

Report of Head of Finance & Administration

21st February 2020

INFORMATION GOVERNANCE GROUP UPDATE REPORT

1.0 Purpose of Report

- 1.1 To provide an update from the Information Governance Group.

2.0 Background

- 2.1 The Information Governance Group (IGG) provides corporate assurance that the risks surrounding information, data and associated systems are managed appropriately. Where necessary IGG acts as a project or programme board for the implementation of information management or data management systems. IGG last met on 2nd December 2019. Information governance issues will, in the future, be taken through the Tactical Leadership Team under the new Fire Service governance arrangements commencing in April 2020.
- 2.2 At the December meeting of CMB, it was agreed that Performance Indicators would also be reported to the Fire Audit Committee and this report will be taken to the next meeting of FAC in March.

3.0 Performance Indicators

- 3.1 The performance indicators reported by the CAO are as follows:
- Service Documents out of date
 - Referrals to Information Commissioner's Office
 - Breaches of Data Protection, Freedom of Information or Information Security
 - Compliance against ICO Model Publication Scheme
 - Compliance against The Local Government Transparency Code 2015
 - Compliance against FOI, IRS, DP Complaints, Control Call Recordings
- 3.2 Details of those service documents which were out of date as at 1st February 2020 are set out overleaf, followed by a further table showing the breakdown of the document types.

Key points:

- a) There are currently 146 (10%) documents out of date, a decrease of 17 from last month. The number out of date has fallen from 177 since the last report to CMB in December.
- b) Comments from Function Heads as to the reasons for out of date documents by Function or Section are shown below:

Head of Finance & Administration

Function - The Whistleblowing policy requires updating in line with the recently reviewed draft Anti-Fraud and Corruption policy.

Section - Finance. Only one document remains out of date at the time of writing that being the Anti-Fraud and Corruption policy remains in draft whilst the Whistleblowing policy is reviewed.

Head of Professional Standards

Section - HR - 3 remain out of date at the time of writing. 1 has been updated and awaiting consultation. The remaining 2 will be reviewed as soon as possible.

Section - Pensions - refers to the FPS discretions document, currently in consultation phase.

Head of Risk Management

The Risk Management documents are under review and one is awaiting consultation with a rep body.

The Info and Intelligence documents are awaiting capacity within the section to review the two documents.

Head of Technical Services

Section - Supplies - There has been some progress in that some documents have been reviewed and are now awaiting approval (approx. 15 docs of the 108), work is continuing to try to get these all reviewed, but the lack of staff is hampering this as priority is being given to the movement of equipment etc. The recruitment of staff is underway. Two offers have been made (awaiting vetting completion and notice periods) and one post will be using agency staff in the short term following advice from HR about timings of recruitment linked to an ill health retirement. Some interviews have been undertaken for this third post, but no offer made as yet.

IGG - 2 documents remain out of date at the time of writing. Both relate to RIPA/Surveillance procedures and are currently being reviewed by Veritau.

3.3 Service Documents out of date as at 1st February 2020

	1st February						
Document Owner	04/02/2019		08/01/2020	01/02/2020			Year Change (Out of date)
	Out of Date	Current Total Docs	Out of Date Last Month	Out of Date	Current Total Docs	% Out of Date	
Function – Finance & Administration	0	1	1	1	1	100%	1
Function - Professional Standards	0	13	1	2	15	13%	2
Function – Risk Management	2	20	1	2	20	10%	0
Function - Service Delivery	0	1	1	1	1	100%	1
Function - Service Development	0	1	1	1	1	100%	1
Function - Technical Services	0	1	0	0	2	0%	0
Section - CAO	1	26	6	0	26	0%	-1
Section - Comms and Media	0	11	0	0	12	0%	0
Section - Control	1	12	3	3	12	25%	2
Section - Estates	3	11	1	1	12	8%	-2
Section - Finance	3	12	1	1	11	9%	-2
Section - Health & Safety	0	87	0	0	83	0%	0
Section - Info and Intelligence	0	2	1	1	2	50%	1
Section - ITSS	2	16	0	1	15	7%	-1
Section - Occupational Health	0	16	0	0	13	0%	0
Section - Operational Assurance	1	8	0	0	8	0%	-1
Section - Payroll	0	8	0	0	8	0%	0
Section - Pensions	0	1	1	1	1	100%	1
Section – Human Resources	2	40	4	5	39	13%	3
Section - Prevention and Protection	18	107	20	4	112	4%	-14
Section - Response and Resilience	14	423	14	14	426	3%	0
Section - Staff Risk	0	1	0	0	2	0%	0
Section – Supplies	12	108	103	103	108	95%	91
Section - Training Delivery	0	39	1	1	38	3%	1
Section – Transport & Logistics	0	488	0	0	539	0%	0
Governance Group – IGG	3	4	3	4	4	100%	1
Governance Group – RMG	0	1	0	0	1	0%	0
Total	62	1459	163	146	1512	10%	84

Out of Date Documents by Document Type

Section	Strategy	Policy	SOP	SEOP	Activity RA and SOP	Equipment RA and SOP	Combined RA-SEOP	Risk Assessment	CoSHH Risk Assessment	Other Guidance Notes	Total
Function - Finance & Administration		1									1
Function - Professional Standards	1	1									2
Function - Risk Management		1	1								2
Function - Service Development		1									1
Function - Service Delivery		1									1
Section - CAO			1								1

Section - Control		2						1			3
Section - Estates			1								1
Section - Finance		1									1
Section - Human Resources		1	4								5
Section - Information and Intelligence		1									1
Section - ITSS								1			1
Section - Pensions		1									1
Section - Prevention and Protection	1		3								4
Section - Response and Resilience		2	1		5	2	1	2		1	14
Section - Supplies			1	1					101		103
Section - Training Delivery		1									1
Governance Group - IGG		2	1								3
Total	2	16	13	1	5	2	1	4	101	1	146

3.3 Referrals to Information Commissioner's Office

Nil return.

3.4 Breaches of Data Protection, Freedom of Information or Information Security

None to report.

3.5 Compliance with Model Publication Scheme as at 1st February 2020

Number of elements monitored	41
Type of Compliance	
Non-compliant	0
Partial compliance	2
Compliant	39

Area of non-compliance	Notes
Facts and analyses of facts used for decision making.	PARTIAL Reports that go to CMB and other senior meetings are not published (CMB minutes are published). Previously discussed at IGG and agreed to leave as partially non-compliant.
<u>Asset lists and information asset register</u>	PARTIAL The Asset list does not include technical information (such as the UPRN number, eastings and northings) for some sites. The Service do not publish an Information Asset Register, but this has previously been discussed at IGG and agreed to leave as partially non-compliant.

3.6 Compliance with the Publication of Payment Performance Statistics

From March 2016 the Account and Audit Regulations 2015 requires local authorities to publish data demonstrating compliance with the obligation to pay invoices within 30 days. This data should be published at the end of each financial year.

We are currently compliant with this requirement.

3.7 Compliance with the Local Government Transparency Code 2015

Part 2 of the Transparency Code is now required. Please see below table for compliance.

Number of elements monitored	14
Type of Compliance	
Non-compliant	0
Partially compliant	2
Compliant	12

Area of non-compliance	Notes
Procurement Information - Tenders	PARTIAL - The Service does not hold a rolling .csv file of tenders' past and present. Head of Technical Services has been tasked with looking at a process for keeping this info up to date. In addition, the Service do not publish all tenders are being published on its website. Work is in progress with North Yorkshire Police regarding collaboration on tendering and procurement systems.
Asset lists and information asset register	PARTIAL - The Asset list does not include technical information (such as the UPRN number, eastings and northings) for some sites. The Service do not publish an Information Asset Register, but this has previously been discussed at IGG and agreed to leave as partially non-compliant.

3.8 Freedom of Information Requests

FOI Performance Summary						
	Requests Received	In Time	Pending	%age In Time or pending	Late	%age Late
2018/19	237	237	0	100.0%	0	0.0%
Apr-19	8	8	0	100.0%	0	0.0%
May-19	12	12	0	100.0%	0	0.0%
Jun-19	7	7	0	100.0%	0	0.0%
1st Quarter 2019/20	27	27	0	100.0%	0	0.0%
Jul-19	6	6	0	100.0%	0	0.0%
Aug-19	14	14	0	100.0%	0	0.0%
Sep-19	12	11	0	91.7%	1	8.3%
2nd Quarter 2019/20	32	31	0	96.9%	1	3.1%
Oct-19	12	11	0	91.7%	1	8.3%
Nov-19	11	11	0	100.0%	0	0.0%
Dec-19	5	5	0	100.0%	0	0.0%
3rd Quarter 2019/20	28	27	0	96.4%	1	3.6%
Jan-20	14	6	8	100.0%	0	0.0%
4th Quarter 2019/20	14	6	8	100.0%	0	0.0%
2019/20 To Date	101	91	8	98.1%	2	1.9%

Note: As soon as an FOI becomes overdue it is reported as late even if it hasn't been finalised.

A breakdown of the types of FOI requests we have received since 1st April 2019 follows; please note the number may exceed the number of requests received in the table above, due to some requests requesting multiple types of information:

FOI Type	Frequency
Financial info (non-staff)	10
H&S info (inc. sick)	4
Incident statistics	18
ITSS systems	8
Legislative fire safety	5
Operational assets, equipment & fleet	19
Other assets	4
Pay & benefits	1
Staff resourcing	10
Other	22
TOTAL	101

Late Freedom of Information Responses

There have been two late Freedom of Information responses in the 2019/20 period (Joanne to provide reasons:

- September 2019 - FOI 2184 relating to the year, make, model and cost to procure fire engines in the service. The initial information provided was not complete and was referred to Finance to check accuracy prior to sending.
- October 2019 - FOI 2206 relating to evacuation plans for high rise buildings. The initial responses received required review at CMB level prior to sending.

3.9 Incident Report Summary/Fire Investigation Report Request Responses

IRS Performance Summary						
	Requests Received	In Time	Pending	%age In Time or pending	Late	%age Late
2018/19	118	118	0	100.0%	0	0.0%
Apr-19	7	7	0	100.0%	0	0.0%
May-19	7	7	0	100.0%	0	0.0%
Jun-19	10	10	0	100.0%	0	0.0%
1st Quarter 2019/20	24	24	0	100.0%	0	0.0%
Jul-19	11	11	0	100.0%	0	0.0%
Aug-19	8	8	0	100.0%	0	0.0%
Sep-19	11	11	0	100.0%	0	0.0%
2nd Quarter 2019/20	30	30	0	100.0%	0	0.0%
Oct-19	6	6	0	100.0%	0	0.0%
Nov-19	8	8	0	100.0%	0	0.0%
Dec-19	7	7	0	100.0%	0	0.0%
3rd Quarter 2019/20	21	21	0	100.0%	0	0.0%
Jan-20	4	4	0	100.0%	0	0.0%
4th Quarter 2019/20	4	4	0	100.0%	0	0.0%
2019/20 To Date	79	79	0	100.0%	0	0.0%

3.10 Late IRS/Fire Investigation Report Request Responses

Nil return.

3.11 Data Protection Requests

Data Protection Compliance with Deadlines						
Period	Total Requests	Number in Time	Pending	%age in time or pending	Late	%age Late
2018/19 Total	83	83	0	100%	0	0%
Apr-19	7	7	0	100%	0	0%
May-19	11	11	0	100%	0	0%
Jun-19	8	8	0	100%	0	0%
2019/20 1st Quarter	26	26	0	100%	0	0%
Jul-19	5	5	0	100%	0	0%
Aug-19	8	8	0	100%	0	0%
Sep-19	15	15	0	100%	0	0%
2019/20 2nd Quarter	28	28	0	100%	0	0%
Oct-19	7	7	0	100%	0	0%
Nov-19	2	2	0	100%	0	0%
Dec-19	7	7	0	100%	0	0%
2019/20 3rd Quarter	16	16	0	100%	0	0%
Jan-20	9	6	3	100%	0	0%
2019/20 4th Quarter	9	6	3	100%	0	0%
2019/20	79	76	3	100%	0	0%

A breakdown of the type of Data Protection request received since 1st April 2019 is as follows:

DP Type	Cumulative Frequency	In Month
Employer's reference request	31	4
Police request (S29) for prevention and detection of crime	14	0
Rent/mortgage application	10	0
SAR for PRF and medical file	3	0
SAR for all personal data and correspondence	2	0
SAR for copy of PDPR, sickness or training record	5	2
Solicitors request to pursue claims	2	0
Other	12	3
TOTAL	79	9

Note: the number may exceed the number of requests received in the table above, due to some requests requesting multiple types of information.

3.12 Control Call Recordings

Control Call Recordings Compliance with Deadlines						
Period	Total Requests	Number in Time	Pending	%age In Time or Pending	Number Late	%age Late
2018/19 Total	16	16	0	100%	0	0%
Apr-19	0	0	0	100%	0	0%
May-19	1	1	0	100%	0	0%
Jun-19	0	0	0	100%	0	0%
2019/20 1st Quarter	1	1	0	100%	0	0%
Jul-19	0	0	0	100%	0	0%
Aug-19	0	0	0	100%	0	0%
Sep-19	0	0	0	100%	0	0%
2019/20 2nd Quarter	0	0	0	100%	0	0%
Oct-19	1	1	0	100%	0	0%
Nov-19	0	0	0	100%	0	0%
Dec-19	0	0	0	100%	0	0%
2019/20 3rd Quarter	1	1	0	100%	0	0%
Jan-20	0	0	0	100%	0	0%
2019/20 4th Quarter	0	0	0	100%	0	0%
2019/20 Year to Date	2	2	0	100%	0	0%

3.12 Complaints

Complaints Compliance With Deadlines								
Period	Total Requests	Informal In Time	Formal In Time	Pending	%age	Informal Late	Formal Late	%age
2018-19	40	29	11	0	100%	0	0	0%
Apr-19	5	2	3	0	100%	0	0	0%
May-19	1	1	0	0	100%	0	0	0%
Jun-19	3	3	0	0	100%	0	0	0%
2019-20 1st Quarter	9	6	3	0	100%	0	0	0%
Jul-19	3	2	1	0	100%	0	0	0%
Aug-19	2	1	1	0	100%	0	0	0%
Sep-19	3	3	0	0	100%	0	0	0%
2019-20 2nd Quarter	8	6	2	0	100%	0	0	0%
Oct-19	7	6	1	0	100%	0	0	0%
Nov-19	2	1	1	0	100%	0	0	0%
Dec-19	2	2	0	0	100%	0	0	0%
2019-20 3rd Quarter	11	9	2	0	100%	0	0	0%
Jan-20	5	1	0	4	100%	0	0	0%
2019-20 4th Quarter	5	1	0	4	100%	0	0	0
2019-20 Year to Date	33	22	7	4	100%	0	0	0%

A link to the Complaints Log can be found [here](#)

A summary of the type of complaint since 1st April 2019 is as follows. Please note the number may exceed the number of complaints received in the table above, due to some complaints including multiple issues:

Type of Complaint	Cumulative Frequency	In Month
Driving Complaint	9	2
Employee Conduct	4	0
Response to Incident	3	1
Social Media Comments	1	0
Appearance of Station	1	0
Damage to Land or Property (not driving related)	2	0
Unhappy about the service	5	1

Fire Safety Complaint	6	1
Complaint Appeal	1	0
Sunken Fire Hydrant	1	0
TOTAL	33	5

3.13 Compliments

From the 1st April 2019, the Service received 83 compliments:

Type of Compliment	Cumulative Frequency
Public thanking crews for attendance at incident	28
Removal of jewellery	1
Donations from fundraising	4
York Station for everything they do	1
Thanking York crew for pointing out dropped gloves	1
Station visit	6
School Visit	2
Thanks to CFO for hosting Fire Standards Board	1
Attending an event	21
Work experience opportunity	3
Community Safety Officer Visit	2
Commending the action of staff member	2
Fire Safety Assessment	2
Providing training	2
Providing use of Community room	1
Young Firefighter Event	2
WYFRS thanks overnight stay at TAD for charity	1
Fitting Smoke alarms	3
Total	83

A link to the Compliments Log can be found here: [please click](#)

6.0 Assurance and Actions:

- 6.1 The performance measures shown within the report provide an assurance that the Service is broadly compliant. The areas of partial compliance highlighted against the performance indicators do not present any major risks.
- 6.2 As the transition to Enable takes place, there is a risk that the policies and service documents do not reflect new governance arrangements and ways of working. CMB are asked to need to consider how these gaps can be identified and addressed to ensure the risk is managed effectively.

Clare Godfrey
Head of Finance & Administration
18th February 2020