of projects to address emerging needs, which will be reflected in revised budgets next month.

Members noted the level of actual and committed expenditure for the period ending 31 August 2013.

20 PENSION ADMINISTRATION ARRANGEMENTS
Sarah O'Donnell presented a report advising Members of proposed arrangements for the administration and management of the reformed Police and Firefighters pension schemes from 1 April 2015.

Members noted the report and the proposed appointment of the Scottish Public Pensions Agency (SPPA) as the sole pension
scheme managers and administrators for the reformed Police and Firefighters pension schemes as of 1 April 2015.

21 POLICIES AND PROCEDURES UPDATE

Diane Vincent presented a report informing Members of the progress made in relation to the People and Organisational Development (POD) policies and to outline the proposed approach for policy approval. Members were informed that the revised VSER policy had received Ministerial approval.

Members noted the report and the progress being made in relation to POD policies and endorsed the proposed approach for the approval of POD policies and specifically that only those policies which are deemed to have significant legal, financial, equality and/or other contentious implications are brought to the full Board for approval.

22 DATE OF NEXT MEETING
Thursday 28 November @ 11am in Edinburgh, venue to be confirmed.
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<th>Minute Ref</th>
<th>Action</th>
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<th>Due Date</th>
<th>Completion Date</th>
<th>Position Statement</th>
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<td>Meeting Date: 27 June 2013</td>
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| Item 9     | Targeted Recruitment.  
- POD (Recruitment) and the Equality and Diversity Team to conduct an engagement exercise with underrepresented groups to determine current potential or perceived barriers to joining the service.  
- Report the findings of the new research and a recommended model for implementing sustainable positive action activities to the Board. | E Gerrard |          | October 2013 | (Originally the review was to be concluded by 30 Sept and reported to next Board thereafter– due to initial report to June and not May Board meeting the end date of the review was pushed back one month). POD (Recruitment) and an E&D representative have formed a small working group. POD are lead directorate on this project as part of mainstreamed approach to equality. Joint POD/ E&D Report to the November Board. Elaine Gerrard/Lorna Harrison will provide an update. |
<p>| Item 12    | Change Management Policies – Conduct an Equality Impact Assessment for the Pay Protection policy. | Diane Vincent | 26 September 2013 |          | Consultation/negotiation on pay protection arrangements are on-going with the Trade Unions. The EIA will be produced on the final draft and it is anticipated that this will be presented to the January 14 meeting. |</p>
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<td><strong>Meeting Date:</strong> 26 September 2013</td>
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<tr>
<td>Item 4</td>
<td>Minutes of Previous Meeting (27 June 2013) under Item 9 - Targeted Recruitment - Arrange Development/Information Day to discuss options and how to proceed with initiative.</td>
<td>Diane Vincent</td>
<td>31 October 2013</td>
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<td>This will be scheduled in on completion of the positive action review (item 9).</td>
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<td>Item 4</td>
<td>Minutes of Previous Meeting (27 June 2013) under Item 11 - Local and Stakeholder Engagement Committee Terms of Reference - amend minutes to include members agreeing the Committee TOR subject to including the responsibility of reviewing and reporting the sustainability and effectiveness of SFRS marketing and communications strategy and activities.</td>
<td>Jo-Anne Breckinridge</td>
<td>28 November 2013</td>
<td>2 October 2013</td>
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<tr>
<td>Item 9</td>
<td>Strategic Plan Alter reference within Service Resource Budget on page 29/30 of Strategic Plan to reflect FIRELINK funding to upgrade/merge Dumfries controls with Johnstone Control.</td>
<td>Alex Clark</td>
<td>11 October 2013</td>
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<td>Item 11</td>
<td>SFRS Quarterly Report – look at ways of developing the format further, so that progress to date is reported rather than by each quarter.</td>
<td>Alex Clark</td>
<td>28 November 2013</td>
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<td>Item 15</td>
<td><strong>HR/Payroll Business Case</strong> - meet with supplier of system to further review costings.</td>
<td><strong>Sarah O’Donnell</strong></td>
<td>28 November 2013</td>
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<td>Item 16</td>
<td><strong>Standing Orders For The Regulation Of Contracts</strong> - Proposed Amendments To Financial Thresholds – provide a procurement report to the Board by the end of year.</td>
<td><strong>Sarah O’Donnell</strong></td>
<td>31 March 2013</td>
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### SFRS Board Meeting - Decision Log 2013/14

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<tr>
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<tr>
<td><strong>Item 10</strong></td>
<td><strong>Board Support: Board Governance and Corporate Administration Arrangements</strong></td>
<td>This report was considered at the May Board Meeting, and had been developed further following input from Board Members.</td>
<td>Members approved the recommendations within the report with item 4.1 - Quality Assurance of Governance and Administrative Arrangements contained within the report to be included as a recommendation.</td>
<td>26 December 2013</td>
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<td><strong>Item 11</strong></td>
<td><strong>Committees Terms of Reference - Service Transformation Committee and Local and Stakeholder Engagement Committee</strong></td>
<td>Following the agreement of a number of standing Committees and their initial operating arrangements, Terms of Reference for the Service Transformation Committee and Local and Stakeholder Engagement have been developed for approval by the Board.</td>
<td>Members approved the Terms of Reference for the Service Transformation Committee and the Local and Stakeholder Engagement Committee, subject to minor amendments.</td>
<td>26 December 2013</td>
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<td><strong>Item 12</strong></td>
<td><strong>Change Management Policies</strong></td>
<td>Change Management Policies have been developed to enable the Transformation of the SFRS and achieve the benefits of reform.</td>
<td>Members approved the Redeployment Due to Organisational Change, Relocation and Voluntary Severance/Early Retirement policies, with the caveat that the Relocation and Voluntary Severance/Early Retirement policy must be approved by Scottish Government.</td>
<td>26 December 2013</td>
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<td><strong>Item 13</strong></td>
<td><strong>Draft Operating Plan</strong></td>
<td>A draft plan was endorsed by the Board at its meeting on 28 March 2013 subject to some changes. The attached revised plan incorporates those changes.</td>
<td>Members approved the plan, subject to additional referencing to local fire and rescue plans.</td>
<td>26 December 2013</td>
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<td><strong>Item 14</strong></td>
<td><strong>Strategic Plan</strong></td>
<td>The draft Strategic Plan has been subject to amendments following feedback from</td>
<td>Members approved the final amendments to the Strategic Plan and approved the</td>
<td>26 December</td>
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<tr>
<td>Item 15</td>
<td>Role Of The Deputy Chair</td>
<td>Key responsibilities for the role of the Deputy Chair have been developed to ensure that this role can support the Chair and the SFRS in the most effective way possible.</td>
<td>Members approved the Role Description of the Deputy Chair.</td>
<td>26 December 2013</td>
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<td>Item 16</td>
<td>Transitional Funding 2013/14</td>
<td>The Transitional funding available to the SFRS in 2013/14 is £8million.</td>
<td>Members approved the allocation of Transitional Funding for 2013/14.</td>
<td>26 December 2013</td>
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<td>Item 17</td>
<td>Property Estate – Strategic Intent</td>
<td>In seeking to successfully deliver the aims of reform in an environment of reducing budgets members are asked to consider asset rationalisation.</td>
<td>Members approved a review of property requirements be undertaken; the phased approach outlined within the report be adopted; the principles identified be adopted and approved the planned timescales. Members agreed that the approach to shared services would be subject to on-going future discussions.</td>
<td>26 December 2013</td>
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<td>Item 9</td>
<td>Strategic Plan 2013-2016 and Consultation Analysis Report</td>
<td>The plan has been through an extensive consultation phase and amendments have now been made to reflect feedback during the consultation. An Equality Impact Assessment has been completed for approval.</td>
<td>Members approved the suggested amendments and Equality Impact Assessment, subject to minor changes on page 29/30 under ‘Resource Budget’, which should reflect FIRELINK funding for merging Dumfries fire control with Johnstone fire control.</td>
<td>27 March 2014</td>
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<tr>
<td>Item 10</td>
<td>Property Estate - Strategic Intent</td>
<td>The Board at its meeting in June 2013, agreed that a review of property requirements would be undertaken and then report back at the September Board Meeting on the services strategic intent in relation to property estate requirements.</td>
<td>Members approved the Strategic Intent, subject to an amendment, which was reached by a vote of 6 to 5 that SFRS should move towards a three control room structure – one of which will be at Johnstone - instead of the recommended two controls rooms. A decision will be made regarding the location of the second and third control rooms although it was agreed that the control rooms in Thornton, Maddiston, and Dumfries will close.</td>
<td>27 March 2014</td>
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<tr>
<td>Item 11</td>
<td>SFRS Quarter One Review.</td>
<td>The first quarterly report of the SFRS was presented for scrutiny and approval. The report complies with the requirements set out in the Fire and Rescue Framework</td>
<td>Members approved the Quarterly report, with a recommendation to look at ways of developing the format further, so that progress to date is reported rather than by each quarter.</td>
<td>27 March 2014</td>
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<td>Item 14</td>
<td>Home Fire Safety Visit Policy and Procedures</td>
<td>A Home Fire Safety Visit Policy and Procedures has been developed for</td>
<td>Members approved the HFSV policy and procedures.</td>
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<td>Item 15</td>
<td>HR/Payroll Business Case</td>
<td>With the introduction of the Scottish Fire and Rescue Service, the implementation of a new single HR and Payroll solution is being proposed.</td>
<td>Members approved the HR/Payroll Business Case; commencement of the project in consultation with the Scottish Government and employee representative bodies, and that the Scottish Government be approached to seek approval for the contractor element of the project costs.</td>
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<td>Item 16</td>
<td>Standing Orders For The Regulation Of Contracts-Proposed Amendments To Financial Thresholds</td>
<td>Following a review of financial thresholds as stated in the Standing Orders for the Regulations of Contracts, an increase in financial thresholds is being proposed.</td>
<td>Members approved the recommendations in the report for increasing financial thresholds, and requested that an end of year procurement report be brought to the Board.</td>
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<td>Item 17</td>
<td>Provided Car Scheme Policy</td>
<td>The proposed Car Scheme Policy is aimed at the Strategic Leadership Team for whom the provision of a car is part of their terms and conditions of employment.</td>
<td>Members approved the Provided Car Scheme Policy.</td>
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1. WELCOME
The Chair welcomed everyone to the second public meeting of the Committee.

2. APOLOGIES
   - Alasdair May (Internal Audit)

3. DECLARATIONS OF INTEREST
None.

4. MINUTES OF LAST MEETING AND ACTIONS
   Previous Minutes
Page 1 item 4 third bullet point - remove “non-executive” and replace with Board Members.

   With the above amendment, Members approved the minutes.

   Action Log
   Item 7: Alex Clark confirmed a Development Day was held with Members on 19 August to discuss levels of risk.

   Item 8: Draft Statement of Accounts 2012/13: Sarah O'Donnell clarified the comparison of 2013/14 Annual Accounts of SFRS against 2012/13 Statement of Accounts of all antecedent Services to be provided.
5. **HMFSI – RISK ASSESSMENT**
The Chair introduced Steven Torrie of HMFSI, who presented the Inspectorate’s Risk Assessment and work programme for 2013-15.

In order to prioritise inspection activity for the near future, HMFSI have gathered evidence about risks facing SFRS from a number of sources including the Service Overview Inspection and the Accounts Commission *Overview of Best Value in the Fire and Rescue Services in Scotland*. Some of the risks highlighted were:

- Risk Critical Operational Information
- Management of Transition of Control Rooms to a new structure
- Engagement and Partnership Working with LAs and CPPs
- Assurance Preparedness for Commonwealth Games 2014

Members were informed that the Service Overview Inspection had been completed and a draft report would be sent to the Service by the end of the week for feedback. It is intended to present this before Parliament in November.

The Chair thanked Steven for his attendance.

**Members noted the HMFSI Risk Assessment and Work Programme for 2013-15.**

6. **INTERNAL AUDIT PROGRESS REPORT**
Jennifer Inglis-Jones outlined the internal audit activity planned for 2013/14.

During discussion it was noted that:

- Good progress was being made against the plan with one review complete, one near completion and 2 others underway. The plan remains on track for completion.
- Positive review of the iTrent payroll system.
- Work is well underway in regards to the Assurance Mapping exercise and once finalised will be brought to the Committee for discussion.
- Fieldwork for the Making Payments review has been completed and a draft report will be issued shortly.
- Follow up reviews on recommendations previously identified in the 8 antecedent Service are expected to start at the beginning of 2014.

**Members noted the Internal Audit Progress Report.**

7. **AUDIT FINDINGS REPORT 2012-13**
Robin Baker presented the 2012/13 Audit Findings Report, to which the Annual Report and Statement of Accounts relates. He outlined the background to the report and the key issues.

During discussion it was noted that:
A number of adjustments were identified in relation to the accounting treatment of pension liabilities brought onto the balance sheet, which was primarily due to lack of guidance available in the Government Financial Reporting Manual.

- The net adjustment to the total comprehensive expenditure was £6.607m in relation to the transfer of pension liabilities. All proposed adjustments have been accepted by the Service.
- The 2012/13 Statement of Accounts would be presented to the Board at its next meeting for approval.

Members noted the 2012/13 Audit Findings Report and considered the representations required by management.

8. CORPORATE RISK REGISTER
Alex Clark presented Members with the updated Corporate Risk Register (which reflected comments from the Development Day held on 19 August) and the Risk Management Policy for their consideration and review.

Members noted the Corporate Risk Register and Risk Management Policy. It was agreed that:
Members would feedback any comments on these documents to Alex Clark by mid-October.

9. FORWARD AGENDA PLANNING
This needs to be developed further with Internal and External Auditors, in conjunction with timetable of meetings and will be discussed further at the next meeting.

10. ANY OTHER BUSINESS
Members asked for reassurance that appropriate fraud mechanisms were in place. Sarah O’Donnell advised that a detailed anti-fraud procedure would be presented to the Committee at its next meeting.

Action: Sarah O’Donnell

11. FUTURE MEETING DATES
External Auditors highlighted that they would intend to bring their overarching Annual Report to Members to the full Board in November and hoped to present it to the Committee in advance of that and it was suggested bringing the next public meeting of the Committee forward to November. This will be discussed further and confirmed.

Action: Board Support Team
1. PURPOSE
1.1 To provide the Audit and Risk Assurance Committee with an update on HM Fire Service Inspectorate (HMFSI)’s recent, ongoing and proposed activities.

2. RECOMMENDATIONS
2.1 That the Committee notes the update from HMFSI.

3. BACKGROUND
3.1 HM Chief Inspector, Steven Torrie, has kept the Committee advised of progress on HMFSI’s Overview of the Scottish Fire and Rescue Service inspection, which has now concluded. The Committee has also been provided with HMFSI’s Risk Assessment and forward work plan for 2013-14, and draft inspection summaries for inspections on the SFRS’s preparedness for the XX Commonwealth Games, and Equal Access to National Capacity.

4. PROGRESS TO DATE
4.1 HM Chief Inspector’s report on the Overview of the Scottish Fire and Rescue Service inspection was laid before Parliament and published on 12 November 2013. The overall message, taken from the report summary, is:

“Generally, we are satisfied with the progress the Service has made and the lack of disruption being caused …
The Scottish Fire and Rescue Service is on a journey of change. Our opinion at this stage is that the direction of travel looks good but that the Service is, understandably, closer to the beginning of its voyage than the end.\textsuperscript{9}

The Key Points from the Report are included as an appendix to this paper.

HMFSI extends an invitation to the Committee to receive a detailed briefing from HM Chief Inspector on the Overview Report, its conclusions and implications, at a time convenient to them.

5. CURRENT WORK

5.1 HMFSI has two ongoing inspections: a review of SFRS’s readiness for the XX Commonwealth Games in Glasgow next year, and two case studies looking at equal access to national capacity.

The Commonwealth Games review is based on an appreciation of the risk to SFRS if its readiness for the Commonwealth Games was not up to standard; and an informal request from the Scottish government that HMFSI should carry out this work. The inspection is ongoing with visits to key personnel in Perth and Glasgow already having taken place, and a document review exercise underway.

The inspection is not intended to second-guess operational decisions or get involved in the detail of preparation: rather it is a review at a strategic level of the adequacy and completeness of the Service’s preparation for the Games (including partnership working with other agencies). As well as a document review and site visits, inspectors will be observing preparatory training and exercise activity.

We have already advised the Service that should any areas of concern present themselves, we will raise those at the time and the intent is to proactively be collaborative in resolving any potential issues, rather than reactively criticising in a report. We expect to complete this inspection in March next year.

Our inspection looking at equal access to national capacity is intended to use two case studies to compare areas of Scotland that, under the predecessor services, had similar demographic and geographic profiles but fell within different service areas. We have selected areas that had known challenges pre-reform, namely the former Fife FRS area and part of the former Highlands and Islands FRS area, to compare with like areas from a different predecessor service (Strathclyde).

We are anticipating that the SFRS has inherited differences from the predecessor services, and we are keen to explore how the SFRS is approaching the challenge of harmonising service delivery following on from that. Reform is supposed to promote equal access to national fire and rescue capacity, and the broad view we take of that is that this does not refer simply to specific specialist assets such as a particular rescue unit or appliance – it means that nationally, areas of similar risk should be receiving similar provision from SFRS. We want to explore the extent to which this is happening already, and what planning is taking place to assess and achieve equality of service delivery.
A collateral benefit of this inspection is that HMFSI will be visiting a number of remote and regional locations across Scotland. Although HMFSI does not undertake cyclical, location-based ‘tick and flick’ type inspections, HM Chief Inspector considers that there are benefits in ensuring that over time, Inspectors visit a broad range of service delivery locations in Scotland both to recognise the valuable work carried out there, and to build a truly national picture of the way in which SFRS delivers its services.

This work is expected to conclude in April 2014.

6. FORWARD LOOK

6.1 We have identified two further pieces of work we will hope to carry out in 2014. These are a review of risk-critical command and control training; and an examination of how the SFRS is going about defining its services – from both the prevention & protection and response & resilience directorates.

We also plan to maintain capacity to deal with any ad hoc issues as they arise. To this end, HM Chief Inspector has identified a pool of potential secondees from the Service, who, with the agreement of SFRS, can be called on at short notice to spend 4-6 months with the Inspectorate working on a specific project as and when required.

Responsible officers:

Paul Considine
Brian McKenzie

HMFSI

Date: 12 November 2013
APPENDIX 1

KEY POINTS FROM THE OVERVIEW OF THE SCOTTISH FIRE AND RESCUE SERVICE INSPECTION

Overall

- The process of combining eight fire and rescue services and one fire service college into a single organisation is complex and time consuming. We acknowledge that our inspection of the Service, taking place as it did in a transitional phase for the organisation, would inevitably disclose areas where work would be at an early stage. There are parts of the report where, for the record, we have commented on issues where further work is required before the Service will have achieved a settled state: this should not however be seen as a negative reflection on the hard work that has already been done towards achieving these goals. Generally, we are satisfied with the progress the Service has made and the lack of disruption being caused.

- We give credit to the Board and Strategic Leadership Team for the progress which is being made and that the Service plans to complete its first year within its allocated budget. Within all of that complexity, there are some issues that we wish to call attention to and these are set out in some detail in the report.

- The Scottish Fire and Rescue Service is on a journey of change. Our opinion at this stage is that the direction of travel looks good but that the Service is, understandably, closer to the beginning of its voyage than the end.

The impact of transition on service delivery

- To the best of our knowledge, the transition process has had no adverse effect on operational response. The complex work which is required to establish new staffing structures, particularly in the Prevention and Protection area of the Service, mean that delivery of these services is not yet optimised.

- The Service has made significant inroads into reducing duplication but the geographical distribution of remaining staff means that, in the short term, specialist staff may not be in the best locations.

- Specific pressures are affecting control staff in light of the likelihood of rationalisation. Particular attention will have to be paid to staff retention and engagement to avoid any degradation of service delivery pending the finalisation of control structures and staffing.

- The delivery of prevention initiatives is continuing, particularly Home Fire Safety Visits. The creation of national targets for their delivery is to be welcomed, but monitoring should continue to be used to build up consistency and ensure that high risk individuals are being appropriately targeted across the Service.

The effectiveness and capacity of the new management and supervision arrangements

- Relationship building and the interaction between the SFRS Board and the Service’s executive leadership is being approached positively but is only now beginning to support detailed consideration of a longer term strategic direction, and therefore that direction is not yet clear.
The Service has established its management structure at the most senior levels, but beyond that it is still to resolve its longer term structure, leading to some uncertainty among those middle managers who are affected and occasional lack of clarity about reporting lines – but with no significant adverse impact on service delivery. The decision to leave some former reporting lines in place on an interim basis has allowed SFRS to ensure business as usual.

An overarching national performance management framework is still in a relatively early stage of development. Self-assessment is developing well and the Service is actively trying to embed that to inform national policy direction. Senior officers are working to establish a nationally consistent performance culture.

The extent and degree of clarity with which the Service has set out its plans to deliver the agreed benefits of reform

- The long-term strategic direction of the SFRS is only beginning to emerge at this point. Strategic planning could be improved through more detailed description of the measures that will be applied to meet the targets in the Fire and Rescue Framework.

- It is crucial that the work which is currently ongoing to pull together a large range of Directorate projects is completed, and the transformation work is overseen and coordinated by the Programme Board and Service Transformation Committee. We would encourage the ongoing development of a programme management function and its integration into the Service.

- Financial management is key to the effective operation of the new Service – the Service’s senior leadership appears to be well focussed on finance and budgets.

- The Service is currently reviewing its specialist rescue capacity, but is some way from establishing its role as a champion of specialist rescue.

During the development of this inspection report, we paid particular attention to the former Highlands and Islands Fire and Rescue Service area. Our observations appear within the main body of the report, but in summary are:

- Business continuity in the former Highlands and Islands Fire and Rescue Service area is not yet assured. We have identified a number of issues that require ongoing monitoring to ensure that the special measures in place before SFRS was established do not suffer loss of momentum. In particular:
  - Operational Risk Information available to firefighters has not yet reached a satisfactory standard. The current project to address this issue should be encouraged and sufficient resources made available, particularly in the North Service Delivery Area, to ensure that this work is carried out as soon as is reasonably practicable.
  - During our November 2012 inspection, we noted that Highlands and Islands Fire and Rescue Service was being supported by training officers, and fire safety enforcement officers from other fire and rescue services, channelled through the Peer Support Team. We pointed out that sustaining an increased level of support would be particularly challenging for the new Service. The Service is currently reporting high activity levels for key training, but with a review of the training
structure currently underway, it is not yet clear that the Service will be able to deliver a permanent increase in training resources.
MINUTES: SERVICE TRANSFORMATION COMMITTEE:  
THURSDAY 5 SEPTEMBER 2013  
PERTH FIRE STATION

PRESENT  
Pat Watters CBE (Chair); Alex Clark (Deputy Chief Officer); Alasdair Hay (Chief Officer); 
Kenny Fraser (Business Support); Sarah O’Donnell (Director/Finance & Contractual Services); 
Alan Paterson (Fire Brigades Union); Neil Pirie (Board Member); Corinne Telford 
(Programme Manager); Grant Thoms (Board Member); Martin Togneri (Board Member); 
Jo-Anne Breckenridge (Notes)

1. WELCOME  
Pat Watters welcomed everyone to the second public meeting of the Service Transformation Committee. The Chair advised that he was happy for substitute members from the Representative Bodies to attend these meetings.

APOLOGIES  
- James Campbell (Deputy Chair/Fire Board)  
- Marieke Dwarshuis (Board Member)  
- Michael Foxley (Board Member)  
- Sarah Duncan (UNISON)  
- Debbie Hutchings (UNITE)

2. MINUTES OF LAST MEETING AND ACTIONS – 26 JUNE 2013  
The minutes of the last meeting were accepted as an accurate record.

Members noted the action log and it was agreed a Decision Log for capturing key Committee decisions would be developed for future meetings.

ACTION: KENNETH FRASER

3. NOTES AND ACTIONS OF PROGRAMME BOARD 22 AUGUST 2013  
Members noted the notes and actions of the Service Transformation Programme Board on 22 August 2013.
4. PROGRAMME DEFINITION

- Programme Plan

Corinne Telford presented a report advising members of progress to date on the development of the Service Transformation Programme Plan.

The following was highlighted:

- Programme Management interim staffing structure identified
- Project Dossier partially complete – requires further development
- Benefits mapping exercise has been undertaken
- Risk Register developed
- DCO Clark has initiated plans for a Gateway Review of the Programme to take place in February 2014.

Work for next period included:

- Further development of benefit profiles, a benefits management plan and a benefits realisation strategy
- Resource management plan and training plan to be developed
- Development of information management site
- Further investigation of an electronic project tracker tool

The Chief Officer welcomed Corinne’s comments and the work carried out to date but stressed the importance of firefighter safety and community safety, which are two key priorities for the Service. Members were reassured when the benefits profile is developed, the prominence of firefighter safety will be shown.

Members noted the report but to take cognises on fire-fighter safety issue.

5. PROGRAMME DELIVERY

Corinne Telford presented members with a report which provided an overview on programme and project delivery during the period 14 June 2013 to 9 August 2013. Significant work completed during this period and work for progressing next period was highlighted.

The report indicated there were no financial implications at this time but advised there could be if there is slippage on the project. Financial Implications will be a standing item within the Programme Delivery report which will allow Members to monitor any issues as they arise.

Members noted the project status as outlined within the report and Project Dashboard. It was agreed that:

- Commentary to incorporate a remedial action plan would be added to the Projects Dashboard, where status of project is highlighted as Red or Amber.

Action: Programme Manager
6. TRANSITIONAL FUNDING REPORT
Sarah O’Donnell presented a report advising members of actual and committed expenditure against 2013/14 Transitional Funding Projects for the period ending 31 July 2013. Scottish Government has approved 19 of the 23 projects agreed by the Board. The other 4 projects (Control Room Integration, Branding, HR/Payroll Project and Business Systems Consolidation) are awaiting approval by Scottish Government, subject to business case information being supplied to them.

The Chair informed Members he had discussed branding requirements and budget with the Minister of Community Safety and advised this was currently being developed and will be reported back to the Minister.

It was confirmed that Transitional Funding would be a standing agenda item for future meetings.

Members noted the report. It was agreed that:
- A breakdown of projected savings relating to the HR/Payroll business case would be shared with Alan Paterson (FBU).

Action: Sarah O’Donnell

7. RISK REGISTER
Corinne Telford presented a report which provided an overview of progress towards the development of a full programme risk register, review open risks and issues and make recommendations for their escalation to the Audit and Risk Assurance Committee/Board as appropriate.

Members noted the report. It was agreed:
- The status of P2 Risk (losing existing partnership arrangements) would be reviewed
- Look at ways of aligning the STC Risk Register with the Corporate Risk register.

Action: Alex Clark

8. BENEFITS REALISATION
Members were presented with a report advising of the progress towards development of Benefits Profiles and a Benefits Realisation Plan. Corrine Telford outlined the detail in the report and attached appendices and members were shown a sample benefit profile. Members commended Corinne for the work which had been developed.

Members were advised that a benefits mapping exercise had been undertaken and had resulted in greater insight into the management of the transformation of the Service from the current state of the new single Service through an intermediate
state to the desired end state. This would require redevelopment of the Programme Blueprint.

Members noted the report and approved the redevelopment of the Programme Blueprint. It was agreed that:

- To further develop the Benefit Profiles and Benefits Realisation Plan, dates would be identified for Board Workshops.

Action: Kenneth Fraser

9. ANY OTHER BUSINESS

The Chair advised that Corinne Telford was leaving her position as Service Transformation Programme Manager. The Chair thanked Corinne for her contribution and offered her best wishes for the future.

The Chair informed members James Campbell would be standing down from his role as Chair of the Service Transformation Committee. The Chair proposed Marieke Dwarshuis take on the role as Chair of the Service Transformation Committee, which was agreed.

10. DATES OF FUTURE MEETINGS

- Thursday 12 December
- Thursday 13 March 2014
1 PURPOSE
1.1 The purpose of this report is to seek endorsement from the Board of the proposed Risk Management Policy.

2 RECOMMENDATIONS
2.1 The Board is asked to approve the following recommendations:
   a) That the proposed Risk Management Policy, which is attached at Appendix A is approved and issued for formal employee representative body consultation.

3 BACKGROUND
3.1 The SFRS Governance and Accountability Framework sets out the broad governance structures within which the SFRS will operate and included in this framework are the responsibilities and arrangements for risk management.
3.2 The Board of the SFRS has corporate responsibility for ensuring that effective arrangements are in place to provide assurance on risk management.
3.3 The Chief Officer has specific responsibility for having robust risk management arrangements – consistent with the Risk Management section of the Scottish Public Finance Model (SPFM) – in place that enables the achievement of the SFRS’s aims and objectives and facilitates comprehensive reporting to the Board, the Scottish Government and the wider public.
3.4 At the meeting of the Board in May 2013, members were informed that a Risk Management Policy would be brought forward for Board consideration. Since then, a draft Risk Management Policy has been developed (Appendix A), and the SLT and Audit and Risk Assurance Committee have been sighted of the policy for their feedback and comments.

3.5 The implementation of the risk management policy will deliver many benefits for the SFRS, the key ones being:

- Compliance with legislation and regulations.
- Assurance regarding the management of significant risks and uncertainty.
- Improved decision making by paying full regard to risk considerations.
- Efficiency and effectiveness in service delivery by providing less disruption to normal operations.

4 SFRS APPROACH TO RISK MANAGEMENT

4.1 The following key principles outline the SFRS’s approach to risk management:

4.2 The services approach to risk management reflects the principles of risk management outlined within the Scottish Public Finance Manual (SPFM) and also follows recognised International Risk Management Standards.

4.3 The services risk management process will be integrated with the business planning process thus mitigating the impact of risks on the services aims and objectives.

4.4 The policy will extend to cover the management of both strategic and operational risks that may have an impact on any of the SFRS’s strategic aims and objectives, whereby the identification and management of strategic risks will be the primary responsibility of the SLT, and the identification and management of operational risks will be the primary responsibility of Heads of Functions/LSO’s.

4.5 Out-with the SFRS’s defined risk appetite, the service will put in place appropriate actions and control measures to manage the risk to an acceptable level.

4.6 Risks will be regularly monitored and those that exceed acceptable and defined thresholds will be escalated to ensure they are addressed at the most appropriate level.

4.7 The services risk management process will be an integral part of line management responsibility. Management support, involvement and enforcement of this policy at all levels are fundamental to its success and the development of a ‘risk aware culture’.

4.8 The effectiveness of our risk management approach will be regularly reviewed by the services risk manager.
4.9 The risk manager will also have overall responsibility for building a risk aware culture, and coordinating service wide risk management activities, including training and communicating risk issues.

5 EMPLOYEE IMPLICATIONS
5.1 The implementation of this policy will lead to a risk register being maintained by the SLT and Heads of Functions/LSO’s. Therefore, one of the first tasks of the newly appointed SFRS Risk Manager will be to provide initial training, guidance and support on how to compile and maintain the risk register.

6 FINANCIAL IMPLICATIONS
6.1 By implementing this policy, the financial risks attached to the services aims and objectives will be managed, evaluated, controlled and monitored in an effective manner, potentially leading to the delivery of a better managed budget.

7 EQUALITY IMPLICATIONS
7.1 A full equality impact assessment has been prepared and is attached at Appendix B. In summary, there are no adverse equality issues. By implementing this policy, the risk of non-compliance with our equality duties will be managed more effectively.

8 LEGAL IMPLICATIONS
8.1 By implementing this policy, the risk of non-compliance with our legal duties and being exposed to litigation will be mitigated.

9 CONSULTATION
9.1 Consultation with the accredited associations will take place at the earliest opportunity.

Alex Clark
Deputy Chief Officer
15 November 2013
FINANCE AND CONTRACTUAL SERVICES

FINANCE AND PROCUREMENT

RISK MANAGEMENT POLICY

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<td>Area Manager Kenneth Fraser</td>
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<td>Authorised (name and date)</td>
<td>Deputy Chief Officer Clark</td>
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   3.2 **OBJECTIVES**

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8. **AUDITING THE EFFECTIVENESS OF THE RISK MANAGEMENT PROCESS**

9. **DEVELOPING A RISK AWARE CULTURE**

10. **REFERENCES**

11. **APPENDIX 1 – RISK ASSESSMENT AND EVALUATION MATRICES**

12. **APPENDIX 2 – STANDARD ELECTRONIC RISK REGISTER**
1 INTRODUCTION

As a significant public body, the Scottish Fire and Rescue Service (SFRS) faces a diverse range of risks, which result from factors both internal and external to the service and have the potential to impact on the service’s ability to discharge its statutory duties and disrupt the achievement of its strategic aims and objectives.

The SFRS will use the process of Risk Management to evaluate, control and monitor the risks attached to its strategic aims and objectives. By doing so, the service will take better informed decisions and improve the probability of achieving its strategic aims and objectives.

Risk Management is an integral part of an organisation’s system of internal controls, and will have a key role to play in the successful corporate governance of the SFRS, therefore giving assurances to the Board of the SFRS, the Scottish Government and other key stakeholders that the service is managing its business in an efficient and effective manner.

The implementation of a successful risk management policy, by the SFRS will deliver many benefits, the key ones being:

- Compliance with legislation and regulations
- Assurance regarding the management of significant risks and uncertainty
- Improved decision making by paying full regard to risk considerations
- Efficiency and effectiveness in service delivery by providing less disruption to normal operations

2 PURPOSE AND SCOPE

The purpose of this policy is to state the SFRS’s formal approach to risk management. The policy reflects the principles of risk management outlined within the Scottish Public Finance Manual (SPFM) and also follows recognised Risk Management Standards such as ‘A Risk Management Standard’ published by the Institute of Risk Management (IRM), the Association of Insurance and Risk
Managers (AIRMIC) and ALARM the National Forum for Risk Management in the Public Sector.

The Policy will extend to cover the management of both strategic and operational risks that may have an impact on any of the SFRS’s strategic aims and objectives. The policy does not cover the risk management processes used on the incident ground or for general Health and Safety in the Workplace. Whilst such areas are now intertwined with one another because of their links to internal control and corporate governance, the SFRS policies covering these areas are separate and more specialist in nature.

3 POLICY AIMS AND OBJECTIVES

3.1 Aim
The aim of the policy is to ensure that every effort is made by the SFRS to manage risk appropriately to maximise potential opportunities and minimise the adverse effects of risk on the service’s strategic aims and objectives. Every organisation needs to identify its appetite for risk and so it is not the intention of the policy to have risk eliminated completely from the service’s activities.

3.2 Objectives
The objectives of this policy are to:

- Communicate to stakeholders, the service’s approach to risk management
- Ensure consistency throughout the service in the management of risk
- Preserve and protect the service’s assets, reputation and staff
- Promote good corporate governance by integrating risk management and internal control
- Ensure the process for identifying, evaluating, controlling, reviewing, reporting and communicating risks across the service is implemented and understood by all relevant staff
- Fully integrate risk management into the culture of the service and into the service’s business planning process
• Ensure that the Strategic Leadership Team (SLT), the Board of the SFRS and external stakeholders such as the Scottish Government are provided with the necessary assurances that the service is managing risk effectively, and thus complying with good corporate governance practice

4 DEFINITIONS

4.1 General
This section provides definitions of the terms used within this policy. The adoption of these standard terms will allow the service to apply the policy in a consistent manner and help embed a risk aware culture as outlined in Section 9 of this policy.

4.2 Risk
Risk is defined as: “the combination of the probability of an event occurring and its consequences” (ISO/IEC Guide 73).

4.3 Risk Management
Risk Management is defined as: “the process of identifying risks, evaluating their potential consequences and determining the most effective method of controlling them or responding to them” (Accounts Commission for Scotland publication ‘Shorten the Odds’ July 1999).

4.4 Risk Appetite
Risk appetite can be described as: “the amount and type of risk that an organisation is prepared to seek, accept or tolerate”. (BS 31100).

4.5 Strategic Risks
Strategic risks are those which have a direct impact on the achievement of the strategic aims and objectives of the service.

4.6 Operational Risks
Operational risks are those that impact on the achievement of functional or Local Senior Officer aims and objectives and may therefore impact on a more discrete part of the service.
4.7 Risk Register
A risk register is a profile and record of risks faced by an organisation, with particular emphasis on the significant risks, the controls currently in place, additional controls that have been identified and responsibility for control measures. The SFRS will host two types of risk register – a Corporate Risk Register (for strategic risks) and a Functional Risk Register (for operational risks).

4.8 Corporate Governance
Corporate Governance consists of a set of activities and policies that control the way in which an organisation is directed, administered and/or controlled.

4.9 Internal Controls
Internal controls are those elements of an organisation (including resources, systems, processes, culture, structure and tasks) that, taken together, support people in the achievement of objectives.

5 ROLES AND RESPONSIBILITIES

5.1 General
The SFRS’s approach to risk management seeks to ensure that risk management flows from the most senior level down through directorates, service delivery areas and staff of the SFRS. Therefore all SFRS employees and Board Members should be aware of their responsibilities in identifying and managing risk, including the risk levels they are empowered to manage, risks that should be avoided and those that need to be escalated.

5.2 The Board
The Board shall ensure that the risks that the SFRS faces are dealt with in an appropriate manner, in accordance with relevant aspects of generally recognised best practice in corporate governance, and develop a risk management strategy consistent with the Risk Management section of the SPFM. The Board will be responsible for understanding the most significant risks, considering the risk implications of decisions on the achievement of the service’s strategic aims and
objectives and for ensuring that the service as a whole deals appropriately with all risks.

5.3 Audit and Risk Assurance Committee
The Audit and Risk Assurance Committee will advise the Board and Accountable Officer (Chief Fire Officer) on the arrangements for risk management and will have oversight of the service’s Corporate Risk Register.

5.4 Service Transformation Committee
A programme of service transformation is being overseen by the Service Transformation Committee in order to ensure that the service is on track to deliver the benefits of reform. Significant programme risks will be escalated to the Corporate Risk Register for review by the Audit and Risk Assurance Committee. The Audit and Risk Assurance Committee will escalate risks as appropriate to the Board of the SFRS for consideration.

5.5 Chief Officer
The Chief Officer holds specific responsibility to ensure robust risk management arrangements are in place that support the achievement of the SFRS’s aims and objectives and that facilitate comprehensive reporting to the Board of the SFRS, the Scottish Government and wider public. The Chief Officer will also champion the importance of risk management in supporting the achievement of the service’s strategic aims and objectives throughout the SFRS.

5.6 Strategic Leadership Team (SLT)
The identification and management of strategic risks will be the primary responsibility of the Strategic Leadership Team. The SLT will undertake to monitor and review strategic risks regularly, and take appropriate action to control risks. The SLT will also champion the importance of risk management in supporting the achievement of the service’s strategic aims and objectives throughout the SFRS.
5.7 Risk Manager
The Risk Manager will set policy for risk management, build a risk aware culture, coordinate service wide risk management activities, and regularly review, manage and report risks within the service area.

5.8 Internal Audit
Internal Audit will audit the effectiveness of the service’s risk management process, provide assurance on the management of risk to the Board of the SFRS, and help support the risk management process and coordination of risk reporting.

5.9 Heads of Functions/Local Senior Officers (LSO)
The identification and management of operational risks will be the primary responsibility of Heads of Function/LSO’s. They will undertake to monitor and review operational risks regularly, and take appropriate action to control risks. Heads of Function/LSO’s will also champion the importance of risk management in supporting the achievement of the service’s strategic aims and objectives throughout the SFRS.

5.10 Other Managers and Employees
Effective risk management depends on the commitment and cooperation of all managers and employees. Individual managers and employees are each charged with the effective management of the risks associated with their particular roles and duties, and which may impact the delivery of the service’s aims and objectives. Consequently, all managers and employees are responsible for adherence to the principles outlined in this policy.

6 RISK APPETITE

6.1 General
In line with other public sector organisations, the risk appetite of the SFRS can be summarised as low to medium. Out-with these risk levels, then the SFRS will put in place appropriate actions and control measures to manage the risk to an
acceptable level. The SFRS’s approach to managing and controlling risk is outlined in Section 7.3.

6.3 Prohibited Risks
Where risks may result in physical harm, non-compliance with legislation and regulation, or non-compliance with SFRS policies, rules and procedures, then these risks are not acceptable.

6.4 Quantifying Risk Appetite
The SFRS’s risk appetite is summarised and quantified in Table 1 below. It will be used in conjunction with the risk assessment and evaluation matrices detailed in Appendix 1 and will be the starting point for managing and controlling risks to an acceptable level.

Table 1 – Risk Appetite Action Guide

<table>
<thead>
<tr>
<th>Risk Level</th>
<th>Score</th>
<th>Action required</th>
</tr>
</thead>
<tbody>
<tr>
<td>High Risk</td>
<td>16-25</td>
<td>Unacceptable - action required immediately to reduce the risk to an acceptable level and reviewed monthly</td>
</tr>
<tr>
<td>Medium Risk</td>
<td>10-15</td>
<td>Unacceptable - action required within three months to reduce the risk to an acceptable level and reviewed quarterly.</td>
</tr>
<tr>
<td>Low Risk</td>
<td>1-3</td>
<td>Acceptable - the service is willing to accept this level of risk, but subject to periodic monitoring and reviewing.</td>
</tr>
</tbody>
</table>

6.5 Reviewing the Risk Appetite
The SFRS’s risk appetite will be reviewed at least annually and considered by the Board to check that the risk appetite remains appropriate to deliver the service’s intended strategic aims and objectives in light of internal and external drivers and constraints.
7 **RISK MANAGEMENT PROCESS**

The SFRS risk management process is based on best practice, including ‘A Risk Management Standard’ (IRM/AIRMIC/ALARM: 2002). The process consists of the following 6 stages:

- Identifying risks
- Assessing and evaluating risks
- Managing and controlling risks
- Compiling the Risk Register
- Monitoring and reviewing risks
- Reporting and escalating risks

7.1 **Identifying Risks**

Risk identification should be approached in a methodical way to ensure that all strategic and operational risks that may impact on the service’s aims and objectives are identified. Risks will be classified into 6 categories (outlined below) and SLT, Directorate and Functional/LSO service planning workshops will be used to ensure that the business of identifying strategic and operational risks is integrated with the service planning process.

7.1.1 **Risk Categories**

- **People Risks** - those associated with staffing levels, pay and conditions, staff development

- **Operations Risks** - those associated with effectiveness of operational deployments, policies, practices and equipment

- **Finance Risks** - those associated with financial planning and the ability of the Service to operate within budget

- **Legal and Regulatory Compliance Risks** - those associated with possible breaches of legislation and Regulations
• **Reputational/Stakeholder Confidence Risks** – those associated with the perception that others have about the service. Any risk to the services reputation means the risk of losing public confidence

• **Service Transformation Risks** - those associated with the delivery of the Service Transformation Programme and the work of individual Service Transformation Projects

### 7.2 Assessing and Evaluating Risk

Once strategic or operational risks have been identified they need to be assessed in terms of their probability and their potential impact on the delivery of aims and objectives. It is therefore important to use a process that measures impact and probability consistently and enables the development of a hierarchy of risks. Without this consistent approach the comparison and allocation of resources to manage risk becomes more difficult and the outcomes less measurable.

The adoption of the risk assessment and evaluation matrices (detailed in Appendix 1), and the standard electronic risk register adopted by the SFRS (outlined in Section 7.4), will enable the consistent evaluation of risk across the SFRS.

### 7.3 Managing and Controlling Risk

Having identified and evaluated the risks, the arrangements for managing the risks to a tolerable level need to be in place. Strategic and Operational risks will therefore be managed in accordance with the Risk Appetite Action Guide (See Table 1).

#### 7.3.1 Unacceptable Risks

High Risks and Medium Risks (with a scoring of 10-15) are deemed unacceptable. These risks must be recorded on the risk register and action taken to manage the risk down to a risk level deemed acceptable (See Section 7.3.2). In some cases, it may not be possible to reduce risks any further and so scores will remain at High Risk and Medium Risk (with a scoring of 10-15). Similarly, the requirement for action immediately, or within three months, may not be possible. In such
circumstances, any decision to accept the risk level will be carefully documented in the risk register and escalated as per the procedures in Section 7.6.2.

In broad terms, the actions taken to manage unacceptable risks fall into the four categories, which are outlined below:

- **Terminate** - Involves deciding to eliminate the risk by ceasing the activity or the pursuance of the objective that presents the risk

- **Transfer** - Involves deciding to pass the risk or costs of the impact outside the service, that is contract out the risk or take out insurance to cover the costs of the impact

- **Treat** – Involves implementing control measure to reduce the risk by lessening the impact. This can involve improved procedures, training, investing in new equipment etc. The greatest number of risks will be addressed by Treatment

- **Tolerate** - Involves accepting the risk and its impact as it stands that is self insure or decide to cover any losses. The cost of taking action may be disproportionate to the potential benefits gained

Arrangements for managing risks scored as High and Medium Risk (with a scoring of 10-15) should also cover allocating ownership of the risk to the appropriate member of staff as well allocating duties and responsibilities to staff who are tasked with undertaking the actions to control risks. These arrangements must be documented in the risk register.

**7.3.2 Acceptable Risks**

Low risks and Medium Risk (with a scoring of 4-8) are deemed to be within the SFRS’s risk appetite. Low risks do not require to be recorded in the risk register; however, they should be reviewed annually. Medium Risks (with a scoring of 4-8) should be recorded in the risk register and monitored and reviewed periodically.
7.4 Compiling a Risk Register
A single ‘Corporate Risk Register’ will be maintained for recording ‘Strategic Risks’ that have been identified by the SLT, the Service Transformation Committee and Audit and Risk Assurance Committee.

A ‘Functional Risk Register’ will also be maintained for recording ‘Operational Risks’ by each Head of Function/LSO.

SLT Members and Heads of Functions/LSO’s will be responsible for ensuring that any new risks they have ownership over, are documented and existing risks are reviewed and updated on their respective Risk Register. This task may be delegated to an appropriate member of staff.

A standard electronic risk register has been developed for the purposes of recording risks and can therefore be used as the service’s Corporate Risk Register (for recording strategic risks) or adapted for use as a Functional Risk Register (for recording operational risks). The risk register is illustrated in Appendix 3 and will be made available by contacting the service’s Risk Manager, who will also provide guidance and support on how to compile and maintain the risk register.

7.5 Monitoring and Reviewing Risks
Risks on the Corporate Risk Register and Functional Risk Registers will be monitored regularly and reviewed in line with the minimum timescales set out in the Risk Appetite Action Guide (See Table 1).

Reviews of the Corporate Risk Register should be carried out to coincide with a scheduled SLT Meeting and reviews of Functional Risk Registers should be carried out to coincide with a scheduled Function/LSO Meeting. During the risk review, thought should be given to each risk to ensure that the risk is still relevant and applicable and that the risk register is fully complete (new strategic or operational risks should be considered at this point).
It is good practice for SLT, Directorate and Functional/LSO Management groups to note emerging risks for consideration and discussion during their regular meetings by having risk management as a standing item on their agendas.

### 7.6 Reporting and Escalating Risks

#### 7.6.1 Reporting risks

Directors will receive quarterly reports during the year on the control of operational risks from their Functional Managers/LSO’s. The Deputy Chief Officer will submit quarterly reports on the control of strategic risks to the Audit and Risk Assurance Committee who in turn will report to the Board of the SFRS. The Chief Officer will submit an annual report on the control of strategic risks to the Board of the SFRS for consideration.

#### 7.6.2 Escalating risks

There may be certain circumstances when a risk shows particular cause for concern and needs to be escalated to the appropriate level for consideration and decision on the action(s) to be taken. The following points therefore highlight the circumstances for escalation of strategic and operational risks:

- Any operational or strategic risk that has been scored as High Risk and Medium Risk (with a scoring of 10-15) and it has not been possible to reduce the risk through control measures

- The failure of any risk control measure(s), causing the risk score to increase the level of risk to High Risk or Medium Risk (with a scoring of 10-15)

- Service Transformation Programme risks deemed to be significant by the Service Transformation Committee

#### 7.6.3 Escalating operational risks

Operational risks should be escalated immediately to the respective Director for consideration and decision. The Director may decide that the operational risk is of
a significant nature, and subject to approval from the SLT, upgrade the risk to a strategic risk for recording in the Corporate Risk Register.

7.6.4 Escalating strategic risks
Strategic risks should be escalated at the earliest opportunity to the Audit and Risk Assurance Committee who in turn will advise the Board of the SFRS. The Audit and Risk Assurance Committee will alert the Board if it considers significant risks with wider implications should be notified to the relevant Scottish Government.

7.6.5 Escalating Service Transformation Risks
Transformation Programme Risks deemed significant will be escalated as per the procedures detailed in the Service Transformation Committee Terms of Reference. The Audit and Risk Assurance Committee in turn will make arrangements to record the risk on the Corporate Risk Register and escalate it to the Board of the SFRS for consideration.

8 AUDITING THE EFFECTIVENESS OF THE RISK MANAGEMENT PROCESS

In accordance with the Government Internal Audit Standards and the internal audit section of the SPFM, an audit of the effectiveness of the service’s Risk Management Process will be undertaken annually by the SFRS Internal Audit Team and the outcomes reported to the Board of the SFRS and Scottish Government.

The audit will seek to get assurances that service’s risks are being properly identified, managed and reported appropriately, and will also include a report on the risks identified within the Corporate Risk Register.
9 DEVELOPING A RISK AWARE CULTURE

9.1 General
The SFRS is no newcomer to dealing with risk. It is well versed in risk assessment, particularly in the area of dynamic risk decision making on the incident ground. However, there is now a real commitment from the service to broaden its understanding of risk, from one that has naturally needed to focus on incident ground based risk management, to one that considers risk management to be an integral part of the way everyone in the service will work to support the achievement of the service’s strategic aims and objectives. It is therefore a long term aim of the SFRS to create a risk aware culture.

9.2 Principles of a Risk Aware Culture
The SFRS will develop a risk aware culture built on the five principles of leadership, involvement, learning, accountability and communication (LILAC).

- **Leadership** - Strong leadership within the service in relation to strategy, projects and operations
- **Involvement** - Involvement of all staff in all stages of the risk management process
- **Learning** - Emphasis on training in risk management procedures and learning from events
- **Accountability** - Absence of an automatic blame culture, but appropriate accountability for actions
- **Communications** - Communication and openness on all risk management issues and lessons learnt

Strategic risks are owned by the SLT, and operational risks are owned by Heads of Function/LSO’s. This clearly demonstrates top-down commitment and support at executive and senior level. This leadership will demonstrate the importance of risk management throughout the SFRS and communicates that it is the role of all staff to contribute to the effective management of risk.

Leadership will also be provided by the service’s Risk Manager who will be responsible for developing and promoting the learning, accountability and
communication principles of a risk-aware culture. These three principles are all highly relevant to risk training and communication. The Risk Manager will therefore develop and facilitate the service’s annual risk training and development programme and ensure that the service’s risk communication strategy is effective at communicating risk issues to the service’s key stakeholders.

10 REFERENCES

- Scottish Public Finance Manual (Scottish Government)
- Risk Management Strategy (Middlesbrough Council)
- Risk Management Policy (Heriot Watt University)
- Risk Management Policy (Exeter City Council)
- Risk Management Strategy (London Fire Brigade)
- Risk Management Policy (Scottish Natural Heritage)
- On Board – a Guide for Board Members of Public Bodies in Scotland (Scottish Government.)
Appendix 1 – Risk Assessment and Evaluation Matrices

Each strategic or operational risk will be scored by multiplying the probability of occurrence rating by the severity of impact rating.

### Probability of Occurrence Rating

<table>
<thead>
<tr>
<th>Probability Rating</th>
<th>Descriptor</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Very Low – Where an occurrence is improbable or very unlikely</td>
</tr>
<tr>
<td>2</td>
<td>Low – Where an occurrence is possible but the balance of probability is against</td>
</tr>
<tr>
<td>3</td>
<td>Medium – Where it is likely or probable that an incident will occur</td>
</tr>
<tr>
<td>4</td>
<td>High – Where it is highly probable that an incident will occur</td>
</tr>
<tr>
<td>5</td>
<td>Very High – Where it is certain that an event will occur</td>
</tr>
</tbody>
</table>

### Severity of Impact Rating

<table>
<thead>
<tr>
<th>Impact Rating</th>
<th>People</th>
<th>Operational</th>
<th>Financial</th>
<th>Legal and Regulatory Compliance</th>
<th>Reputational/Stakeholder Confidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Little impact on our staff. No adverse motivational or welfare concerns</td>
<td>No negative impact on our ability to deliver the service</td>
<td>No impact on our ability to deliver a balanced budget</td>
<td>No or minimal impact or breach of regulations/statutory legislation</td>
<td>Rumours, with potential for local public/political concern</td>
</tr>
<tr>
<td>2</td>
<td>Staff motivation affected. Minor reduction in output from staff</td>
<td>There will be very minimal impact on our ability to deliver the service.</td>
<td>Our ability to deliver a balanced budget will be realized with minimal adjustment</td>
<td>Breach of statutory legislation. Reduced performance rating from external auditors if unresolved</td>
<td>Some negative local press interest or local public/political concern</td>
</tr>
<tr>
<td>3</td>
<td>Staff attendance rates reduced. Health issues arising. Impact on functions to deliver against plans</td>
<td>There will be a reduction in the ability for us to deliver our service’s and there may be minor service reduction.</td>
<td>Action required to ensure delivery of a balanced budget. Potential adverse impact on service delivery.</td>
<td>Single breach in statutory duty. Challenging external Recommendations/Improvement notices</td>
<td>Limited damage to reputation. Extended negative local press interest. Some regional public/political concern</td>
</tr>
<tr>
<td>4</td>
<td>Staff leave the service. Inability for functions to meet objectives. SFRS unable to deliver strategic priorities</td>
<td>Service disruption for an extended period. Major consequences.</td>
<td>Insufficient finances available, leading to some parts of our service delivery being adversely affected</td>
<td>Enforcement action. Multiple breaches in statutory duty. Improvement Notices/Critical report</td>
<td>Loss of credibility and confidence in the service. National negative press interest. Significant public/political concern</td>
</tr>
<tr>
<td>5</td>
<td>Unable to deliver against strategic plan or ministerial expectations.</td>
<td>Failure to deliver our service.</td>
<td>Failure to live within our means, all parts of our service delivery will be affected. Government intervention required.</td>
<td>Prosecution imprisonment of person held liable Multiple breaches in statutory duty Severe critical report</td>
<td>Full public inquiry. International negative press interest. Major public/political concern</td>
</tr>
</tbody>
</table>
The Risk Evaluation Matrix below will then be used to classify the score that was derived from the risk assessment matrices using a Red (High Risk), Amber (Medium Risk), Green (Low Risk) classification system. For example, a risk with a probability rating of 4 and a likelihood rating of 3 will attract a score of 12. The risk will therefore be classified at Amber (Medium Risk Level).

<table>
<thead>
<tr>
<th>Probability Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
</tr>
<tr>
<td>2</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>4</td>
</tr>
<tr>
<td>5</td>
</tr>
<tr>
<td>Impact Rating</td>
</tr>
<tr>
<td>1</td>
</tr>
<tr>
<td>2</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>4</td>
</tr>
<tr>
<td>5</td>
</tr>
</tbody>
</table>

The scoring and subsequent risk level will determine the starting point for managing and controlling risks to an acceptable level as detailed in the Risk Appetite Action Guide below. Using the example above, a scoring of 12 will lead to the risk being classified as unacceptable and appropriate action therefore required.

<table>
<thead>
<tr>
<th>Risk Level</th>
<th>Score</th>
<th>Action required</th>
</tr>
</thead>
<tbody>
<tr>
<td>High Risk</td>
<td>16-25</td>
<td>Unacceptable - action required immediately to reduce the risk to an acceptable level and reviewed monthly</td>
</tr>
<tr>
<td>Medium Risk</td>
<td>10-15</td>
<td>Unacceptable - action required within three months to reduce the risk to an acceptable level and reviewed quarterly.</td>
</tr>
<tr>
<td>Low Risk</td>
<td>4 - 8</td>
<td>Acceptable - the service is willing to accept this level of risk, but subject to periodic monitoring and reviewing.</td>
</tr>
<tr>
<td></td>
<td>1-3</td>
<td>Acceptable - the service is willing to accept this level of risk. Risks will be reviewed annually.</td>
</tr>
</tbody>
</table>
## Appendix 2 – Standard Electronic Risk Register

<table>
<thead>
<tr>
<th>Risk Ref</th>
<th>Corporate Risk</th>
<th>Risk &amp; Threat Description</th>
<th>Initial Risk Probability</th>
<th>Control Measures</th>
<th>Review of Risk Probability</th>
<th>Previous Risk Rating</th>
<th>Latest Review Date</th>
<th>Driver</th>
<th>Corporate Decision</th>
</tr>
</thead>
<tbody>
<tr>
<td>R1</td>
<td>Insufficient staff with the necessary skills</td>
<td>Lack of an appropriately skilled workforce</td>
<td>3</td>
<td>Ongoing delivery of core programmes to meet CITBE requirements</td>
<td>2</td>
<td>4</td>
<td>25/02/2013</td>
<td>D'Verent</td>
<td></td>
</tr>
<tr>
<td>R2</td>
<td>Inability to access equipment required in different locations</td>
<td>Accessibility is almost non-existent to staff</td>
<td>5</td>
<td>Inception policy in place</td>
<td>5</td>
<td>4</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Equality & Human Rights Impact Assessment Recording Form
Fire Service Reform Project

PART 1
BASIC INFORMATION

<table>
<thead>
<tr>
<th>Directorate/Team/Function</th>
<th>Name: Finance and Contractual Services</th>
</tr>
</thead>
<tbody>
<tr>
<td>EIA Completed by</td>
<td>Name: Roy Dunsire</td>
</tr>
<tr>
<td>Title</td>
<td>Risk Management Policy</td>
</tr>
<tr>
<td>(of function/policy to be</td>
<td></td>
</tr>
<tr>
<td>assessed e.g. name of</td>
<td></td>
</tr>
<tr>
<td>policy, title of training</td>
<td></td>
</tr>
<tr>
<td>course)</td>
<td></td>
</tr>
<tr>
<td>Date Assessment</td>
<td>3rd September 2013</td>
</tr>
<tr>
<td>Commenced</td>
<td></td>
</tr>
</tbody>
</table>

The purpose of the following set of questions is to provide a summary of the function/policy.

**Briefly describe the aims, objectives and purpose of the function/policy**

The aim of the policy is to ensure that every effort is made by the SFRS to manage risk appropriately to maximise potential opportunities and minimise the adverse effects of risk on the service’s strategic aims and objectives. Every organisation needs to identify its appetite for risk and so it is not the intention of the policy to have risk eliminated completely from the service’s activities.

Objectives:
- Communicate to stakeholders, the service’s approach to risk management;
- Ensure consistency throughout the service in the management of risk;
- Preserve and protect the service’s assets, reputation and staff;
- Promote good corporate governance by integrating risk management and internal control;
- Ensure the process for identifying, evaluating, controlling, reviewing, reporting and communicating risks across the service is implemented and understood by all relevant staff;
- Fully integrate risk management into the culture of the service and into the service’s business planning.
- Ensure that the Strategic Leadership Team (SLT), the Board of the SFRS and external stakeholders such as the Scottish Government are provided with the necessary assurances that the service is managing risk effectively, and thus complying with good corporate governance practice.

<table>
<thead>
<tr>
<th>Are there any associated objectives of the function/policy (please explain)?</th>
<th>As above</th>
</tr>
</thead>
</table>
| Does this function/policy link with any other function/policy? If Yes, please list and describe relationship. | - **Police and Fire Reform Scotland Act** – policy supports this statutory duty by mitigating any risks attached to fulfilling the legislation.  
- **Fire and Rescue Framework** – policy supports this document by mitigating any risks attached to the framework priorities and objectives.  
- **SFRS Governance and Accountability Framework** – policy meets the requirements set out in Section 40 (Risk Management) of the framework document.  
- **Strategic Plan** - policy supports this plan by mitigating any risks attached to the aims, objectives and desired outcomes.  
- **Annual Operating Plan** - policy supports this plan by mitigating any risks attached to the aims, objectives and desired outcomes.  
- **Scottish Public Finance Manual** - policy meets the requirements set out in the Risk Management Section of the manual. |
| Who is intended to benefit from the function/policy and in what way? | **Scotland’s communities** – by mitigating any disruption to the achievement of the services strategic aims and objectives.  
**Scottish Government** – by giving assurances that the risks the SFRS faces are being managed effectively and complying with good corporate governance  
**SFRS Board** – by giving assurances to the Board that and effective process is in place for managing corporate risks.  
**SFRS personnel** – by ensuring that a standard approach to risk management is in place, which will assist in the successful implementation and achievement of functional/directorate aims and objectives. |
| What outcomes are wanted from this function/policy? | Efficient and effective management of risk, leading to the successful delivery of the services aims and objectives and safer communities. |
| What factors/forces could contribute/detract from the outcomes? | Detract – failure to ensure that the Risk Management Policy is fully communicated to and understood by all relevant SFRS personnel. |
| Who are the main stakeholders in relation to the | **Scottish Government** |
| function/policy? | SFRS Board  
|                 | SFRS Strategic Leadership Team |
| Who implements the policy and who is responsible for the function/policy? | Finance and Contractual Services implements the policy, the SFRS Board has corporate responsibility for the policy. |
PART 2
ESTABLISHING RELEVANCE – INITIAL IMPACT ASSESSMENT

- This section is designed to determine the relevance of the function/policy to equality.
- This section also fulfils our duty to consider the impact of our activities in relation to Human Rights.
- Initial screening will provide an audit trail of the justification for those functions not deemed relevant for equality impact assessment.
- Throughout the process the evidence and justification behind your decision is more important

Q1. *The function/policy will or is likely to influence SFRs ability to....*

   a) Eliminate discrimination, victimisation, harassment or other unlawful conduct that is prohibited under the Equality Act 2010 and/or;
   b) Advance equality of opportunity between people who share a characteristic and those who do not and/or;
   c) Foster good relations between people who share a relevant protected characteristic and those who do not.

Please tick as appropriate.  

<table>
<thead>
<tr>
<th></th>
<th>Yes/ Potential</th>
<th>No</th>
<th>Don’t Know/Don’t Have Enough Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Age</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Caring responsibilities</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Disability</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gender reassignment</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Marriage and civil partnership</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(answer this only in relation to point a above)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pregnancy and maternity</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Race</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Religion and belief</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sex (gender)</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sexual Orientation</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Social and economic disadvantage</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If you have selected ‘No’ for any or all of the characteristics above please provide supporting evidence or justification for your answers.

AND,

If you have identified any potential links to other functions/policies please comment on the relationship and relevance to equality.

The RM Policy has links to the Fire and Rescue Framework, SFRS Strategic Plan and Annual Operating Plan, whereby the policy will help to mitigate risks attached to the aims and objectives set out in the abovementioned plans, including any risks/barriers attached to those aims and objectives associated with promoting equality of opportunity.
Q2. Is the function/policy relevant to the Human Rights Act 1998?

Yes ☒ No ☐ Don’t Know ☐

If you have selected ‘No’ please provide supporting evidence or justification for your answers

AND,

If you have identified any potential links to other functions/policies please comment on the relationship and relevance to Human Rights.

The policy links to the services strategic and annual operating plan, and the aims and objectives of the services directorates and functions, whereby the RM Process outlined in the policy will support the successful achievement of strategic and operational aims and objectives by mitigating the impact of any associated risks. The policy aims to reduce the impact and probability of any legal and regulatory risks, which may include failure to comply with legislation, including (when relevant) the Human Rights Act.

Concluding Part 2

<table>
<thead>
<tr>
<th>Outcome of Establishing Relevance</th>
<th>Please Tick</th>
<th>Next Steps</th>
</tr>
</thead>
<tbody>
<tr>
<td>There is no relevance to Equality or the Human Rights Act 1998</td>
<td>☐</td>
<td>Proceed to Part 4 Monitoring</td>
</tr>
<tr>
<td>There is relevance to some or all of the Equality characteristics and/or the Human Rights Act 1998</td>
<td>☒</td>
<td>Proceed to Part 3 Impact Assessment</td>
</tr>
<tr>
<td>It is unclear if there is relevance to some or all of the Equality characteristics and/or the Human Rights Act 1998</td>
<td>☐</td>
<td>Proceed to Part 3 Impact Assessment</td>
</tr>
</tbody>
</table>
PART 3
IMPACT ASSESSMENT

Describe and reference:
- relevant issues
- evidence gathered and used
- any relevant resolutions to problems
- assessment and analysis
- decision about implementation
- justification for decision
- potential issues that will require future review

<table>
<thead>
<tr>
<th>Characteristic</th>
<th>Description</th>
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<tbody>
<tr>
<td>Age</td>
<td>The policy covered by this assessment may impact on the equality of age characteristic, whereby insufficient consideration is taking when assessing the impact of age related equality issues against any relevant strategic and operational aims and objectives. The impact and probability risk assessment therefore takes into account legal and regulatory risk and subsequent impact on aims and objectives of not complying with legislation such as the equality act. Furthermore, training to develop a more risk aware culture will focus on how to effectively interpret all risk categories (including legal and regulatory risks) and apply the risk assessment methodology to mitigate the risk.</td>
</tr>
<tr>
<td>Caring Responsibilities</td>
<td>As per age characteristic</td>
</tr>
<tr>
<td>Disability</td>
<td>As per age characteristic</td>
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<tr>
<td>Gender reassignment</td>
<td>As per age characteristic</td>
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<tr>
<td>Marriage and Civil Partnership</td>
<td>As per age characteristic</td>
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<tr>
<td>Pregnancy and maternity</td>
<td>As per age characteristic</td>
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<tr>
<td>Race</td>
<td>As per age characteristic</td>
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<tr>
<td>Religion and Belief</td>
<td>As per age characteristic</td>
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<tr>
<td>Sex (gender)</td>
<td>As per age characteristic</td>
</tr>
<tr>
<td>Sexual Orientation</td>
<td>As per age characteristic</td>
</tr>
<tr>
<td>Social and economic disadvantage</td>
<td>As per age characteristic</td>
</tr>
<tr>
<td>Human Rights</td>
<td>The policy will help to mitigate the risk of failing to comply with the Human Rights Act, whereby any legal and regulatory risks attached to the services aims and objectives will be identified, assessed and evaluated.</td>
</tr>
<tr>
<td>Impact on People in General not covered by</td>
<td>As per age characteristic</td>
</tr>
</tbody>
</table>
Summary and Conclusion of Impact Assessment

The purpose of the services Risk Management Policy is to mitigate risks attached to the services aims and objectives and prevent the service from failing to meet its statutory obligations and deliver successful outcomes for the communities of Scotland. The risks the service faces are wide ranging, so in the policy these are classified into 6 categories, including legal and regulatory risks. This risk category will ensure that when staff are identifying and assessing the risks attached to the services strategic and operational aims and objectives, they consider the key legal risks (including failure to comply with the equality act) when pursuing the services aims and objectives.

This assessment identifies failure to comply with equality legislation as a form of risk in terms of:
- Failure to comply with legislation
- Detrimental impact on SFRS profile
- Potential impact on ability of organisation to deliver services to communities
- Potential impact on employees

There could be an impact relevant to equality as a consequence of another risk, e.g. the factors that contribute to reduced staff attendance rates could also be relevant on grounds of equality.

The process of equality impact assessing corporate decisions that are relevant to the general equality duty will ameliorate the risk profile of the organisation in terms of equality legislation and impact on people.

In conclusion it is the risk factors and improvement measures that will be controlled by the RM Policy rather than the RM Policy itself that are most likely to be relevant to pursuing the general equality duty.

Concluding Part 3

<table>
<thead>
<tr>
<th>Impact Assessment</th>
<th>Please Tick</th>
<th>Next Steps</th>
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<tbody>
<tr>
<td>There is no relevance to Equality or the Human Rights Act 1998</td>
<td>☐</td>
<td>Proceed to Part 4 Monitoring</td>
</tr>
<tr>
<td>There is relevance to some or all of the Equality characteristics and/or the Human Rights Act 1998 and relevant actions are recorded above in Summary and Conclusion</td>
<td>☒</td>
<td>Proceed to Part 4 Monitoring</td>
</tr>
</tbody>
</table>
PART 4
MONITORING & REVIEW

- The purpose of this section is to show how you will monitor the impact of the function/policy.
- The reason for monitoring is to determine if the actual impact of the function/policy is the same as the expected and intended impact.
- A statement on monitoring is required for all functions/policies regardless of whether there is any relevance to Equality or the Human Rights Act.
- The extent of your answer will depend upon the scope of the function/policy to impact on Equality and Human Rights issues.

If you have provided evidence or justification for believing there is no relevance to Equality or the Human Rights Act in Section 2 Establishing Relevance or Section 3 Impact Assessment:

Q1 How do you intend to monitor and review the function/policy?

If you have provided evidence or justification for believing there is relevance to Equality or the Human Rights Act:

Q2 What will be monitored?

The process of identifying, assessing and evaluating strategic and operational risk against the risk criteria outlined in the policy and control measures being adopted to mitigate any risks that have been identified.

The risks contained within the corporate risk register will be monitored periodically by the Board's Audit and Risk Assurance Committee.

Any significant risks will be escalated to the Board and if necessary the appropriate Scottish Government Audit and Risk Committee.

There are no specific equality measures, monitoring processes or review mechanisms resulting directly from the RM Policy. Any equality risks identified through the application of the RM Policy (e.g. failure to comply with the Equality Act 2010 resulting in potential compliance notice being issued by the Equality and Human Rights Commission) will be managed in line with other similar risk factors.

Q3 How will monitoring take place?

The internal audit team will monitor the effectiveness of the Risk Management Policy and provide the Audit and Risk Assurance Committee with assurance reports.

The Audit and Risk Assurance Committee will monitor the corporate risk register and be notified of any significant risks.

The Scottish Government will receive periodic audit plans and assurance reports on the Internal Audit’s opinion of risk management control and effectiveness.
Q4 What is the frequency of monitoring?

Quarterly monitoring by the Audit and Risk Assurance Committee, periodic audits by the internal audit team, annual reporting to the Board, of the effectiveness of the services governance arrangements.

Q5 How will monitoring information be used?

The information will be used to:
The information will be used by the Board and the Scottish Government to gain assurances that the SFRS is managing corporate risk effectively.
### PART 5
### APPROVAL

This Equality and Human Rights Impact Assessment was completed by:

<table>
<thead>
<tr>
<th>Name</th>
<th>Roy Dunsire</th>
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<tbody>
<tr>
<td>Date</td>
<td>3/9/13</td>
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</tbody>
</table>

This Equality and Human Rights Impact Assessment was reviewed by:

<table>
<thead>
<tr>
<th>Name</th>
<th>Elaine Gerrard</th>
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<tbody>
<tr>
<td>Job Title</td>
<td>Diversity Manager</td>
</tr>
<tr>
<td>Date</td>
<td>9/9/13</td>
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</tbody>
</table>

This Equality and Human Rights Impact Assessment was approved by:

<table>
<thead>
<tr>
<th>Name</th>
<th></th>
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<td>Date</td>
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1. **PURPOSE**
   1.1 The purpose of the report is to present members with a quarterly progress report on the Annual Operating Plan 2013/14.

2. **RECOMMENDATIONS**
   2.1 Members are invited to:
   a) Scrutinise and consider progress made against the Annual Operating Plan 2013/14 as detailed in Appendix 1
   b) Approve the Progress Report for onward submission to Scottish Ministers.

3. **BACKGROUND**
   3.1 The draft Annual Operating Plan 2013/14 was approved by the Board at its meeting of Thursday 27 June 2013.

4. **CONSIDERATIONS**
   4.1 The Annual Operating Plan 2013/14 contains a total 59 actions. The Progress Report (Appendix 1) details the progress made against each action during the second quarter, July to September 2013.
   4.2 As this first Operating Plan was developed prior to the publication of a Strategic Plan, actions have been aligned to the 3 benefits of reform rather than in line with the direction of the Strategic Plan as directed by the Fire and Rescue Framework 2013. The Progress Report shows how we are performing against these benefits.
4.3 An executive overview is provided in the Chief Officer Summary Section. This highlights the key areas of achievements as well as any areas where targets have not been met.

5. **FINANCIAL IMPLICATIONS**
5.1 Any detailed implications arising from the implementation of the Plan will be brought before the Board.

6. **LEGAL CONSIDERATIONS**
6.1 Delivery of an Annual Operating Plan meets with the requirements of the Fire and Rescue Framework for Scotland 2013.

7. **EQUALITY IMPACT ASSESSMENT**
7.1 An Equality Impact Assessment has been carried out on the Annual Operating Plan. As this report does not propose a change in policy, the formal adoption of a plan, policy or strategy it is not necessary to complete an impact assessment.

**ALEX CLARK**  
Deputy Chief Officer  
8 November 2013
Operating Plan 2013/14

Progress Report
(July - September 2013)
Introduction

The Service’s Operating Plan 2013/14 is designed to meet the expectations of the Fire and Rescue Framework for Scotland. The Plan is intended to progress the 3 Benefits of Reform* articulated within the Fire and Rescue Framework and the Strategic Priorities which spring from these within the Operating Plan. These are referenced in the ‘Aims’ section of the performance tables which follow.

The Governance and Accountability Framework includes a requirement to review performance through reports against the strategic aims, objectives, targets and milestones set out in the annual plan. These regular reports should be submitted to the SFRS Board and copied to Scottish Government.

<table>
<thead>
<tr>
<th>Ref</th>
<th>Aim</th>
<th>Strategic Priorities</th>
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</table>
| A1  | To protect and improve local services, despite the financial cuts, by stopping duplication and not cutting front line outcomes | • Implementing a national approach to risk management
• Ensuring a consistent and risk proportionate approach to fire safety legislation and working with business partners to promote economic growth
• Developing an integrated suite of people strategies, policies and procedures
• Demonstrating leadership in mainstreaming equality
• Introducing meaningful performance measures that support our contribution to the national outcomes |
| A2  | Create more equal access to specialist support services and national capacity where and when they are needed | • Creating a more equal access to national capacity
• Planning operational response in a way which reflects national and local risk across Scotland |
| A3  | Strengthen the connection between fire services and communities by creating a new formal relationship with all 32 local authorities, creating opportunities for many more locally-elected members to have a formal say in Fire and Rescue Services in their areas, and better integration with community planning partnerships. | • Establishing robust working arrangements through Local Senior Officers to work with partners in identifying our most vulnerable communities and citizens |

*In order to drive forward objectives this Operating Plan was developed prior to the publication of the Strategic Plan and therefore does not directly match the aims of the Strategic Plan. Future versions of the Operating Plan will take full consideration of the aims within the Strategic Plan.
Chief Officer Summary

This first Annual Operating Plan of the Scottish Fire and Rescue Service is heavily focused on the transition of the 8 previous Fire and Rescue Services to a National Service.

8.5% of the actions have already been completed and 57.4% of the remaining actions are on schedule to be completed by their target dates. Some actions are overrunning their target dates but their outputs, such as Prevention and Protection Strategy and Planning and Performance Framework, are complete and working their way through governance channels for final sign off and approval.

Other slippages on target dates relate to resourcing shortages particularly in areas such as procurement, property and freedom of information compliance. People and Organisational Development are working closely with all Directorates to try and alleviate these pressures. Resources have also been diverted to deal with other emerging demands, the threat of Industrial Action for example, which has led to some delays.

We can now evidence significant savings through the migration of ICT Services from Fife Council and through sound budget management the Service is still on track to return a balance budget by the end of this first operating year.

Overall no significant risks have been identified at this time and good progress is being made. Staff continue to work within a challenging change environment but despite this they continue to work hard to deliver not only the actions of this plan but also all the other essential activities of the Service.
Response and Resilience

Director’s Summary

This quarter has seen significant progress across the range of high level projects on-going within the Response and Resilience Directorate. Reviews of Control Rooms and Specialist Resources have been completed and are now being considered by the Board for implementation.

The R&R Strategy is in final draft form following the consultation phase, and new procedures for mobilising appliances and officers is now being operated by our control room staff. Work continues in aligning the operational procedures of all our antecedent services into national Standard Operating Procedures, and we are moving forwards in developing a national process for gathering Operational Intelligence and ensuring its availability for frontline crews.

It has been agreed that Scotland’s 8 Strategic Co-ordinating Groups will become 3 Regional Resilience Partnerships on 1st November this year. This move will allow the SFRS to create an effective structure for Civil Contingencies Planning, making sure that we can continue to work closely with our partner organisations in keeping our communities safe.

Considerable work in this area has already taken place with detailed contingency plans being created and implemented to cover the industrial action being taken by fire and rescue services in England and Wales.

Looking to the future, it is now less than a year until the Commonwealth Games are opened in Glasgow. Planning for this major event is well underway and information sessions for senior officers have already taken place.
### Outcomes:

- Our operational crews are provided with the correct procedures, equipment and information to enable them to carry out their role safely and effectively
- The communities of Scotland are better protected from the risks they face by ensuring that we have the right resources in the right locations to respond as required
- Scotland is best prepared for major events and the Scottish Fire and Rescue Service will work with partners to ensure the safety of our people
- We will identify the most suitable arrangements for mobilising our resources to incidents and supporting incident command. This will be done in a safe way that ensures better interoperability between existing Control Rooms in the short term, and will lead to a more efficient, effective and sustainable delivery model as we move forward.

<table>
<thead>
<tr>
<th>Action</th>
<th>Aim</th>
<th>Status</th>
<th>Comments</th>
<th>Target</th>
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</thead>
<tbody>
<tr>
<td>Develop a three year Response and Resilience Strategy that supports the delivery of the Scottish Fire and Rescue Service Strategic Plan.</td>
<td>A1 A2 A3</td>
<td></td>
<td></td>
<td>Strategy developed by July 2013</td>
</tr>
<tr>
<td>Ensure that a suitable programme of Operational Intelligence (OI) gathering is in place and available to staff in a usable, easily accessible and accurate format.</td>
<td>A1 A2</td>
<td></td>
<td></td>
<td>Complete by September 2013</td>
</tr>
<tr>
<td>Action</td>
<td>Aim</td>
<td>Status</td>
<td>Comments</td>
<td>Target</td>
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<tr>
<td>Review the operational procedures, practices and guidance in use throughout the Service and establish a number of Standard Operating Procedures that embrace national risk assessments and best practice.</td>
<td>A1</td>
<td></td>
<td>The process and timetable for the production and implementation of the Standard Operating Procedures has been implemented and is on schedule. Promulgation of new SOPs is programmed at a rate at which operational staff can reasonably be expected to learn and digest, with a process of risk assessment determining the order of release.</td>
<td>23 operational procedures harmonised April 2014</td>
</tr>
<tr>
<td>Review the location and capability of all existing specialist and national resources in order to relocate and better align specialist rescue assets across Scotland.</td>
<td>A2</td>
<td></td>
<td>This review was completed on schedule and the findings and recommendations are being collated before being passed to the Board for their consideration.</td>
<td>Review completed by September 2013</td>
</tr>
<tr>
<td>Review mobilising arrangements for all front line resources including flexible duty command Officers.</td>
<td>A1</td>
<td></td>
<td>Review Complete</td>
<td>Review complete by July 2013</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Incident Response and Flexi Duty System Mobilising Control Operating Procedures are in place.</td>
<td>National mobilising policy in place by September 2013</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Incident Response and Flexi Duty System Mobilising Control Operating Procedure have been implemented.</td>
<td>National mobilising policy fully implemented by November 2013</td>
</tr>
<tr>
<td>Action</td>
<td>Aim</td>
<td>Status</td>
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<td>Target</td>
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<tr>
<td>Review the location and capacity of all existing Control Rooms in</td>
<td>A1</td>
<td>⚫</td>
<td>Outline business case has been completed.</td>
<td>Outline Business Case complete by July 2013</td>
</tr>
<tr>
<td>Scotland in order to establish the optimum number, locations and</td>
<td></td>
<td></td>
<td>A detailed business case was presented to the SFRS Board in October as part of the SFRS Strategic Intent document. This resulted in a Board decision that the current 8 Control Rooms would be reduced to 3, with options as to the specific locations to be retained. This will be considered further at a meeting in November.</td>
<td>Detailed Business Case complete by September 2013</td>
</tr>
<tr>
<td>capacity of each Control Room.</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Review the Scottish Fire and Rescue Service Civil Contingency</td>
<td>A1</td>
<td>⚫</td>
<td>Review complete. Paper submitted to the SLT regarding personnel within Civil Contingencies. The outcome was that this would be looked at within the wider structure discussions and personnel appointed from within the Service.</td>
<td>Review complete by July 2013</td>
</tr>
<tr>
<td>Arrangements in order to better align the SFRS service delivery</td>
<td>A2</td>
<td></td>
<td></td>
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<tr>
<td>structures with SCG Civil Contingency Partners.</td>
<td></td>
<td></td>
<td>Agreement has been reached on the new Civil Contingencies structure and the complement of Civil Contingencies Officers within the SFRS.</td>
<td>Structure fully implemented and functional by October 2013</td>
</tr>
<tr>
<td>Ensure progress of the JESIP programme in England is monitored and</td>
<td>A1</td>
<td>⚫</td>
<td>The JESIP working group are currently consulting on the work that has been produced in England and the training programmes that the SFRS may wish to implement going forwards. This work will not be implemented until the consultation has been completed and the final arrangements have been published. This is will cause a delay in the implementation of any integration process.</td>
<td>Full integration by July 2013</td>
</tr>
<tr>
<td>ensure that any recommended best practice is implemented into the</td>
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<td>SFRS as appropriate.</td>
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<tr>
<td>Action</td>
<td>Aim</td>
<td>Status</td>
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<tr>
<td>Produce the Glasgow 2014 Commonwealth Games Response strategy for all sporting venues in conjunction with Emergency Service Partners.</td>
<td>A1</td>
<td></td>
<td>The Commonwealth Games Team within the Service has been expanded in light of the workload requirements. A programme of information sessions for senior officers will be implemented from November 2013. Plans will be put in place to test the strategy with key stakeholders. The Strategic Coordinating Group (Now the Regional/Local Resilience Partnerships) will form a key role in quality assurance.</td>
<td>Glasgow 2014 Commonwealth Games Response Strategy complete by March 2014</td>
</tr>
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<td></td>
<td></td>
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<td>Strategy fully implemented, tested and quality assured by June 2014</td>
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<td>Prevention and Protection</td>
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<tr>
<td>Director’s Summary</td>
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</table>
Building on from the first quarter of 2013/14, further good progress has been made by the Prevention and Protection Directorate between July and September 2013. To date, five of the Directorate’s eleven actions for 2013/14 have been completed, and four others have a status of green.

The Directorate has a two day development session planned for the end of October/beginning of November, during which the Prevention and Protection Strategy 2013-16 will be finalised; this will include the development of outline action plans for 2014/15 and 2015/16.

The action point in relation to establishing Prevention and Protection structures at national, regional and local levels has been given an amber status. This is to reflect the uncertainty regarding having these fully populated by the target date of March 2014. Work is on-going in conjunction with People and Organisational Development, Service Delivery Areas and Local Senior Officers to fill priority posts at local levels to support the SFRS’ Community Safety Engagement and Fire Safety Enforcement performance ambitions. Notwithstanding this, local practitioner roles will be filled using a phased approach that best supports local service delivery, whilst also retaining opportunities for future displaced staff.

As stated above, all other action points are either completed or are on target, with positive progress being particularly made in relation to Prevention and Protection governing and procedural documents. The internal positions within the Partnership Unit have now been fully populated and good progress has been made with the development of CSET, along with a similar system for Fire Safety Enforcement. The Prevention and Protection budget is also on track following the first six months of 2013/14.

In addition to the Directorate’s progress as outlined in the action points below, service delivery performance in relation to Home Fire Safety Visits and non-domestic audits continues to be positive. In respect of both elements, performance is on target for this stage of the year.

**Outcomes:**

- We will be better engaged with all of our diverse communities and we will be delivering services that are evidence-based and outcome focused.
- Our communities will be safer, as we will be delivering key messages across Scotland that are tailored to specific risks at the local level
- We will be better connected with our partners at a strategic, tactical and operational level; this will result in better information sharing that will make our communities safer
- We will develop a better understanding of the causes of fire and will contribute to national safety initiatives

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<th>Action</th>
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<th>Status</th>
<th>Comments</th>
<th>Target</th>
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<tbody>
<tr>
<td>Develop and implement a National Prevention and Protection Strategy 2013-16 to guide improvements in respect of Fire Safety Enforcement (FSE), Community Safety Engagement (CSE) and Fire Investigation (FI).</td>
<td>A1</td>
<td></td>
<td>The Prevention and Protection Strategy 2013-16, which has been written to support the SFRS Strategic Plan 2013-16, is in its final draft stage. This strategy has been developed by the Directorate in conjunction with the SFRS Board’s Local &amp; Stakeholder Engagement Committee (LSEC). The strategy will be finalised following the Directorate development days that are being held at the end of October/beginning of November; this will include the development of outline annual action plans for 2014/15 and 2015/16. Individual Frameworks have been produced for FSE, CSE, FI and Fire Engineering. These have all been presented to the SFRS Strategic Leadership Team (SLT) and are in the process of being published.</td>
<td>Strategy complete by October 2013</td>
</tr>
<tr>
<td>Fully establish the Prevention and Protection structure at National, Regional and Local levels</td>
<td>A1</td>
<td></td>
<td>The Prevention and Protection working structures have been populated to date with a combination of some permanent and some interim appointments at national, regional and local levels. Work is currently on-going with the People and Organisational Development Directorate to appoint Fire Safety Enforcement Officers and assemble Community Action Teams locally. In populating these local structures, the Directorate is liaising with Service Delivery Areas and Local Senior Officers so that priority posts can be identified and filled.</td>
<td>Structure established by March 2014</td>
</tr>
<tr>
<td>Support Local Senior Officers (LSOs) by preparing guidance on Community Safety and Community Planning arrangements</td>
<td>A3</td>
<td>✔</td>
<td>Guidance for Local Senior Officers has been written and endorsed by both the LSEC and SLT. This guidance is now in the process of being published on the SFRS intranet.</td>
<td>Guidance prepared by July 2013</td>
</tr>
<tr>
<td>Action</td>
<td>Aim</td>
<td>Status</td>
<td>Comments</td>
<td>Target</td>
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<tr>
<td>Fully establish the Community Safety Partnership Unit and provide a</td>
<td>A3</td>
<td>✓</td>
<td>The Partnership Unit has now been fully populated with all internal posts filled with permanent appointments.</td>
<td>Unit fully established by March 2014</td>
</tr>
<tr>
<td>framework to develop, strengthen and support local joint working</td>
<td></td>
<td></td>
<td>The CSE Framework has now been finalised and approved for publication. The Framework is in the process of being published on the SFRS intranet.</td>
<td>Framework in place by March 2014</td>
</tr>
<tr>
<td>Review all existing CSE procedures and provide a suite of consistent</td>
<td>A1</td>
<td></td>
<td>In addition to the Framework, four core supporting CSE policies/procedures have been written and approved following consultation. These cover Home Fire Safety Visits (HFSV), which has been agreed by the Board, Post-Domestic Incident Response, Case Study/Case Conference and Safeguarding Policy and Procedures for the Protection of Children and Adults at Risk of Harm. These policies/procedures will be launched via the SFRS intranet in January 2014, ahead of which further training is being provided to those personnel who will be responsible for their local implementation.</td>
<td>Policies in place by March 2014</td>
</tr>
<tr>
<td>national policies to support local service delivery</td>
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</tr>
<tr>
<td>Plan the staged implementation of the Community Safety Engagement</td>
<td>A1</td>
<td>✓</td>
<td>The CSET HFSV module has been live across the SFRS since 1 April 2013. In addition, development has been ongoing with the Partnership and Activities modules now completed; the Initiatives module is nearing completion. These will shortly be rolled out across the SFRS. A CSET Users Group has been created to enable front end users to influence system design and functionality.</td>
<td>Toolkit fully implemented by March 2014</td>
</tr>
<tr>
<td>Toolkit (CSET)</td>
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<tr>
<td>Create and implement a national FSE database and performance</td>
<td>A1</td>
<td></td>
<td>Good progress is being made with the project to create a national FSE database, which will sit on a shared platform with CSET. The database requirements are being progressed in partnership with ICT colleagues, with the former Central Scotland and Dumfries and Galloway areas</td>
<td>Database and toolkit implemented by March 2014</td>
</tr>
<tr>
<td>management toolkit</td>
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<tr>
<td>Action</td>
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</tr>
<tr>
<td>Assemble a national fact finding team to ensure a consistent and expert approach to FSE investigations and prosecutions</td>
<td>A1</td>
<td>✓</td>
<td>Fact finding teams are in place and have been successfully deployed.</td>
<td>Team assembled by April 2013</td>
</tr>
<tr>
<td>Review existing staffing arrangements and develop a means to fully establish and consistently deploy Fire Investigation Officers (FIOs) across Scotland</td>
<td>A1</td>
<td></td>
<td>Dialogue has been on-going with FIOs and their representative body (Fire Brigades Union) in relation to future working arrangements across the SFRS’ three FI Units. A workshop with FIOs is being held in early November to progress this matter.</td>
<td>New arrangements in place by December 2013</td>
</tr>
<tr>
<td>Create a national FI Framework and protocol to enable joint working with other enforcing agencies</td>
<td>A1</td>
<td>✓</td>
<td>National FI Framework: This is completed for the 2013-2016 period and has been published.</td>
<td>Framework in place by April 2013</td>
</tr>
<tr>
<td></td>
<td>A2</td>
<td></td>
<td>Protocol: The Protocol Between the Scottish Fire and Rescue Service, the Police Service of Scotland &amp; Forensic Services – Scottish Police Authority in Relation to Fire Investigation was signed on 24 September 2013 and is available on the SFRS intranet.</td>
<td>Framework devised and means of deployment in place by December 2013</td>
</tr>
<tr>
<td>Devise a national Fire Engineering Framework and organise a means to deploy this specialist resource on a national basis</td>
<td>A2</td>
<td>✓</td>
<td>The Fire Engineering Framework was presented to SLT at their meeting on 16 October 2013 and will shortly be published on the SFRS intranet.</td>
<td>Framework devised and means of deployment in place by December 2013</td>
</tr>
</tbody>
</table>
**Director's Summary**

Overall the Directorate has continued to make good progress against the actions as set out within the Year 1 Operating Plan. POD projects and action plans have been aligned with the Service Transformation Programme and are generally on target.

There are no significant risks or issues to report at this stage but there has been some slippage on a number of actions as a result of availability of resources, environmental factors such as the threat of industrial action (and the resultant focus on business continuity plans) and the requirement to adjust priorities to accommodate emerging demands.

It is anticipated that all actions will be back on target by Q3. During Q3 there will be a specific focus on the SFRS structure and organisational blue-print, change management arrangements in support of the Strategic Intent proposals, maintaining good employee relations and partnership working through an extended period of potential industrial action (FBU trade dispute) and establishing an SFRS pay and grading model for Support Staff.

Budgetary performance for the Directorate is encouraging and we are on track to deliver the required budget plan for 13/14.
Outcomes:

- The SFRS structure will be in place to support the delivery of the SFRS’s strategic and operational objectives
- Structural and cultural change will be effectively managed in support of the benefits of reform
- We will be recognised as a good employer
- We will meet our statutory duties and corporate expectations for public bodies and comply with the relevant legislation and regulations
- The relationship between the SFRS and its employees will be managed within a clear and transparent framework of consultation and negotiation
- We will align individual and team performance with its overall strategic objectives and ensure that pay and reward systems are equitable and cost-effective
- Learning and development will be embedded as a Service-wide process that supports overall Service delivery and that operates within a quality assured framework for the design and delivery of development programmes
- We will ensure the continued provision of a safe and competent SFRS workforce and, specifically, to ensure the continued delivery of safety critical training such as incident command, specialist/technical rescue and operational skills delivery programmes that support the delivery of the SFRS IRMP and local plans
- A culture of organisational health, safety and wellbeing will be embedded within each of the SFRS functions which extends beyond regulatory compliance to create a proactive, preventative approach to the delivery of OHW services and that integrates the health, safety and wellbeing needs of individual employees with the requirement to deliver our Service safely and effectively.

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<tbody>
<tr>
<td>Develop a People and Organisational Development Strategy and 3 year action plan in support of the SFRS strategic plan that is underpinned by a suite of Directorate performance indicators and measures.</td>
<td>A1</td>
<td></td>
<td>Overall progress: on target. Initial research and scoping work underway to align the POD Strategy and Action Plan with the SFRS Strategic Plan.</td>
<td>Strategy and 3 year plan complete by February 2014</td>
</tr>
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<td>Action</td>
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</table>
| Design and implement an effective structure operating model for the    | A1  |        | **Overall progress: minor slippage.** Heads of Function were appointed on 1 April 2013 and most of the posts in HROD have been matched.  
- HROD: managers and advisers have been matched to posts within the working structure. A review of administration arrangements is underway.  
- HSOW: H&S manager appointed, H&S co-ordinators in place, H&S advisers matched to posts at this time but is subject to review. OHW: interim management structure.  
- T&ED: AMs in post and arrangements in place to maintain BAU delivery.  

There is a requirement to review the operating model for the Directorate and specifically:  
- To review the working structure for T&ED: key principles have been discussed with SLT and the Trade Unions and a series of engagement events with key staff are planned between now and the end of the calendar year.  
- HSOW is undertaking a best value review of occupational health services: project scope has been agreed and governance arrangements are in place. A project plan is in place and work packages are on track for completion by January 14 following which the data/findings will be analysed to inform an options appraisal that will be subject to consultation with key stakeholders. |
<p>| Directorate functions: staffing arrangements, systems, contracts and   |     |        | resources.                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| resources.                                                             |     |        | Model implemented by May 2014                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |</p>
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<tbody>
<tr>
<td>Create a plan to converge all key policies, procedures, standards and</td>
<td>A1</td>
<td></td>
<td>Overall progress: on target. Work is underway to converge all POD policies and procedures by April 2014. A full plan for harmonisation of policies and procedures was presented to the Board in August 2013 for their consideration (to determine which policies require Board approval). HROD resources may become an issue as other project work is initiated.</td>
<td>Plan completed by April 2014</td>
</tr>
<tr>
<td>management guidance (for example: H&amp;S policy and standards, core</td>
<td></td>
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<tr>
<td>employment policies and procedures, learning and development policies</td>
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<tr>
<td>and procedures, fitness and wellbeing standards and procedures) with</td>
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<tr>
<td>a business plan for harmonisation submitted for board approval.</td>
<td></td>
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<tr>
<td>Work with Representative Bodies to finalise and implement the SFRS</td>
<td>A1</td>
<td></td>
<td>Overall progress: significant slippage. A revised draft of the Working Together Framework was presented to SLT on 17 July 2013 and has been subject to on-going consultation with Representative Bodies in the intervening period. The FBU ballot for industrial action slowed progress on this objective, however, discussions continued and a final draft is with all Representative Bodies for consultation. It is hoped that final agreement on the Framework will be secured at the Employee Partnership Forum scheduled for 14th November 13. The on-going threat of industrial action may impede the implementation of the Framework.</td>
<td>Framework implemented by August 2013 (target to be revised to January 14)</td>
</tr>
<tr>
<td>Action</td>
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<tr>
<td>Provide support to the SFRS Directorates and Service Delivery Areas and specifically to support the implementation of their Year 1 structural change/transition plans by providing effective workforce plans, providing HR support to transfer and matching processes and by ensuring that the underpinning change management policies (eg redundancy, redeployment, relocation and pay protection) are in place.</td>
<td>A1</td>
<td>Overall progress: on target; amber rating applied as there is a requirement to revise the working structure proposals to bring them into line with SFRS budget plans. Working structure proposals are being reviewed by SLT with a view to creating an SFRS structure by January 2014. Transfer and matching of support staff is making good progress. The SFRS change management policies have been agreed by the Board and Scottish Government. Work is underway to align these with the Strategic Intent proposals that were agreed at the September Board meeting. A review of administration arrangements is underway. Consultation on pay protection is on-going with Representative Bodies.</td>
<td>Transition to the SFRS structure on a rolling basis for completion by April 2016</td>
<td></td>
</tr>
<tr>
<td>Undertake an equal pay audit and develop the necessary equal pay policy and supporting action plan.</td>
<td>A1</td>
<td>Equal pay report presented to SFRS Board in April 2013.</td>
<td>Audit complete by September 2013</td>
<td></td>
</tr>
<tr>
<td>Action</td>
<td>Aim</td>
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</tr>
<tr>
<td>Create a Pay and Reward Strategy underpinned by the appropriate job</td>
<td>A1</td>
<td></td>
<td>Overall progress: slight slippage due to availability of HROD resources. Initial discussions held with SFRS Staffing Group in May 2013. Research and scoping work has been completed; SLT has agreed the principles for an SFRS Pay and Reward Strategy and this will be presented to the Staffing Group in November 2013. This work will feed into the wider Pay and Reward project that sits within the Service Transformation Programme.</td>
<td>Strategy produced by November 2013</td>
</tr>
<tr>
<td>design/evaluation processes which support the SFRS to harmonise terms</td>
<td></td>
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<tr>
<td>and conditions of employment.</td>
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<tr>
<td>Work with Finance to develop an implementation plan for the introduction of a single HR and Payroll solution for the SFRS.</td>
<td>A1</td>
<td></td>
<td>Overall progress: on target. Business case for i-Trent under development. Project being led by Head of Finance.</td>
<td>Plan produced by November 2013</td>
</tr>
<tr>
<td>Standardise and improve performance appraisal and workplace assessment</td>
<td>A1</td>
<td></td>
<td>Overall progress: on target. Review of existing arrangements is underway.</td>
<td>Review complete by February 2014</td>
</tr>
<tr>
<td>arrangements through a review with recommendations.</td>
<td></td>
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</tr>
<tr>
<td>Undertake a best value review of Occupational Health and Wellbeing</td>
<td>A1</td>
<td></td>
<td>Overall progress: on target. Plan and resources in place to undertake the BVR; project scope has been agreed and governance arrangements are in place. A project plan is in place and work packages are on track for completion by January 2014 following which the data/findings will be analysed to inform an options appraisal that will be subject to consultation with key</td>
<td>Review complete by February 2014</td>
</tr>
<tr>
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<tr>
<td>Create an implementation plan for the delivery of the Learning and Development Strategy (aligned with SFRS priorities).</td>
<td>A1</td>
<td>Overall progress: complete. Learning and Development objectives have been aligned within the overall programme of service transformation within the POD Directorate action plan. As such this objective is embedded within all other POD objectives and plans.</td>
<td>Plan produced by August 2014</td>
<td></td>
</tr>
<tr>
<td>Create an asset map, register and facilities/resource rationalisation plan for the Learning and Development function.</td>
<td>A1</td>
<td>Overall progress: some slippage. Review of facilities and resources underway; information and evidence being gathered using FSEC models to determine current capacity and potential future locations and capacity. The review of the T&amp;ED structure will also inform the work required to complete this objective and the on-going development of the implementation plans to support the SFRS Strategic Intent will shape this outcome.</td>
<td>Map, register and plan produced by December 2013 (target date to be revised to Feb 14)</td>
<td></td>
</tr>
<tr>
<td>Support development of the SFRS Board and Strategic Leadership Team on an on-going basis as demand dictates.</td>
<td>A1</td>
<td>N/A</td>
<td>No target: demand led.</td>
<td>Ongoing</td>
</tr>
<tr>
<td>Support the SFRS to develop a framework of Organisational Values and to undertake a cultural audit.</td>
<td>A1</td>
<td>Overall progress: on target. Plan and resources in place, approach to be presented to SLT and the Staffing Group in November 13.</td>
<td>Framework developed by April 2014 Cultural Audit undertaken by April 2014</td>
<td></td>
</tr>
</tbody>
</table>
## Director’s Summary

- All actions due for this financial year are now underway.
- Our greatest challenges at this stage are in relation to staffing resources, particularly in Procurement but also in Property. These are delaying critical areas of work.
- A significant element of our budget is front-loaded by way of annual ICT maintenance and licensing charges, however spend on property repairs and maintenance has been slower due to lack of resources. Overall we expect to be on budget at the end of the financial year.
- Significant savings have already been achieved in ICT through reducing our reliance on Fife Council.
- Our other ICT projects are progressing well and our major projects in HR/Payroll and Pensions are now commencing.
- Work on our key strategic documents is progressing in ICT and Asset Management.

## Outcomes:

- We will ensure best value and demonstrate a commitment to continuous improvement
- We will have the right staff in the right roles with the right skills to deliver the Asset Management Strategy
- Our assets will be better utilised and any opportunities for asset rationalisation will be evidence-based
- We will comply fully with the requirements of legislation and reduce the risk of any litigation as a result of any malpractice
- We will have embedded strong systems of financial control
- We will have established a Savings profile for Year 2
- We will have effective transitional payroll arrangements in place
- Joint Board accounts will be finalised and legacy issues quantified
- ICT will support the delivery of SFRS strategic objectives and priorities in 2013/14, focussing on enabling change and driving forward improvement
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<tr>
<th>Action</th>
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<tbody>
<tr>
<td>Develop and implement a Scottish Fire and Rescue comprehensive Asset Management Strategy which will cover the first 3 (2013-16) years of the new Service.</td>
<td>A1</td>
<td>🟢</td>
<td>Draft Strategy in development however this will now have to incorporate the outcomes of the Strategic Intent Document (SID) which will not be completed until September 2013.</td>
<td>Strategy developed by December 2013</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Strategy on course for implementation.</td>
<td>Strategy implemented by March 2014</td>
</tr>
<tr>
<td>Fully implement the Asset Management Staffing Structures over the first 12 months of the SFRS.</td>
<td>A1</td>
<td>🟢</td>
<td>90% of Asset Management staffing structures now implemented, final matching and interview processes currently taking place. Still on target.</td>
<td>Structure implemented by March 2014</td>
</tr>
<tr>
<td>Deliver the implementation of an Asset Management recording system or systems across the extensive range of asset functions.</td>
<td>A1</td>
<td>🟢</td>
<td>Property system currently is being rolled out – on target. Fleet management system may be delayed – aim now to fully implement by March 2014.</td>
<td>System(s) in place by December 2013</td>
</tr>
<tr>
<td>Ensure that the legislative and regulatory requirements of Asset Management are fully embedded and maintained across the extensive range of Asset functions.</td>
<td>A1</td>
<td>🟢</td>
<td>Agreed Legislative processes and procedures now in place across all Fleet &amp; Equipment Workshops and compliance inspections on-going. Identified Legal requirements for Property Assets and gap analysis completed. Transition to full compliance is slow. Staffing issues really impacting on the final delivery of this element, Lack of property officers on the ground may impact on this deliverable but expect to be resolved by March 2014.</td>
<td>Requirements embedded by September 2013</td>
</tr>
<tr>
<td>Work closely with Response and Resilience in order to develop a broad standardisation of operational assets across the eight amalgamated Services.</td>
<td>A1</td>
<td>🟢</td>
<td>Complete asset standardisation will take several years to accomplish. The priority for this year is to agree standard specifications for assets. Work is on-going and on target.</td>
<td>Asset standard specifications agreed by March 2014</td>
</tr>
<tr>
<td>Fully implement interim Finance and Procurement staffing structure.</td>
<td>A1</td>
<td>🟢</td>
<td>Matching process remains on-going for remaining roles below manager level. New appointment of Risk and Audit</td>
<td>Structure fully implemented by</td>
</tr>
<tr>
<td>Action</td>
<td>Aim</td>
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<tr>
<td>recognising transitional requirements for payroll, completion of Joint Board accounts etc.</td>
<td></td>
<td></td>
<td>Manager completed. A Category Lead has been appointed in Procurement but vacancies remain. Payroll posts will not be matched until the end of two year project.</td>
<td>September 2013</td>
</tr>
<tr>
<td>Fully implement financial policies and procedures.</td>
<td>A1</td>
<td></td>
<td>Work is progressing under direction of Finance Management Team.</td>
<td>Policies, procedures fully implemented by March 2014</td>
</tr>
<tr>
<td>Support the Strategic Leadership Team in reviewing options and business cases for Year 2 budget savings.</td>
<td>A1</td>
<td></td>
<td>Initial work has been completed on identifying savings for the next two years. A baseline budget is being produced and work is on-going with HR to develop the budget in conjunction with the proposed working structures.</td>
<td>Review complete by November 2013</td>
</tr>
<tr>
<td>Commence project to rationalise payroll arrangements and put in place a single payroll.</td>
<td>A1</td>
<td></td>
<td>Business case has been approved by the Board and approval received from Scottish Government to use consultants. HR/Payroll project manager role has been advertised. Project governance arrangements currently being established. This is a 2 year project and as the business case was not granted until September 2013 completion of the project is not now expected until the end of 2015.</td>
<td>Single payroll in place by March 2015</td>
</tr>
<tr>
<td>Commence project to develop long-term pensions administration arrangements.</td>
<td>A1</td>
<td></td>
<td>Scottish Government has directed that SPPA will be appointed and this has been noted by the Board. The project is currently being initiated by SPPA.</td>
<td>Arrangements in place by April 2015</td>
</tr>
<tr>
<td>Work towards contract rationalisation on a priority basis.</td>
<td>A1</td>
<td></td>
<td>Recent attempts to recruit have not achieved the resources required. A Category Lead left in October and another is now on maternity leave. One replacement has been appointed but vacancies remain both permanent and temporary. The lack of resources is seriously hampering efforts to make progress in this area.</td>
<td>Plan produced by September 2013</td>
</tr>
<tr>
<td>Action</td>
<td>Aim</td>
<td>Status</td>
<td>Comments</td>
<td>Target</td>
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<tr>
<td>Develop an ICT Strategy to support the Service’s objectives.</td>
<td>A1</td>
<td><img src="Green.png" alt="Green" /></td>
<td>ICT Strategy in development for presentation to SLT and Board in January.</td>
<td>Strategy developed by October 2013</td>
</tr>
<tr>
<td>Put ICT governance in place to enable prioritisation of business projects and allocation of ICT resources.</td>
<td>A1</td>
<td><img src="Green.png" alt="Green" /></td>
<td>Remit and membership for ICT Programme Board drafted. To be presented to SLT for approval. SLT approved no new ICT projects this financial year.</td>
<td>Governance in place by September 2013</td>
</tr>
<tr>
<td>Develop a robust and resilient strategic architecture to underpin the Service’s requirements and priorities, to include a plan for implementation and gradual rationalisation of existing infrastructure.</td>
<td>A1</td>
<td><img src="Green.png" alt="Green" /></td>
<td>Implementation and rationalisation of ICT infrastructure will take several years to accomplish. The priority for this year is to implement critical elements of the plan. Work is on-going on a range of projects resourced through transitional funding which are being closely managed to ensure delivery of objectives. The status of the portfolio of projects is currently Green.</td>
<td>Critical elements of plan implemented by March 2014</td>
</tr>
<tr>
<td>Fully implement the ICT staff structure, quality processes, standards and procedures</td>
<td>A1</td>
<td><img src="Green.png" alt="Green" /></td>
<td>Matching process for ICT structure complete. Revised and robust project management processes and standards implemented. Further review of work process underway to establish consistent standards and procedures across whole department. There has been some unavoidable delay on the recruitment processes to fill vacancies in the structure. Expected completion date is now January 2014.</td>
<td>Plan fully implemented by September 2013</td>
</tr>
<tr>
<td>Transfer ICT services internally from Fife Council</td>
<td>A1</td>
<td><img src="Green.png" alt="Green" /></td>
<td>All Fife Stations and Thornton former HQ have been migrated to SFRS network. Business solutions provided by Fife Council under review to assess options and impact of migrating these. Through the migration of Fife buildings to the SFRS network significant savings have been achieved on the SLA charges from Fife Council.</td>
<td>Transferred by March 2014</td>
</tr>
<tr>
<td>Commence business projects in line with agreed priorities</td>
<td>A1</td>
<td><img src="Green.png" alt="Green" /></td>
<td>Not started.</td>
<td>Projects commenced by March 2014</td>
</tr>
</tbody>
</table>
# Corporate Portfolio and Performance

## Director's Summary

Delivery of Directorate objectives is progressing in all departments. The implementation of a Communications Strategy and a Planning and Performance Framework are overrunning their target dates. However both are now at the final sign-off and approval stage through the appropriate governance channels.

In terms of mainstreaming equality, guidance has been prepared for LSOs in the development of local plans outlining the evidence required to profile their communities, linking local priorities to the SFRS’s Equality Outcomes and preparing equality impact assessments of their plans with the support of the Equality and Diversity Team. This will allow the reporting of equality performance to be aligned with the reporting of general performance on the local plans.

Key Performance and Planning Managers post have now been filled which will now assist the Service move towards a robust, comprehensive and integrated planning and performance framework. Transfer and Matching work is ongoing to secure an appropriate staffing structure to support and deliver this.

Filling of Posts in Information Governance is now a priority so that resources can be directed to meeting statutory timescales under FOI.

The budget suggests that the Directorate is well within its spending limits. However significant work is still required to analysis current spend and future requirements.

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<th>Actual Spend</th>
<th>Annual Budget</th>
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<td>35%</td>
<td>65%</td>
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Outcomes:

- We will have in place a clear plan that informs people how we will deliver our services over the period 2013-16
- Our people will understand how their activities will support the delivery of our strategic plan and what arrangements will be in place to measure and subsequently manage our performance
- We will have in place a clear approach to measuring the effectiveness of our operational response arrangements. Looking at how well we are prepared to respond, how effective we are when we do respond and how we learn from the incidents we attend
- We will be a legally compliant organisation that fulfils our responsibilities
- We will be fully connected to all of our diverse communities across Scotland. Our Local Senior Officers will be engaging with diverse groups to identify their needs and deploying their resources in a way that makes a difference to them whenever they can

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<tbody>
<tr>
<td>Deliver the SFRS Strategic Plan.</td>
<td>A1 A2 A3</td>
<td></td>
<td>Following a wide consultation the Strategic Plan has been submitted to Scottish Government for approval.</td>
<td>Public consultation begun by July 2013 Ministerial approval by October 2013</td>
</tr>
<tr>
<td>Develop and implement a corporate planning and performance management framework.</td>
<td>A1 A2 A3</td>
<td></td>
<td>Planning and Performance Framework has been developed and approved by SLT. A Board Development Session has now been arranged for December to provide the Board with an overview of the Framework.</td>
<td>Framework implemented by July 2013</td>
</tr>
<tr>
<td>Develop robust operational assurance performance management arrangements.</td>
<td>A1 A2 A3</td>
<td></td>
<td>Policies and Procedures out to internal consultation. These are to be tabled at Strategic Leadership Team in August / September for approval. Responsibility for this service now transferred to R &amp; R Directorate</td>
<td>Arrangements developed by November 2013</td>
</tr>
<tr>
<td>Develop and implement an SFRS communications strategy.</td>
<td>A1 A2 A3</td>
<td></td>
<td>Strategy has been produced and is on the Agenda for the Local Stakeholder Engagement Committee prior to full SFRS Board approval. Supporting policies and procedures currently being drafted.</td>
<td>Strategy implemented by August 2013</td>
</tr>
<tr>
<td>Action</td>
<td>Aim</td>
<td>Status</td>
<td>Comments</td>
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<tr>
<td>Ensure compliance with all equality legislation through publishing equality outcomes and a robust approach to equality impact assessment (EIA) through our activities implemented.</td>
<td>A1 A2</td>
<td></td>
<td>Equality Outcomes published by statutory deadline of 30 April 2013.</td>
<td>Equality Outcomes published by May 2013</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Equality Impact Assessment process has continued from Fire Reform Process and EIAs are being completed as requested. Consultation on the final state EIA process commenced 31 October 2013. Process includes an implementation plan for phased introduction of final state process and staff development programme for full completion of this action by 31 March 2014.</td>
<td>EIA approach implemented by July 2013</td>
</tr>
<tr>
<td>Mainstream equality into the organisation by publishing a mainstreaming report and ensuring equality is embedded at LSO level.</td>
<td>A1 A2</td>
<td></td>
<td>Mainstreaming Report published by legal deadline April 2013. However, the complex issue of mainstreaming equality will require further planning and involve E&amp;D staff supporting Directorates and Delivery Areas to identify and achieve their equality obligations. This is currently on-going with an anticipated completion date of March 2014.</td>
<td>Report published by May 2013</td>
</tr>
<tr>
<td>Action</td>
<td>Aim</td>
<td>Status</td>
<td>Comments</td>
<td>Target</td>
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</tr>
<tr>
<td>The E&amp;D Team continue to provide support to directorates via the business partner model approach. Since the last report particular focus has been given to the Commonwealth Games Team and the work surrounding the delivery of the Strategic Intent initiative. All Local Senior Officers (LSOs) have received initial E&amp;D input and invited to a further session on EIAs and public sector equality duty in August 2013. Performance reporting on equality for LSOs was due June/July 2013 but has been delayed until September/October 2013 due to work progressing on performance reporting across the organisation.</td>
<td>Equality embedded at LSO level by September 2013</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ensure the SFRS is legally compliant in its approach to managing information.</td>
<td>A1</td>
<td>Policies and procedures are on target although there is a requirement to progress awareness training. Training seminars for Managers being arranged in collaboration with POD for the three Service Delivery areas to be completed before March 2014. Issues relating to meeting statutory timescales with regards to Freedom of Information requests due to severe staffing shortages. On-going discussion with HR to address staffing issues.</td>
<td>Policies, procedures fully implemented and training for managers completed by March 2014</td>
<td></td>
</tr>
<tr>
<td>Develop a SFRS Strategic Assessment and environmental analysis that will inform a Scotland wide Integrated Risk Management Plan.</td>
<td>A1 A2 A3</td>
<td>Overall progress: On target. Analysis on the Service’s operating environment has been carried out.</td>
<td>Analysis complete by October 2013</td>
<td></td>
</tr>
</tbody>
</table>
1 PURPOSE

1.1 The purpose of this report is to seek approval of the strategy to be adopted in developing the SFRS budget for 2014 – 2016.

2 RECOMMENDATION

2.1 The Board is asked to approve the following recommendation(s):
   1) That the proposed budget strategy for 2014 – 2016 be adopted,
   2) That the Board arrange to meet on 27th February with a view to agreeing 2014/15 budgets.

3 BACKGROUND

3.1 Within the context of the UK Spending Round, the Scottish Government publishes an annual Draft Budget in September which follows parliamentary process over the autumn and winter, whereby a Budget Bill is developed and ultimately enshrined in legislation as the annual Budget Act.
3.2 As an Other Significant National Body sponsored by Scottish Government, SFRS is funded directly through Grant in Aid as detailed in the annual Budget Act.

3.3 The SFRS Resource DEL (Departmental Expenditure Limit) Budget for 2013/14 was set at £277.238million and its Capital DEL budget at £15.3million.

3.4 This funding is provided to enable SFRS to deliver against its priorities and objectives as laid out in the Fire and Rescue Framework for Scotland 2013, and as further elaborated now within the SFRS Strategic Plan 2013-2016.

4 SCOTTISH DRAFT BUDGET 2014/15

4.1 The Scottish Government published its Scottish Draft Budget 2014/15 on 11th September 2013, which incorporates a draft budget for 2014/15 and budget plans for 2015/16.

4.2 Figures for the Scottish Fire & Rescue Service, as published and further analysed, are shown in the table below:

<table>
<thead>
<tr>
<th>SFRS</th>
<th>2013/14 (£m)</th>
<th>2014/15 (£m)</th>
<th>2015/16 (£m)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Resource DEL</td>
<td>277.800</td>
<td>310.200</td>
<td>283.900</td>
</tr>
<tr>
<td>Resource DEL (Non-Cash)</td>
<td>0.562</td>
<td>22.659</td>
<td>24.679</td>
</tr>
<tr>
<td>Resource DEL (Cash)</td>
<td>277.238</td>
<td>287.541</td>
<td>259.221</td>
</tr>
<tr>
<td>Capital DEL (Cash)</td>
<td>15.300</td>
<td>-</td>
<td>25.300</td>
</tr>
<tr>
<td>TOTAL CASH</td>
<td>292.538</td>
<td>287.541</td>
<td>284.521</td>
</tr>
</tbody>
</table>

4.3 It should be noted that the significant increase in Resource DEL (Non-Cash) is in relation to depreciation which has now been fully quantified.

4.4 Also, the Total Cash DEL in 2014/15 is a combined figure for Capital and Resource. The indicative Capital budget is £22.3million, resulting in a Resource budget of £265.241million, however it is understood that an element of flexibility is permitted.

4.5 In addition to these figures SFRS has access to £7million of Transitional Funding for 2014/15 only.

4.6 These figures are broadly in line with expectations however represent a reduction in Resource DEL budget of £11.997million in 2014/15 and a further reduction of £6.020million in 2015/16.
5 TIMETABLE AND APPROACH

5.1 This Budget Strategy outlines the principles and assumptions that will be adopted in arriving at detailed budget proposals for 2014/15 and indicative budget plans for 2015/16.

5.2 SFRS is required through its Governance & Accountability Framework to provide the Scottish Government with detailed budget plans no later than 28th February.

5.3 In order to give sufficient time to develop fully costed budget proposals and to allow for satisfactory consultation with key stakeholders, it is proposed to hold an additional Board meeting on 27th February 2014 in order to agree budgets for 2014/15.

5.4 A series of Board development sessions are proposed during December and January, as required, to consider options.

5.5 Budget plans will also be developed in consultation with representative bodies through the Employee Partnership Forum.

6 BUDGET SETTING PRINCIPLES

6.1 In seeking to address the cost reductions required, SFRS will continue to build on work done in 2013/14 and focus on delivering the benefits of reform, as outlined within the Fire & Rescue Framework for Scotland and our Strategic Plan, with the overall aim of improving outcomes for our communities.

7 JOINT WORKING ON COMMUNITY PLANNING & RESOURCING

7.1 SFRS recognises its responsibilities to work together with community planning partners as outlined within the “Agreement on Joint Working on Community Planning and Resourcing” and as such will work with local partners to identify practical opportunities to add real value in this area.

8 PAY INFLATION ASSUMPTIONS

8.1 SFRS is required to consider the wider principles of Public Sector Pay Policy when negotiating pay settlements and as such notes the 2-year policy in relation to 2014/15 and 2015/16 published by Scottish Government in September 2013. This policy broadly sets a maximum increase of 1% in each year.

8.2 Within this context, and recognising the current situation with existing national pay bargaining arrangements, budget plans will at this stage assume pay inflation at 1% per annum across all categories of staff.

131121/SFRSBoard/BudgetStrategy14/16
9 CAPITAL EXPENDITURE

9.1 Work remains on-going to develop a comprehensive Asset Management Strategy for SFRS, albeit the Board has agreed its Strategic Intent in relation to our property assets, which represent approximately 85% of the value of the asset base.

9.2 Capital expenditure plans will now be developed over a rolling 3-year period with firm budgets for Year 1 and indicative plans for Years 2 and 3, which will be refined in future years. It is recognised that funding levels are unknown for Year 3 (2016/17) and require to be estimated.

9.3 Capital expenditure plans will be developed with reference to the Board’s Property Estate - Strategic Intent, our developing knowledge of the condition and suitability of the overall asset base and the wider considerations of our Strategic Plan.

10 FINANCIAL IMPLICATIONS

10.1 The financial implications are outlined within the report.

11 EMPLOYEE IMPLICATIONS

11.1 Employee implications of budget plans will be fully evaluated and discussed with representative bodies.

12 LEGAL IMPLICATIONS

12.1 SFRS is required through its Governance & Accountability Framework to provide the Scottish Government with detailed budget plans no later than 28 February.

13 EQUALITY IMPACT ASSESSMENT AND CONSULTATION ARRANGEMENTS

13.1 A detailed equality impact assessment will be carried out as part of the budget setting process.

13.2 Budget plans will be developed in consultation with representative bodies through the Employee Partnership Forum.

ALASDAIR HAY
CHIEF OFFICER

28 NOVEMBER 2013
1 PURPOSE
1.1 To inform the Scottish Fire and Rescue Service Board of progress with regards to the SFRS Working Together Framework and seek approval for this document.

2 RECOMMENDATION
2.1 The Board is invited to:
   a) Note the content of this report
   b) Approve the final draft of the Working Together Framework (attached).

3 BACKGROUND
3.1 The Board of the Scottish Fire and Rescue Service, its managers and recognised Trade Unions are committed to working together to address the challenges that lie ahead, constructively and positively. In recognition of this commitment, the Fire Brigades’ Union was invited to develop a Working Together Framework in partnership with management colleagues on behalf of the Scottish Fire and Rescue Service in Autumn 2012.

3.2 The Working Together Framework has progressed in consultation with all of the SFRS’s recognised Representative Bodies, and has been discussed at Employee Partnership Forums between December 2012 and October 2013.

4 PRINCIPLES OF THE FRAMEWORK AND KEY CHANGES
4.1 The Framework outlines key principles and agreements which include recognition arrangements, partnership principles and structures, shared objectives, and also how to work together and resolve disputes when there is a failure to agree.
4.2 Previous arrangements outlining the principles of mediation when there is a failure to agree have been replaced in favour of a 6-step approach which emphasises the methodology of, and commitment to, joint problem solving. This is supported by a series of flowcharts which outline how, in practical terms, joint problem solving may be approached. This would not affect the right to access other forms of dispute resolution such as collective grievance, conciliation, mediation or arbitration using ACAS and/or NJC arrangements. However, the SFRS and Representative Bodies will use these processes as a last resort when internal problem solving arrangements have been exhausted.

4.3 The section outlining Partnership structures arrangements that are designed to support the efficient and effective progression of joint business, has been updated to reflect the current national and local arrangements.

4.4 It was originally intended that a further agreement offering information relating to facilities for trade union representatives (e.g. Time Off for Trade Union Duties) would be included. Instead, the principles of facilities arrangements will be outlined in an interim paper until a harmonised policy has been developed and approved.

4.5 Final changes to the Framework were made following feedback from Representative Bodies during October 2013.

5. NEXT STEPS
5.1 The Working Together Framework achieved agreement from all members of the Employee Partnership Forum on 14 November 2013.

5.2 It is recommended that the Working Together Framework is piloted and kept under regular review by the Employee Partnership Forum for the first year of its implementation (which in effect is a 12 month consultation period).

5.3 The attached copy of the Framework is presented as the final draft and the Board are invited to approve this document based on the principles and recommendations contained within this report.

6 EMPLOYEE IMPLICATIONS
6.1 Employee implications are contained within the Framework.

7 FINANCIAL IMPLICATIONS
7.1 Financial implications are mainly those associated with facility time and charge back arrangements which are currently being assessed with a view to introducing harmonised arrangements from 1 April 2014. Financial implications associated with the implementation of the Framework will be reviewed within the first 6 months of its inception and on an annual basis thereafter.

8 EQUALITY IMPACT ASSESSMENT AND CONSULTATION
8.1 The Working Together Framework has been subject to equality impact assessment which identifies some limited relevance to the general equality duty to eliminate discrimination, victimisation, harassment or other unlawful conduct as well as advancing equality of opportunity. The relevance is largely indirect in as much the Framework focuses on the processes involved in reaching agreed workplace solutions rather than the decisions reached under this process. The equality impact assessment makes specific note of the need to be mindful of the needs of all employees in the engagement, communication and decision making processes of the SFRS and the use of accessible formats of communication. Furthermore, the equality impact assessment also highlights the commitment of the Partnership Forum to make use of the equality impact assessment in the development of policies and initiatives. While only indirectly relevant to the general equality duty, the Framework provides an opportunity to make a positive contribution on the grounds of equality and contribute towards the development of policies sensitive to the needs of all SFRS employees.

8.2 Consultation arrangements are implicit within the report.

DIANE VINCENT
Director of People and Organisational Development
28th November 2013
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<th>CONTENTS</th>
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<td>5.</td>
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<tr>
<td>8.</td>
<td>Developing In Partnership</td>
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</table>
The Scottish Fire and Rescue Service (SFRS) was established on 1 April 2013 to replace the eight previous Fire and Rescue Authorities and Joint Fire and Rescue Boards. This major reform of fire and rescue services in Scotland presents a range of opportunities and challenges for the SFRS to manage during the transition towards new fiscal arrangements, organisational structures and working practices.

The process of reform has created a new model of employee relations based on mutual trust and respect built through partnership. This Working Together Framework formally establishes the principles of partnership as the foundation for the relationship between the Board, the Strategic Leadership Team, Management, Employees and their Trade Unions.

To deliver the benefits of reform, the Scottish Government has set out a number of strategic priorities for the SFRS within the Scottish Fire and Rescue Framework. The Strategic Plan Working Together for a Safer Scotland (2013-2016) sets out the SFRS’s Vision, Values and Objectives in support of the achievement of these strategic priorities.

Partnership involves a commitment to work together. In setting joint objectives the interests of employees and their Trade Union can be taken into account alongside any specific risks, issues and opportunities for service improvement.

**Our partnership must:**

- Deliver the benefits of reform
- Face the challenges associated with change
- Seek opportunities for continuous improvement and to further develop our services
- Respond to the changing needs of our Communities across Scotland
- Create a working environment that is responsive to individual aspirations and which encourages employee satisfaction, motivation and commitment

The Working Together Framework is designed to create an environment where mutually acceptable solutions can be found, however, it is recognised that management and employees may at times have conflicting interests. Therefore a number of separate arrangements are contained within this Framework which set out how the Board, Management and the Trade Unions will “work together”.

The success of this partnership approach is dependent on strong and visible leadership from the Board, the Strategic Leadership Team and the Trade Unions in addition to the participation and commitment of all employees and their managers.
This Working Together Framework is agreed between the SFRS and _____ (insert Trade Union name) _____, who represent employees.

It sets out our common interest in ensuring the future success of the SFRS. All parties are committed to the SFRS Vision, Values and Objectives as contained within the Strategic Plan and to delivering our Service within a flexible and responsive employee relations environment which is based on a shared belief that partnership will benefit both the SFRS and individual employees.

The Framework does not replace those procedures required of the SFRS under employment law and each of the separate arrangements contained within it are designed to support our partnership whilst complying with all relevant employment legislation, regulations and guidance.

The effectiveness of the Framework will be kept under regular review as set out within the terms of individual recognition agreements and as a standing item at the Employee Partnership Forum.

By partnership we mean that the SFRS, its Management and the Trade Unions will work together in accordance with the principles of partnership as defined by the Trade Unions Congress. Within the context of the Working Together Framework these principles can be defined as:

1. **Joint Commitment to the success of the SFRS:** All parties are committed to the success of the SFRS and believe this will be attained through the delivery of jointly agreed objectives based on the stated SFRS Vision, Values and Objectives. All parties are committed to continuous improvement; working together to deliver a flexible, efficient and effective emergency service.

2. **Recognising Legitimate Interests:** The SFRS accepts the legitimacy of Trade Unions as employee representatives and that their involvement and participation will improve decision making at all levels of the organisation. As such the SFRS recognises the value of Trade Union involvement and encourages its employees to join a Trade Union.

   The Trade Unions recognise that the SFRS is required to operate within a framework of Government legislation and accepts that it has a duty to deliver against the objectives of its’ Strategic Plan in order to provide efficient and effective services to the Communities of Scotland.

3. **Commitment to employment security:** It is recognised that external factors may emerge which could influence matters of employment, however, all parties will work together to provide security in employment.
4. **Focus on the quality of working life:** All parties will work together to provide the highest quality fire and rescue services whilst maintaining the best possible conditions of employment and our reputation as an employer of choice.

5. **Transparency and Information Sharing:** All parties agree to be transparent in their business processes, to inform and consult meaningfully with each other and to share information with employees at the earliest opportunity on all matters concerning their employment.

6. **Win-win partnership:** All parties agree that working in partnership will deliver mutual benefits. The aim is to have open, constructive and candid discussions that support transparent decision making at all levels within the service; avoiding “winners and losers” by focusing on the agreed objectives and joint problem solving rather than the securing of respective positions. All parties will refrain from the use of threatening, offensive or intimidating language and agree to manage employee relations within the principles and practices of this Working Together Framework.

7. **Communications:** All parties agree that communication is an essential part of any partnership; communication processes will be open and transparent and conducted in accordance with our joint commitment to the success of the SFRS.

Through this Working Together Framework we aim to reassure employees that their voice will be heard at a national and local level.

---

**On behalf of** *(insert Trade Union name)*

Signature: ...........................................
Print Name: ...........................................
Date: ...........................................

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**On behalf of the Scottish Fire and Rescue Service**

Signature: ...........................................
Print Name: ...........................................
Date: ...........................................
3. **Partnership Arrangements**

1. **Purpose**
   The partnership arrangements are designed to provide practical support to the Working Together Framework.

2. **Flexibility**
   Each arrangement is flexible in that it may be amended, merged with others or withdrawn by mutual agreement. In addition, new arrangements may be mutually agreed and introduced as and when appropriate.

3. **Review**
   The Working Together Framework and all of its component parts will be reviewed on a regular basis in accordance with the terms set out within individual recognition agreements.

4. **Termination of Overall Agreement / Individual Agreements**
   The Working Together Framework and all of its component parts will be terminated following twelve months' notice by the Trade Union/s or the Chief Officer (unless this timescale is varied by mutual agreement).

5. **Functions**
   The function of each arrangement is set out below:

   - **Recognition Arrangement**
     Sets out the terms under which the SFRS recognises each of the Trade Unions

   - **Promoting Our Partnership**
     Sets out how the parties will work together to promote a positive image of the SFRS and engage in effective communication.

   - **Working in Partnership**
     Refers to the steps the parties should take during negotiations, to solve problems and resolve disputes.

   - **Partnership Structures**
     Outlines structural arrangements under which the Working Together Framework will operate.

   - **Developing in Partnership**
     Outlines the importance of continuously developing our skills and learning from examples of good practice.
This section sets out the basis for recognition as separate and bilateral arrangements between the SFRS and each of the individual recognised Trade Unions that agree to abide by the Working Together Framework. Appropriate arrangements for facilities (including time off and arrangements for Trade Union Representatives) will be contained within a separate SFRS policy.

### 1. Trade Union Recognition

The Working Together Framework defines a Trade Union as an organisation of workers created to protect and advance the interests of its members by negotiating arrangements with employers on pay and conditions of work.

**Trade Unions will be recognised by the SFRS for the purposes of negotiation and collective bargaining as follows:**

- Trade Unions that have membership of national collective bargaining arrangements will be recognised for negotiating purposes for the relevant potential bargaining unit, or
- Trade Unions able to demonstrate a minimum of 10% of SFRS employees that constitute a potential bargaining unit.

**Recognised Trade Unions for the purposes of negotiation, collective bargaining, collective consultation, and the provision of information are:**

- Fire Brigades’ Union (FBU)
- Retained Fire Union (RFU)
- Unite
- UNISON
- Association of Principal Fire Officers Scotland (APFOS)
- Fire Officers’ Association (FOA)

Other Representative Bodies may be recognised by the SFRS for the purposes of consultation.

The SFRS will therefore set out separate recognition arrangements with each Trade Union, with the terms of each agreement aligned with the principles of partnership as laid down within this Framework.

Recognition also extends to the representation of individual Trade Union members when discussing matters directly affecting their individual employment with the SFRS.
2. Scope of Recognition
The Trade Unions are recognised for the purposes of collective consultation and negotiation for those matters which have a significant impact on the groups of employees represented by the recognised Trade Unions and which relate to any of the following matters:

- **a)** Terms and conditions of employment, including their reference to pay.
- **b)** Allocation of work or the duties of employment between employees or groups of employees.
- **c)** All policies and procedures related to conditions of employment.
- **d)** Facilities for accredited representatives of Trade Unions.
- **e)** Machinery for negotiation or consultation and other procedures relating to these, including the recognition by SFRS of the right of a Trade Union to represent employees in such negotiation or consultation or in the carrying out of such procedures.

3. Geographical Bargaining Unit
The geographical bargaining unit for all recognised Trade Unions is national in extent (i.e. covering all sites, services and designated employee groups within the SFRS). No local geographical bargaining unit exists.

4. Level at Which Collective Bargaining Processes are Conducted
All collective agreements that regulate or change contracts of employment are arrived at by negotiation between the relevant parties exclusively.

At the date of this agreement, collective bargaining on pay and other contractual issues take place in National Joint Council (UK) or CoSLA (SJC) forums. In the longer term it is possible that collective bargaining may take place at SFRS service level as approved by the Board. Therefore, to streamline the management of collective bargaining all parties agree that, until SFRS arrangements are established, any relevant NJC or CoSLA agreements recognised as applicable to the SFRS will be jointly reviewed and agreement reached on their application or implementation.

All other collective bargaining processes take place exclusively at SFRS service level.
Promoting our approach to partnership and presenting a positive image of the SFRS is paramount to ensuring that our communities have faith and trust in our ability to provide an emergency service that is effective, efficient and high performing.

The success of our partnership is dependent on strong and visible leadership from the Board, the Strategic Leadership Team and the Trade Unions in addition to the participation and commitment of all employees and their managers.

**To promote our partnership and the image of the SFRS we will:**

- Actively support the stated SFRS Vision, Values and Objectives through jointly agreed objectives.
- Actively promote the service provided by and the achievements of the SFRS and its employees.
- Demonstrate commitment to our partnership using joint communications whenever appropriate.
- Convey agreement on matters resolved.
- Deal professionally with all matters affecting the SFRS by maintaining confidentiality, representing our separate interests fairly without undue criticism of the parties involved and refraining from making destructive comments or personalising issues via internal or external media.

**In addition, all parties recognise that effective communication is vital to the success of our partnership. In this regard, all parties commit to:**

- Develop and publish a communications strategy to support the work of partnership.
- Communicate all relevant matters through the Employee Partnership Forum unless an issue is identified as a local or single union matter.
- Meet regularly, formally and informally, to discuss matters affecting the operation of the SFRS or matters significantly affecting employees.
- Provide consistent representation throughout discussions and negotiations.
- Professionally manage partnership business (e.g. advance agenda and papers, minutes of meetings, decision/action log)
- Provide regular updates and briefings to employees with regard to on-going discussions between Management and the Trade Unions.
- Produce formal collective agreements and/or joint communications to employees regarding the outcomes of a consultation or negotiation exercise. Where a joint communication cannot be produced, each party will discuss the text of its own communication prior to this being issued.
6. Working In Partnership

The fundamental principle of the Working Together Framework is that the focus should remain on the matter under negotiation and the associated issues; not the respective positions of the parties involved which can create winners and losers and a “spiral of conflict”.

Where issues do arise, the partnership approach should ensure that these are resolved at the lowest possible level; that the parties adopt joint problem-solving techniques that focus on common organisational improvement and development objectives and that they maintain communications at all levels. The partnership structures will support the Working Together methodology outlined below:

- Identify the challenge
- Initial meeting between relevant members of SFRS and Trade Union(s)
- Hold task focussed meeting with partners
- Have follow up meeting to further develop solutions
- Management teams/committees to consider outcome of discussions
- Sign off as partnership approach has been fully utilised
**Step 1: Focus on the task**
The parties involved should focus on the issue they are seeking to resolve, the facts of the matter under discussion and any progress previously made. This will allow the discussion to focus on the outcomes/issues to be resolved rather than individual positions.

- Meet in advance of any papers being drafted
- Representatives to be able to commit to outcomes agreed
- Provide as much information as possible to develop clear understanding of subject matter
- Clearly articulate what is expected from the meeting

**Step 2: Discuss the issues**
Under the terms of the Working Together Framework, each of the parties involved agrees to an open discussion on the issues. In terms of this, it is recommended that the parties:
- Agree what is to be discussed
- Separate the people from the issues
- Rely on concrete examples rather than anecdotal evidence

- Management and Representative bodies to designate appropriate staff to discuss issues
- Fully discuss the issues and identify potential solutions
- Prepare report on outcome of discussions, identifying solutions and challenges
- Share report with respective management teams/committees, identifying where agreement has and has not been reached at this time
**Step 3: Understand interests**

Interests cause people to take a position. To avoid conflict it is important that all parties understand each other’s interests and agree to consider the issues from each other’s perspectives; the focus should be on what each party needs from the process to achieve a satisfactory resolution.

**Step 4: Develop options**

It is possible to satisfy various interests without there being winners and losers. The right solution is the one that satisfies most interests. In seeking a solution, each of the parties involved should agree to develop a range of potential options, for example:

- Generate ideas
- Don’t judge ideas until the process is exhausted
- Relate the ideas to the issues; which ones could provide possible options?

---

**Note:** Timescales for this process should recognise where each partner is required to consult wider.

**Step 5: Choose a solution**

In order to choose a solution, each option must be assessed, for example in terms of:

- How does each option meet each party’s relevant interests?
- Are there resources available to deliver the solution?
- Does the solution meet wider stakeholder requirements?
- Whose buy-in is required?
Step 6: Implement the solution

The last step is to create an action plan to implement the solution. The responsibility for the actual implementation of Action Plans may be delegated to Working Groups or functional teams who would be answerable to and monitored by the sponsoring Partnership Forum.

Joint Problem Solving

At any stage in the above process, when a dispute on a particular issue is emerging, each of the parties involved will agree to taking time away from the issue to avoid positions becoming fixed and the conflict escalating. “Time out” should be used to reflect on the issues that are emerging, to consider all viewpoints and to review the matter they are seeking to resolve.

It should be noted that the commitment to joint problem solving does not affect legal rights or the right to access other forms of dispute resolution such as collective grievance, conciliation, mediation or arbitration using ACAS and/or NJC arrangements. However, the SFRS will use these processes as a last resort when internal problem solving arrangements have been exhausted.

Individual grievances, disciplinary action or any type of individual complaint should be dealt with through the appropriate SFRS procedure; however, line managers and employees alike are encouraged to adopt similar problem solving techniques before initiating formal processes to avoid the escalation of individual disputes and complaints.
7. Partnership Structures

The partnership structures are designed to support the efficient and effective progression of joint business in that they will:

- Build trust and mutual understanding.
- Place an emphasis on discussion and the exchange of ideas (without prejudice).
- Provide opportunities for regular meetings.
- Avoid unnecessary bureaucracy.
- Ensure that those who attend have the necessary skills and experience to add value to the partnership process and that they are empowered to make decisions.

1. National Arrangements

These include:

1.1 Partnership Advisory Group
The Partnership Advisory Group consists of the Chair and Vice Chair of the Board, the Chief Officer, the Deputy Chief Officer, the Director of People and Organisational Development and nominated Trade Unions.

The Partnership Advisory Group will:

- Establish the Working Together Framework; the ethos of joint working and the structures required to support it.
- Act as the custodians of the Working Together Framework; principles, policy and procedures.
- Provide advice and support to the SFRS to devise and maintain its partnership arrangements; acting as a vehicle for the discussion of any partnership issues which may arise.
- Provide support to negotiations and facilitate the resolution of disputes (as required).

1.2 Employee Partnership Forum
This forum consists of recognised Trade Union representatives, the Chair of the Board, the Chief Officer, representatives from the SFRS Board and the Strategic Leadership Team.

The Employee Partnership Forum will:

- Meet regularly to discuss and review proposed and ongoing developments.
- Meet annually to agree an annual action plan that sets out joint objectives in support of the SFRS.
- Ensure that the work of the Forum is communicated to all employees and key stakeholders.
- Ensure that any necessary resources, facilities and training are in place to support the partnership arrangements; seek appropriate opportunities to build capacity within the forums.
- Commission work on its behalf from either a Local Partnership Forum or by establishing a defined Working Group.
- Identify areas of ‘good practice’ to assist the partnership arrangements.
- Ensure that we engage in robust consultation, negotiation and joint problem solving techniques to implement change within the SFRS.
- Provide support/facilitation to resolve issues that have been escalated by a Local Partnership Forum.
2. Local Arrangements

The partners at a local level will have autonomy to establish Local Partnership Forums. Each Local Partnership Forum will comprise of the Director of Service Delivery and their Management Team together with recognised Trade Union representatives.

The Local Partnership Forum will:

- Ensure that the nationally agreed and shared objectives of the Employee Partnership Forum guide the work carried out a local level.
- Create a Forum for the sharing of ideas, the exchange of information and the identification/development of opportunities for partnership working.
- Support local planning processes e.g. the production of Local Plans.
- Work together on issues of a local nature within the agreed principles, policy and procedures of the Working Together Framework.
- Ensure that any necessary resources, facilities and training are in place to support the partnership arrangements.
- Regularly consult and communicate with local managers and the local Trade Union representatives.
- Be responsible for the set-up and monitoring of specific Working Groups.
- Provide regular reports to the Employee Partnership Forum and share examples of ‘good practice’.
- Provide support/facilitation to other Local Partnership Forums as required.

3. Working Groups

Working Groups will be set up, as and when required, to explore, examine, analyse, research and make recommendations relating to specific issues as identified and agreed by the relevant Partnership Forum. The sponsoring Forum will select members for these working groups on the basis of specialist knowledge, skills or interest in a specific topic; employees from all levels, roles and departments are eligible for inclusion.

The Working Groups will:

- Agree the Terms of Reference with the sponsoring Forum.
- Ensure members possess the requisite skills to engage in joint problem solving and consensus decision-making.
- Prepare an action plan to complete the objectives set by the sponsoring Forum within the specified timescales.
- Undertake the work required to complete the objectives set; requesting resources from the sponsoring Forum as necessary.
- Provide regular reports to the sponsoring Forum on progress.
- Present outcomes and recommendations on conclusion of their work.
8. Developing In Partnership

To successfully achieve the aims of the Working Together Framework parties will commit to learning and developing together in order to acquire the skills, knowledge and behaviours associated with partnership working.

The SFRS People and Organisational Development function will support the Working Together Framework by facilitating relevant development opportunities that will enhance joint working. To support the development of our partnership culture we will:

- Identify the skills, knowledge and behaviours required to support the Working Together Framework.
- Regularly consider the training needs of all parties in support of partnership working.
- Ensure that training in support of partnership working is jointly designed and delivered at the appropriate level (e.g. induction, management development, Trade Union courses).
- Establish a joint partnership learning sub-group to oversee and evaluate partnership learning outcomes and to report any recommendations for further development to the Employee Partnership Forum.
- Encourage the sharing of good practice and learning from experience via the Employee and Local Partnership Forums.
PART 1
BASIC INFORMATION

<table>
<thead>
<tr>
<th>Directorate/Team/Function</th>
<th>Name: Employee Partnership Forum Members (including Chair of the Board and appointed Board members, SLT, Trade Union Representatives). Framework maintained by People and Organisational Development Directorate.</th>
</tr>
</thead>
<tbody>
<tr>
<td>E&amp;D Officer</td>
<td>Name: Elaine Gerrard</td>
</tr>
<tr>
<td>Title</td>
<td>SFRS Working Together Framework</td>
</tr>
<tr>
<td>Date Assessment Commenced</td>
<td>November 2013</td>
</tr>
</tbody>
</table>

The purpose of the following set of questions is to provide a summary of the function/policy.

**Briefly describe the aims, objectives and purpose of the function/policy**

- The SFRS Working Together Framework formally establishes the principles of partnership as the foundation for the relationship between the Board, the Strategic Leadership Team, Management, Employees and their Trade Unions. By partnership it is meant that the SFRS, its Management and the Trade Unions will work together in accordance with the principles of partnership as defined by the Trade Unions Congress.
- The Working Together Framework seeks to ensure the delivery of our Service within a flexible and responsive employee relations environment which is based on a shared belief that partnership will benefit both the SFRS and individual employees.
- Terms of Reference for the Employee Partnership Forum (As tabled to the Forum in November 2013): sets out the arrangements which enable the forum to support the efficient and effective progression of joint business and to discuss any relevant SFRS business, activity or initiative.

**Are there any associated objectives of the function/policy (please explain)?**

The Board and SFRS personnel operate in an environment conducive to good decision making.

**Does this function/policy link with any other function/policy? If Yes, please list and**

Police and Fire Reform Scotland Act
Fire and Rescue Framework
Strategic Plan
<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
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</thead>
<tbody>
<tr>
<td>describe relationship.</td>
<td>Annual Operating Plan</td>
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</table>
| Who is intended to benefit from the function/policy and in what way?    | SFRS Board – through clear processes for administering business in partnership with trade unions  
SFRS recognised Trade Unions  
All SFRS employee groups                                                                                                                                 |
| What outcomes are wanted from this function/policy?                     | Efficient and effective partnership working between the SFRS Board, the Strategic Leadership Team, Management, Employees and their Trade Unions.                                                                 |
| What factors/forces could contribute/detract from the outcomes?         | Detract – failure to ensure that the overall process of working in partnership is fully communicated to and understood by all relevant SFRS personnel.                                                      |
| Who are the main stakeholders in relation to the function/policy?       | Senior representatives from SFRS’s recognised Trade Unions.  
Chair of the SFRS Board and representatives from the Board.  
SFRS Chief Officer and Strategic Leadership Team                                                                                                                                 |
| Who implements the policy and who is responsible for the function/policy? | Senior representatives from SFRS’s recognised Trade Unions.  
Chair of the SFRS Board and representatives from the Board.  
SFRS Chief Officer and Strategic Leadership Team.  
Framework will be maintained by the People and Organisational Development Directorate. |
PART 2
ESTABLISHING RELEVANCE

- This section is designed to determine the relevance of the function/policy to equality.
- This section also fulfils our duty to consider the impact of our activities in relation to Human Rights.
- Initial screening will provide an audit trail of the justification for those functions not deemed relevant for equality impact assessment.
- Throughout the process the evidence and justification behind your decision is more important

Q1. The function/policy will or is likely to influence SFRs ability to....

    a) Eliminate discrimination, victimisation, harassment or other unlawful conduct that is prohibited under the Equality Act 2010 and/or;
    b) Advance equality of opportunity between people who share a characteristic and those who do not and/or;
    c) Foster good relations between people who share a relevant protected characteristic and those who do not.

Please tick as appropriate.

<table>
<thead>
<tr>
<th></th>
<th>Yes/ Potential</th>
<th>No</th>
<th>Don’t Know/Don’t Have Enough Evidence</th>
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<tbody>
<tr>
<td>Age</td>
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<td></td>
</tr>
<tr>
<td>Caring responsibilities</td>
<td>☒</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Disability</td>
<td>☒</td>
<td></td>
<td></td>
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<tr>
<td>Gender reassignment</td>
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<td></td>
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<tr>
<td>Marriage and civil partnership</td>
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<tr>
<td>(answer this only in relation to point a above)</td>
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<tr>
<td>Pregnancy and maternity</td>
<td>☒</td>
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<tr>
<td>Race</td>
<td>☒</td>
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<tr>
<td>Religion and belief</td>
<td>☒</td>
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<tr>
<td>Sex (gender)</td>
<td>☒</td>
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<tr>
<td>Sexual Orientation</td>
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<tr>
<td>Social and economic disadvantage</td>
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</tbody>
</table>

If you have selected ‘No’ for any or all of the characteristics above please provide supporting evidence or justification for your answers.

AND,

If you have identified any potential links to other functions/policies please comment on the relationship and relevance to equality.

SFRS’s recognised Trade Unions will generally have established their own standards for equality and fairness promotion. Combined with the SFRS’s commitment to develop and harmonise a Dignity and Integrity at Work policy by 1st April 2014, this will ensure that equality is promoted.
Q2. Is the function/policy relevant to the Human Rights Act 1998?

Yes ☒ No ☐ Don’t Know ☐

If you have selected ‘No’ please provide supporting evidence or justification for your answers

AND,

If you have identified any potential links to other functions/policies please comment on the relationship and relevance to Human Rights.

Concluding Part 2

<table>
<thead>
<tr>
<th>Outcome of Establishing Relevance</th>
<th>Please Tick</th>
<th>Next Steps</th>
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</thead>
<tbody>
<tr>
<td>There is no relevance to Equality or the Human Rights Act 1998</td>
<td>☐</td>
<td>Proceed to Part 4 Monitoring</td>
</tr>
<tr>
<td>There is relevance to some or all of the Equality characteristics and/or the Human Rights Act 1998</td>
<td>☒</td>
<td>Proceed to Part 3 Impact Assessment</td>
</tr>
<tr>
<td>It is unclear if there is relevance to some or all of the Equality characteristics and/or the Human Rights Act 1998</td>
<td>☐</td>
<td>Proceed to Part 3 Impact Assessment</td>
</tr>
</tbody>
</table>
PART 3
IMPACT ASSESSMENT

Describe and reference:
- relevant issues
- evidence gathered and used
- any relevant resolutions to problems
- assessment and analysis
- decision about implementation
- justification for decision
- potential issues that will require future review

<table>
<thead>
<tr>
<th>Characteristic</th>
<th></th>
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<tbody>
<tr>
<td><strong>Age</strong></td>
<td>The suite of documents covered by this assessment do not relate to the decisions made by the Board or SFRS personnel which may potentially impact on the grounds of age.</td>
<td>Relevance to age relates entirely to the accessibility of Partnership structure proceedings. Issues of accessibility are referenced in the Summary and Conclusion section below.</td>
</tr>
<tr>
<td></td>
<td>According to the Department for Business, Innovation and Skills (2012 Trade Union Membership Statistics), Trade Union members are increasingly older employees. Issues of accessibility and participation for all SFRS employees should be considered for those who do not hold membership of a Trade Union.</td>
<td></td>
</tr>
<tr>
<td><strong>Caring Responsibilities</strong></td>
<td>The suite of documents covered by this assessment do not relate to the decisions made by the Board or SFRS personnel which may potentially impact on the grounds of caring responsibilities.</td>
<td>Relevance to caring responsibilities relates entirely to the accessibility of Partnership structure proceedings. Issues of accessibility and other methods of participation are referenced in the Summary and Conclusion section below.</td>
</tr>
<tr>
<td></td>
<td>According to BIS, female employees are more likely to be a trade union member; however the SFRS workforce profile predominantly consists of male employees (86.9%). As a higher number of females tend to have primary caring responsibilities compared to males, this may therefore affect females’ ability to attend meetings.</td>
<td></td>
</tr>
<tr>
<td><strong>Disability</strong></td>
<td>The suite of documents covered by this assessment do not relate to the decisions made by the Board or SFRS personnel which may potentially impact on the grounds of disability.</td>
<td>Relevance to disability relates entirely to the accessibility of Partnership structure proceedings and materials. Issues of accessibility and other methods of participation are referenced in the Summary and Conclusion section below.</td>
</tr>
<tr>
<td>Topic</td>
<td>Details</td>
<td></td>
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<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>Gender reassignment</td>
<td>The suite of documents covered by this assessment do not relate to the decisions made by the Board or SFRS personnel which may potentially impact on the grounds of gender.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>As with Caring Responsibilities section above, issues of accessibility and other methods of participation are referenced in the Summary and Conclusion section below.</td>
<td></td>
</tr>
<tr>
<td>Marriage and Civil Partnership</td>
<td>The suite of documents covered by this assessment do not relate to the decisions made by the Board or SFRS personnel which may potentially impact on the grounds of marriage or civil partnership status.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>The requirement to disclose equal opportunities monitoring information which may feature in reports provided as a result of the partnership framework may require individuals to disclose their marital civil partnership status.</td>
<td></td>
</tr>
<tr>
<td>Pregnancy and maternity</td>
<td>The suite of documents covered by this assessment do not relate to the decisions made by the Board or SFRS personnel which may potentially impact on the grounds of pregnancy and maternity.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>As with caring responsibilities relevance to pregnancy and maternity relates entirely to the accessibility of Partnership structure proceedings. Issues of accessibility and other methods of participation are referenced in the Summary and Conclusion section below.</td>
<td></td>
</tr>
<tr>
<td>Race</td>
<td>The suite of documents covered by this assessment do not relate to the decisions made by the Board or SFRS personnel which may potentially impact on the grounds of race, ethnicity and/or nationality.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Relevance to ethnicity relates entirely to the accessibility of Partnership structure proceedings and materials. Issues of accessibility and other methods of participation are referenced in the Summary and Conclusion section below.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>The Summary and Conclusion section references the importance of broad interaction with stakeholder groups.</td>
<td></td>
</tr>
<tr>
<td>Religion and Belief</td>
<td>As with race comments above.</td>
<td></td>
</tr>
<tr>
<td>Sex (gender)</td>
<td>As with caring responsibilities and pregnancy and maternity comments above.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Whilst the SFRS does not currently hold gender split data for Trade Union membership, it is anticipated that given the current workforce profile of the SFRS, the majority of Trade union membership is predominantly male.</td>
<td></td>
</tr>
<tr>
<td>Sexual Orientation</td>
<td>The suite of documents covered by this assessment do not relate to the decisions made by the Board or SFRS personnel which may potentially impact on the grounds of sexual orientation.</td>
<td></td>
</tr>
</tbody>
</table>
The requirement to disclose equal opportunities monitoring information which may feature in reports provided as a result of the partnership framework may require individuals to disclose their sexual orientation.

Social and economic disadvantage
The suite of documents covered by this assessment do not relate to the decisions made by the Board or SFRS personnel which may potentially impact on the grounds of social or economic disadvantage.

Relevance to social or economic disadvantage relates entirely to the accessibility of Partnership structure proceedings and materials. Issues of accessibility and other methods of participation are referenced in the Summary and Conclusion section below.

The Summary and Conclusion section references the importance of broad interaction with stakeholder groups.

Human Rights
The suite of documents covered by this assessment do not relate to the decisions made by the Board or SFRS personnel which may potentially impact on the Human Rights.

Impact on People in General not covered by specific characteristics
The suite of documents covered by this assessment do not relate to the decisions made by the Board or SFRS personnel which may potentially impact on people.

Some people may be less able to attend Partnership structure meetings because of their geographic location. Issues of accessibility and other methods of participation are referenced in the Summary and Conclusion section below.

Summary and Conclusion of Impact Assessment
Under the partnership approach laid out within the SFRS Working Together Framework, the intention is to make use of the EIA process for all work related policy and practice.

There is limited relevance to equality and some, albeit limited, opportunity to make a positive impact in relation to the general equality duty across the protected characteristics as it relates to these governance and operating arrangements. It will be the proposals and recommendations submitted to the groups within the Partnership structure which makes use of these arrangements that will potentially be relevant to equality and human rights rather than the arrangements to be followed.

There are, nevertheless, some specific areas of activity where there is a direct relevance to equality arising from this suite of documents.

Relevant documents:
Issue: Accessibility of Partnership structure agendas, reports, papers and other communication (public)
Employee Partnership Forum papers are made available to the EPF members and may be further cascaded via the Trade Union representatives that attend the meetings. It is recognised that many SFRS employees do not hold Trade union membership. Although the Working Together Framework relates to ensuring that positive relationships with trade
unions and their members are developed, relevant communication, engagement and consultation (where appropriate) with all staff groups will be a key consideration of the Chair of the Board, SFRS Board members, the Chief Officer and the SLT.

The SFRS and Board have an ambition to provide materials in easy to understand language and format. It is, however, noted that the business of the groups within the Partnership structures may at times be complex and will not lend itself to simplification without loss of meaning. The Board and the SFRS recognise the importance of focusing on key and significant messages and will aim to ensure that documents related to the partnership structures will be clear and transparent.

Employee Partnership Forums are currently scheduled to take place on Thursday afternoons in SFRS Interim HQ (Perth Fire Station). The dates do not conflict with known religious observance days and as such the timing of meetings does not pose a barrier to attendance. It is unlikely that the scheduling of meetings will bring the date of meeting into conflict with significant religious festivals. Nevertheless, a schedule to prevent repeated conflict of dates affecting any particular faith group will be maintained. The geographical location of the meeting may change once a new HQ facility has been established. Until then, it is difficult to anticipate potential issues with accessibility arrangements.

<table>
<thead>
<tr>
<th>Impact Assessment</th>
<th>Please Tick</th>
<th>Next Steps</th>
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<tbody>
<tr>
<td>There is no relevance to Equality or the Human Rights Act 1998</td>
<td>☐</td>
<td>Proceed to Part 4 Monitoring</td>
</tr>
<tr>
<td>There is relevance to some or all of the Equality characteristics and/or the Human Rights Act 1998 and relevant actions are recorded above in Summary and Conclusion</td>
<td>☒</td>
<td>Proceed to Part 4 Monitoring</td>
</tr>
</tbody>
</table>
PART 4
MONITORING & REVIEW

- The purpose of this section is to show how you will monitor the impact of the function/policy.
- The reason for monitoring is to determine if the actual impact of the function/policy is the same as the expected and intended impact.
- A statement on monitoring is required for all functions/policies regardless of whether there is any relevance to Equality or the Human Rights Act.
- The extent of your answer will depend upon the scope of the function/policy to impact on Equality and Human Rights issues.

If you have provided evidence or justification for believing there is no relevance to Equality or the Human Rights Act in Section 2 Establishing Relevance or Section 3 Impact Assessment:

Q1 How do you intend to monitor and review the function/policy?

If you have provided evidence or justification for believing there is relevance to Equality or the Human Rights Act:

Q2 What will be monitored?

The POD directorate will review the processes for administering Partnership structure business during each Employee Partnership Forum. In addition, the framework will run as a pilot for a period of 12 months. During this time, the SFRS will:

1. Assess that the potential for promotion of members’ interests via the Trade Unions does not come into conflict with the rights of protected characteristics.
2. Review accessibility and suitability of meeting venues (access and catering provisions).
3. Review and accommodate requests for alternate formats of written information on grounds of disability and language.

The purpose of the monitoring is to:
- Identify trends and patterns of requests made and action taken relating to disability access and non-English language provision.
- Illustrate the steps taken by the SFRS to ensure that all SFRS employee groups.

This will mean that the processes for monitoring will themselves be reviewed and refined over time.

Q3 How will monitoring take place?

1. Log requests for alternate formats and action taken.
3. Log requests for assistance at Partnership structure meetings and action taken.
4. Log any requests for attendance at meetings and/or note any issues arising during proceedings relating to equality.
5. Log the range of stakeholder/community groups involved in the ancillary activities taking place alongside Partnership structure meetings.
6. Compliment, comment and feedback on Partnership proceedings

This range of measures may be refined where it is determined that there is no on-going need to capture this information.

Q4 What is the frequency of monitoring?

The POD directorate will review the processes for administering Partnership structure business during each Employee Partnership Forum. As the framework will run as a pilot for a period of 12 months, monitoring information will be provided at the end of this period.

Q5 How will monitoring information be used?

The information will be used to:

- Demonstrate the measures involved in ensuring the Partnership structures actively pursue a policy of openness, transparency and accountability
- To inform Partnership structures and proceedings to ensure that people are enabled to participate and that processes are accessible
PART 5
APPROVAL

This Equality and Human Rights Impact Assessment was completed by:

<table>
<thead>
<tr>
<th>Name</th>
<th>Fiona McOmish</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date</td>
<td>14 November 2013</td>
</tr>
</tbody>
</table>

This Equality and Human Rights Impact Assessment was approved by:

<table>
<thead>
<tr>
<th>Name</th>
<th>Elaine Gerrard</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date</td>
<td>15 November 2013</td>
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</tbody>
</table>
Dear Pat

**SFRS MID-YEAR PERFORMANCE REVIEW 2013**

Thank you for providing detailed performance information on the progress made by the Scottish Fire and Rescue Service (SFRS) since its creation on 1 April 2013 and for coming in with the Chief and Deputy Chief Officers for the mid-year performance discussion on Tuesday 5 November.

As you are aware the formal annual review of SFRS's first year will be held in public in June 2014. The purpose of this Mid-Year Review was both to help prepare for that, but also to jointly consider the first six months to gauge whether the Service is on course to deliver Scottish Ministers’ priorities by the end of the year. I am most grateful for the open and constructive approach the Service has adopted in making this a joint endeavour.

We began by acknowledging the impressive start to the SFRS and the enormous amount of work already done, which shows considerable progress in the Service over the last six months. This is particularly impressive given the additional challenges you faced operationally in the spate of wildfires across the country which occurred in the Service’s first few weeks, as well as with the pension dispute, threat of industrial action, and the business continuity planning that this entailed. It was never envisaged that fire and rescue reform could be done overnight, and we acknowledge the challenges of balancing reform, merger and improvement whilst maintaining the same high levels of protection and response, and it is to the Service’s credit that the progress achieved thus far has been without any negative impact on day-to-day operations.

I have set out the main points from our meeting below.
Key Performance Targets

Only data from the first quarter was available at the time of our discussion, and that showed a slight negative movement on many of the key targets. You said that this was not a cause for concern, and that it partly reflected the process of pulling together the information: you were confident that the targets would be met at the year end. The second quarter’s information would be available for the next Board meeting, which would allow a more accurate assessment of progress. Nevertheless, indicators such as attacks on firefighters are worthy of careful consideration, in particular given the subsequent incidents on Bonfire Night.

The first quarterly Performance Report was, understandably, a work in progress and we would be keen to discuss some of the technical aspects with your performance team in the near future. As I mentioned, for the version to be made public at the year end, we would expect to see more differentiation between the 6 key targets set in the Framework and the other performance indicators, with more detailed supporting narrative setting out how the Service’s activities are driving improvement against the targets.

You were confident that the Board was developing the right material to enable it to hold the Service to account for delivery against the targets and indicators. You advised me that the Planning and Performance Management Framework has been submitted to the SLT for comment, following which there will be a Board Development Day to consider its views before the formal agreement at the Board meeting in January. We would welcome an opportunity to feed into the draft PPM Framework while it is still in development to feed in our experience of other public bodies.

I was particularly interested to hear the Chief Officer set out his vision for allowing and encouraging local variation in target-setting within a national performance framework: the SFRS will look at how services in each local authority area contribute to national targets, and set local “floor” targets based on that, ensuring that local senior officers have the resources to meet their targets. But each locality will have sufficient resources beyond those necessary for achieving the floor to allocate to meet local priorities of their choice. The flexibility this provides will allow local innovation and this local empowerment is to be welcomed, as is the commitment to assess effectiveness to allow promising initiatives to be replicated elsewhere. The tension between national and local priority setting has, as you know, prompted much discussion and debate throughout the reform process and it is very positive to see SFRS getting to grips with this issue.

Implementing the Fire Framework

The Service submitted a draft paper charting progress against the 58 priorities set out by Scottish Ministers in the Fire Framework for Scotland 2013. Again, this was clearly an early draft, but it will prove a useful input to the public performance assessment at the year end, particularly for reporting to the Parliament given the Framework’s statutory basis. We would be happy to work with you on the presentation and drafting nearer the time to make sure this meets the requirements of the different audiences.

We discussed whether the Framework articulated clearly enough that working together through community planning partnerships and single outcome agreements does not only refer to SFRS working with the other emergency services, but also with all organisations funded by public money. As you know, the Fire Framework was developed in partnership with key stakeholders, including COSLA, and includes clear expectations on the role that SFRS should play in community planning in order to deliver on the Statement of Ambition.
We were grateful to the local authorities and Community planning partnerships who provided feedback during the consultation and adjusted the Framework to strengthen references both to partnership working and the role that SFRS must play through CPPs in delivering against SOAs.

In this context, it is very fortunate that in addition to your role as SFRS chair, you also lead the National Group on Community Planning and this will be of enormous benefit to the SFRS as it prepares to deliver against the Agreement on Joint Resourcing and take on strengthened community planning duties under the Community Empowerment Bill. Your leadership through this wider reform process will be vital.

We were glad to hear the emphasis the SFRS intends to give to building those wider partnerships, and look forward to hearing of further progress at the year end.

*Protecting the front line*

We considered the three budget papers alongside this element of the Framework. Clearly the Service has already taken a number of difficult decisions and faces many more in order to deliver the significant savings expected from the reform process, alongside the efficiencies required across the public sector given the financial situation. I was reassured to hear that you remain confident the Service will manage within the budget set for the year, and for the emphasis you gave to learning the lessons from previous mergers set out, for example, in the relevant Audit Scotland reports.

We also discussed the difficulties the Service is currently facing with regard to the recruitment and retention of procurement staff in the current, very favourable labour market: this is an issue on which we will need to keep in touch over the coming months.

*Creating more equal access*

I was encouraged to hear that there has been progress made on creating more equal access to specialist services across Scotland. Of course, having a single Service automatically means that all antecedent fire and rescue service resources are now available nationally, but it was helpful to hear that control rooms are now beginning to push information on available resources to incident commanders whereas previously it was the responsibility of the commanders to seek that information. I understand that a detailed report on specialist rescue assets and their geographical locations will be sent to the Board for discussion soon.

We discussed the challenges set in the Framework for the Service to develop a clear role as a champion of specialist rescue, including clarifying in public the parameters of operational functions. We accept that this is an complex area where time taken to get things right is likely to be beneficial, and are aware much valuable work is being done behind the scenes – but given the links, for example, to the recommendations of HMI’s Inquiry into the 2008 Galston Mine Incident, it will be important to show more public progress on this front by the year end: including, for example, publishing the Memoranda of Understanding (MoU) you are developing with other emergency responders.

*Strengthening the connections*

It was good to hear that Local Senior Officers (LSO) are being empowered to use significant discretion in their work in partnerships at local level. It will be interesting to know what they have been involved in, and we discussed how the Board would determine how effective local partnership working has been as we move forward. I agree that it would be useful to
determine some kind of baseline to measure improvement, and I am encouraged to hear that initial, informal, feedback from the local level is very positive. I look forward to hearing the outcome of your consideration of how best to formalise that feedback.

We discussed briefly my impression that MSPs and other elected representatives have been slow to take up the opportunity to engage with their LSOs in spite of the significant steps we and the Service have taken to highlight the central importance they play at the local level. It may be that recent events have helped raise their profile, but we should come back to consider this again at the end year review.

**Strategic Leadership Team (SLT)**

We discussed the remit of the SLT, and the amount of work it has been dealing with. It was encouraging to hear that the wealth of experience and skills on the Board has been of assistance to the SLT in what has already been achieved. You had deliberately chosen to start with a small senior team, and expand it if necessary – and you advised me that you will be reviewing the distribution of roles and responsibilities in the SLT in the coming months to see if and where the team might need to be strengthened. I would be grateful to be updated of any progress made in that area in due course.

**The Role of the SFRS Board**

The SFRS Board was appointed in November 2012, and the SLT soon after that. I am aware that at the same time as building the relationship between the two, both were working towards setting up the SFRS, integrating the 8 antecedent services, and creating governance and management structures. Given this level of activity, the relationship between the Board and the Service is necessarily a developing one, but I am impressed with the determination of both to work together constructively and to discharge their respective responsibilities as set out in the Governance and Accountability Framework.

There will always be a degree of fluidity in the boundary between the roles of the Board and the Service, and this should become easier to manage as SFRS moves from its infancy into a more established body. It was encouraging to hear that the Board now appears to be settling into its way of working. We understand that the Board will be working with the Chartered Institute of Public Finance and Accountancy (CIPFA) on a number of issues, including performance management.

We discussed the expectations on the Board to be fully transparent and accountable, and what more could be done to promote public engagement with the Board and its subcommittees. It is good to see the Board now moving its meetings around the country, and you set out plans to build related events in localities around those formal board meetings.

We also discussed the subject of Board Development Days, and I was pleased to hear that the Board is proactively addressing its own development. Development sessions are a useful tool to help Boards develop common purpose, cohesiveness and a shared understanding but I was reassured to hear that they do not impact on robust discussions during formal Board meetings. As it considers its future programme of formal meetings and development sessions, I would invite the Board to reflect on how best to strike a balance between the two.

Finally, the Act allows for an increase in the current number of Board members if you felt there were any additional strengths and experience that needed to be added. At this stage,
you felt the Board was working well and had the capability it required. We can look again at this at the year end.

**Corporate Expectations**

We discussed the report you had provided showing the Service’s progress against the nine “corporate expectations” agreed by all Scotland’s public bodies. We felt there was more the Service could say to demonstrate its record this year, for example, in relation to youth employment. You agreed and talked us through your plans on, amongst other things, modern apprenticeships.

We discussed the lack of 18 – 24 year olds in the Service, and I was encouraged to hear that this is an issue you are mindful of as SFRS moves towards its first external recruitment exercise, which will be put before the Board for approval some time this month. We also discussed the difficulties in attracting volunteers from this age group, and I look forward to hearing about developments on this front at the year end.

**Engagement with Scottish Government**

Finally I was delighted to hear from both yourself and the Chief that you are happy your relationship with Scottish Government is a comfortable and productive one, and I am equally happy to say the same from our side. One element we would like the Service to work on is our ability to communicate with SFRS staff who are not on the SLT, and who often have the information we require without disturbing the Chief or his assistants. We discussed that this apparent reluctance to talk to us comes from cultural issues of which you are already aware and intend to address, and we hope that we can start to build solid lines of communication between your staff and mine as soon as possible. I am happy to facilitate this in any way I can.

**Conclusion**

I hope you found this in-year review useful in shaping your thinking about the performance challenge for the rest of the year - I am grateful for your open input at the meeting. It is quite evident that the Service has done an enormous amount of work, and significantly more than was recorded in the suite of documents provided. For the year end, it will be important that this information is captured in order that, in holding the Service publicly to account for any areas of concern, the Service also gets the credit it deserves in what has been an immensely challenging period of change.

Looking ahead, I look forward to building on the positive and productive relationship we have established, as well as seeing the positive and innovative changes SFRS intends to make to the provision of fire and rescue services as it works in partnership with local and national organisations to improve protection for communities across Scotland.

Yours sincerely

Richard Dennis
Head of Fire and Rescue Division
1 PURPOSE
1.1 The purpose of this report is to advise the Board of the resource budget position for the period ending 31st October 2013.

2 RECOMMENDATIONS
2.1 The Board is asked to approve the following recommendation:

a) That the resource budget position for the period ending 31st October 2013 be noted.

3 BACKGROUND
3.1 This report forms part of the regular financial monitoring process.

4 CURRENT POSITION
4.1 A summary of the consolidated financial position at this stage in the financial year is attached at Appendix A which details the current underspend against budget of £0.696 million.

4.2 Appendix B provides an explanation of the current significant variances relative to budget. The only material variances to report at this stage relate to employee costs.

5 FORECAST
5.1 Based on current trends and projected future activity, it is now forecast that there will be an underspend against budget of £1.063 million, as detailed in Appendix A.

6 FINANCIAL IMPLICATIONS
6.1 The financial implications are outlined within the report.

7 EMPLOYEE IMPLICATIONS
7.1 There are no employee implications directly associated with this report.

ALASDAIR HAY
CHIEF OFFICER
20 November 2013
## Resource Budgetary Control Report 2013/14

### Period 7
1 APRIL 2013 - 31 OCTOBER 2013

<table>
<thead>
<tr>
<th>Original Budget</th>
<th>Virements</th>
<th>Identified Savings</th>
<th>Revised Annual Budget</th>
<th>Narrative</th>
<th>Year to Date</th>
<th>Year-End Projection</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1)</td>
<td>(2)</td>
<td>(3)</td>
<td>(1)+(2)+(3)</td>
<td>(4)</td>
<td>(5)</td>
<td>(6)</td>
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<tr>
<td>216,952</td>
<td>(2,081)</td>
<td>(1,967)</td>
<td>212,904</td>
<td>Employee Costs</td>
<td>122,582</td>
<td>(633)</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- Wholetime</td>
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<td></td>
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<td></td>
<td></td>
<td>- Control</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>- Retained</td>
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<td></td>
<td></td>
<td></td>
<td>- Support</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>- Ill Health Early Retirement Charges</td>
<td>1,750</td>
<td>17</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>- Training</td>
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<td>(423)</td>
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<td></td>
<td></td>
<td></td>
<td>- Subsistence</td>
<td>690</td>
<td>(227)</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- Other</td>
<td>273</td>
<td>(64)</td>
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<tr>
<td>21,502</td>
<td>(440)</td>
<td>(166)</td>
<td>20,896</td>
<td>Property Costs</td>
<td>15,557</td>
<td>(1,815)</td>
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<td>21,316</td>
<td>(4,954)</td>
<td>(1,075)</td>
<td>15,287</td>
<td>Supplies &amp; Services</td>
<td>9,093</td>
<td>63</td>
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<tr>
<td>9,451</td>
<td>706</td>
<td>(160)</td>
<td>9,997</td>
<td>Transport Costs</td>
<td>6,095</td>
<td>(682)</td>
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<td>3,162</td>
<td>171</td>
<td>(57)</td>
<td>3,276</td>
<td>Third Party Payments/Council Charges</td>
<td>1,817</td>
<td>(632)</td>
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<tr>
<td>11,050</td>
<td>(1)</td>
<td>-</td>
<td>11,049</td>
<td>Financing</td>
<td>-</td>
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<tr>
<td>(4,314)</td>
<td>889</td>
<td>3,425</td>
<td>- Unallocated Savings</td>
<td>-</td>
<td>0</td>
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<table>
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<th>(7)</th>
<th>(8)</th>
<th>(9)</th>
<th>(10)</th>
<th>(11)</th>
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</thead>
<tbody>
<tr>
<td>279,119</td>
<td>(5,710)</td>
<td>-</td>
<td>273,409</td>
<td>GROSS EXPENDITURE</td>
</tr>
</tbody>
</table>

| 1,881 | 1,199 | - | (682) | Income | (311) | 20 | (291) | (291) | - | (291) |

| 277,238 | (4,511) | - | 272,727 | NET EXPENDITURE |

| 155,144 | (1,614) | 153,530 | 152,711 | 123 | 152,834 | 696 | 1,063 |

| 154,833 | (1,594) | 153,239 | 152,420 | 123 | 152,543 | 696 | 1,063 |
INTRODUCTION
The attached report covers the period 1st April 2013 – 31st October 2013 (58% of the financial year) and highlights a year to date underspend of £0.696 million and a forecast underspend of £1.063 million.

1 COMMENTS ON YEAR TO DATE VARIANCES

1.1 EMPLOYEE COSTS

<table>
<thead>
<tr>
<th></th>
<th>£000</th>
</tr>
</thead>
<tbody>
<tr>
<td>656 UNDER</td>
<td></td>
</tr>
</tbody>
</table>

(a) Wholetime Firefighters 209 UNDER

The underspend on this budget is a result of the following:

- Wholetime firefighters operating with fewer posts than budget (£1,300,000). This is partially offset by the reduction in annual budget of £917,000 (£534,000 for the first seven months) as part of the exercise to deliver unallocated savings. The net effect being year to date savings of £766,000

- Income in respect of additional officers seconded to organisations outside of the Scottish Fire and Rescue Service has resulted in further savings of £188,000

- A delay in the introduction of the Flexi Duty Management Structure by one month resulted in additional costs of £75,000

- Higher than budgeted overtime costs as a result of personnel covering for vacancies, compounded by the fact that the 2013 roster reserve for those stations operating with a five group duty system is now exhausted, has resulted in additional costs of (£670,000).
(b) Control Firefighters

Control costs are £33,000 higher than budget which reflects the current level of acting up within this area combined with additional fixed term contract staff being recruited.

(c) Retained / Volunteer Firefighters

Retained staff costs within the Highlands area continues to account for an overspend in the first seven months of £83,000, with a further overspend of £62,000 being incurred in respect of additional training for retained staff across the Service. This overspend is offset by net savings of £145,000 across the remainder of the service with the net position year to date being a minimal overspend of only £2,000. The change in the year to date position from last month reflects the unpredictable spend pattern associated with the retained workforce.

(d) Support

The underspend on this budget is a result of there being almost 100 fewer support staff in post compared to budget.

(e) Other Employee Costs

The overspend on this budget is a result of there being higher than budgeted agency staff costs of £113,000 offset by reduced costs associated with interviews and janitorial services. The overspend in respect of agency staff costs is a direct result of the need to provide cover for support staff vacancies.

1.2 PROPERTY COSTS

This budget is underspent as a result of the bulk discount secured from the water provider.
2. COMMENTS ON FULL YEAR FORECAST VARIANCES

2.1 EMPLOYEE COSTS

(a) Wholetime Firefighters  
353 UNDER

The forecast full year underspend on this budget reflects the current level of staffing offset by the increased overtime costs required to cover vacancies and support the five group duty system roster. The intake of new firefighters has been factored into the forecast along with the introduction of the Flexi Duty Management Structure.

(b) Control Firefighters  
130 OVER

The forecast full year overspend for Control staff is in line with the year to date overspend of £33,000. This reflects the recruitment of control staff and the acting up of existing staff.

(c) Support  
1,000 UNDER

The forecast full year underspend for support staff reflects the current high levels of vacancies offset by some additional costs associated with the recruitment of specialist staff.

(d) Other Employee Costs  
200 OVER

The forecast full year overspend on this budget continues to reflect the need to provide on-going agency staff cover for support staff vacancies.

2.2 PROPERTY COSTS

40 UNDER

The full year forecast for this budget reflects the bulk discount secured from the water provider.
Report to: SCOTTISH FIRE AND RESCUE BOARD
Report Number: B/FCS/17-13
Date: 28 NOVEMBER 2013
Report By: CHIEF OFFICER ALASDAIR HAY

Subject: CAPITAL MONITORING REPORT 2013/14 – OCTOBER 2013

1 PURPOSE
1.1 The purpose of this report is to advise members of actual and committed expenditure against the 2013/14 capital budget for the period ending 31st October 2013.

2 RECOMMENDATIONS
2.1 Members are asked to approve the following recommendations:
   a) That the level of actual and committed expenditure for the period ended 31st October 2013 be noted.

3 EXPENDITURE

<table>
<thead>
<tr>
<th>Category</th>
<th>Budget £000</th>
<th>Committed £000</th>
<th>Actual £000</th>
<th>Total £000</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Property – New Build</td>
<td>2,381</td>
<td>1,095</td>
<td>1,025</td>
<td>2,120</td>
<td>89.0</td>
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<tr>
<td>Property Refurbishment</td>
<td>1,200</td>
<td>47</td>
<td>-</td>
<td>47</td>
<td>3.9</td>
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<tr>
<td>Property – Minor Works</td>
<td>4,662</td>
<td>2,633</td>
<td>266</td>
<td>2,899</td>
<td>62.2</td>
</tr>
<tr>
<td>Vehicles</td>
<td>7,325</td>
<td>7,258</td>
<td>31</td>
<td>7,288</td>
<td>99.5</td>
</tr>
<tr>
<td>ICT/Communications</td>
<td>1,267</td>
<td>98</td>
<td>103</td>
<td>201</td>
<td>15.9</td>
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<tr>
<td>Operational Equipment</td>
<td>1,125</td>
<td>60</td>
<td>95</td>
<td>155</td>
<td>13.8</td>
</tr>
<tr>
<td>TOTAL EXPENDITURE</td>
<td>17,960</td>
<td>11,191</td>
<td>1,520</td>
<td>12,711</td>
<td>70.8</td>
</tr>
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</table>
**4 FUNDING £000**

<table>
<thead>
<tr>
<th>Funding Source</th>
<th>Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capital DEL</td>
<td>15,300</td>
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<tr>
<td>Capital Grant c/f</td>
<td>2,660</td>
</tr>
<tr>
<td><strong>TOTAL FUNDING</strong></td>
<td>17,960</td>
</tr>
</tbody>
</table>

**5 PROGRESS DURING THE MONTH**

5.1 Professional services have been appointed and site investigations are progressing for the carbonaceous units at Dundee Airport. The project is now programmed for commencement on site in January, due to issues with obtaining power supply to a remote area of the site.

5.2 Work at the Technical Rescue Zone site at Clydesmill Training Centre is continuing to progress well. The training silo was removed from Hamilton during the month and has been installed on site. The sewer, wilderness rescue, trench, animal rescue and urban search and rescue areas are all 80% complete now and the confined space containers are under construction.

5.3 The 16 rescue pump chassis due for full bodybuild completion by the end of the financial year were delivered to the bodybuilder in October and work is progressing well.

5.4 The £1.2million budget for Property – Refurbishment has now been allocated and programmed for completion by 31 March 2014, primarily to deliver improvements to Newbridge and Inverness Asset Resource Centres and to develop accommodation at Inverurie Fire Station to accommodate the LSO.

**6 PROGRESS ANTICIPATED NEXT MONTH**

6.1 All projects are expected to continue as planned over the next month.

**7 FORECAST**

7.1 Appendix A provides a breakdown of the current forecast profile for the full financial year.

7.2 It is expected that the forecast will be in line with budget and will fully spend out.
8 FINANCIAL IMPLICATIONS
8.1 The financial implications are outlined within the report.

9 EMPLOYEE IMPLICATIONS
9.1 There are no employee implications directly associated with this report.

ALASDAIR HAY
Chief Officer

15 November 2013
Scottish Fire & Rescue Service

Capital Forecast – October 2013

<table>
<thead>
<tr>
<th>Category</th>
<th>Budget</th>
<th>Actual</th>
<th>Forecast</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Apr-Oct</td>
<td>Nov</td>
<td>Dec</td>
</tr>
<tr>
<td></td>
<td>£000</td>
<td>£000</td>
<td>£000</td>
</tr>
<tr>
<td>Property-New Build</td>
<td>2,381</td>
<td>1,025</td>
<td>676</td>
</tr>
<tr>
<td>Property-Refurbishment</td>
<td>1,200</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Property-Minor Works</td>
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<td>266</td>
<td>445</td>
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<td>Vehicles</td>
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<td>ICT/Communications</td>
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<td>84</td>
</tr>
<tr>
<td>Operational Equipment</td>
<td>1,125</td>
<td>95</td>
<td>156</td>
</tr>
<tr>
<td>TOTAL EXPENDITURE</td>
<td>17,960</td>
<td>1,520</td>
<td>5,111</td>
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