**HMICFRS FRS Inspection**

**Tranche 3 Document Request**

This document request is an important part of the inspection process and enables us to develop our knowledge and understanding of your fire and rescue service (FRS). As well as your self-assessment and position statement, there are a range of documents we need to review as part of our evidence gathering process. We have developed the list of documents for review in consultation with FRS practitioners.

Please only provide the documents set out on the list or those documents which best fit the description provided. This will help us to ensure consistency of our assessment and reduce the load on services being inspected. Please do not create new documents to fulfil the document request, documents should only be provided if they already exist.

Your service liaison lead (SLL) will be able to clarify what to provide if there are any document descriptions that do not quite match those you have in your own FRS. (Alternatively, you can contact the HMICFRS FRS portfolio team via FRS@hmic.gsi.gov.uk). Please do not add any documents over and above those contained in the request. In county council fire and rescue services, the inspection is concerned with FRS documents rather than county council documents (e.g. only send a corporate risk register if one is maintained by the FRS in addition to the CC risk register.)

To aid the inspection, we need to ensure that each document is named with a title comprising your FRS specific identifier code (a list of codes is set out below) and a specific document name (as shown in the table below). We appreciate that some of these documents may be called different things within your FRS, but please use the document names in the table, and set out in the final column of the document table a brief explanation to help us understand better any local context.

As an example, the IRMP from Cheshire Fire and Rescue Service should be named, **CHFIRMP**. The health and safety policy from Oxfordshire would be **OXFHSPOL**. If there are various documents requested in the same category, for instance ‘last three sets of minutes’, please add a 1, 2 or 3 at the end of the document description, for example, Staffordshire Fire and Rescue Service operational command minutes would be - SFFOPCOMMINS1, SFFOPSOMMINS2 etc.

Please also indicate in the final column of each row how you are presenting the document, either via Huddle, weblink or attached copy (*Microsoft Word format is preferable please).*

***Please supply the most recent/current version of policies and strategies unless otherwise stated in the table.***

Please upload the completed form and documents to your FRS workspace on Huddle by **Thursday 28 February 2019**

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| --- | --- |
| **Service** | Essex County Fire and Rescue Service |
| **Compiled by** | Tracy King |
| **Contact email / phone number** | 01376 576252 |
| **Chief officer authorising document release**  | Jo Turton |

**SERVICE IDENTIFIER CODES**

|  |  |
| --- | --- |
| **BUF** | **Buckinghamshire** Fire and Rescue Service |
| **CLF** | **Cleveland** Fire and Rescue Service |
| **CUF** | **Cumbria** Fire and Rescue Service  |
| **DSF** | **Devon and Somerset** Fire and Rescue Service  |
| **DRF** | **Derbyshire** Fire and Rescue Service  |
| **DDF** | **Durham and Darlington** Fire and Rescue Service  |
| **ESF** | **East Sussex** Fire and Rescue Service  |
| **EXF** | **Essex** Fire and Rescue Service  |
| **GLF** | **Gloucestershire** Fire and Rescue Service |
| **LOF** | **London** Fire and Rescue Service |
| **NYF** | **North Yorkshire** Fire and Rescue Service  |
| **SFF** | **Staffordshire** Fire and Rescue Service |
| **SKF** | **Suffolk** Fire and Rescue Service  |
| **SYF** | **South Yorkshire** Fire and Rescue Service  |
| **WYF** | **West Yorkshire** Fire and Rescue Service |

| **#** | **Document** | **Context/reason required** | **Naming convention** | **Is doc enclosed?*****(paste weblink if also available online)*** | **FRS comments** |
| --- | --- | --- | --- | --- | --- |
| **1** | **Integrated Risk Management Plan (IRMP)****([[1]](#footnote-1)FRS *Act / National Framework Document (NFD)*)** |  | IRMP | **YES**[**http://www.essex-fire.gov.uk/\_img/pics/pdf\_1482341003.pdf**](http://www.essex-fire.gov.uk/_img/pics/pdf_1482341003.pdf) | **Via Huddle** **EXFIRMP** |
| **1a** | **IRMP – action plan (current)** | Any specific action plan attached to IRMP to support (annual) plan for delivery of three year IRMP. | IRMPACPLAN | **YES** | **Via Huddle****EXFIRMPACPLAN** |
| **2** | **Service Action Plan****(*Operational Assessment / Fire Peer Review (OPA)*)****(*National Framework*)** | Action plan to support any recommendations or actions required after most recent OPA. | SERVAP | **YES** | **Via Huddle**EXFSERVAP |
| **3** | **Scheme of delegation** |  | DELSCHE | **YES**[**https://www.essex.pfcc.police.uk/wp-content/uploads/2017/09/PFCC-FRA-Constitution-v1.7-1.pdf**](https://www.essex.pfcc.police.uk/wp-content/uploads/2017/09/PFCC-FRA-Constitution-v1.7-1.pdf) | **Via Huddle**EXFDELSCHE**Schedule 8 – Scheme of delegation (pages 52 to 58)** |
| **4** | **Annual statement of assurance (2016 – 2017)****(*National Framework / statement of assurance guidance*)** |  | ASSURESTATE | **YES** | **Via Huddle**EXFASSURESTATE Statement of Assurance 2016/17 |
| **5** | **Strategic performance report**  | Most recent performance information and support information provided to senior management (CFO Board or similar) monthly meeting.  | SLTPERFREP | **YES** | **Via Huddle**EXFSLTPERFREP Monthly Performance Report |
| **6** | **Performance report for FRA/PCC or equivalent** | Latest performance information and corporate risk register supplied to FRA/OPCC or equivalent. | FRAPERFREPPCCPERFREP | **YES** | **Via Huddle**EXFPCCPERFREP16 month performance reportEXFPCCPERFREP2Risk and Business Continuity Report to Audit Committee and Appendix AEXFPCCPERFREP3Risk and Business Continuity Report to Audit Committee -Appendix BEXFPCCPERFREP4Risk and Business Continuity Report to Audit Committee -Appendix C |
| **7** | **Corporate risk register** |  | CORPRISK | **YES** | **Via Huddle**EXFCORPRISK Strategic Risk Register |
| **8** | **Workforce plan** | Plan that the service uses to ensures it maintains the right people to deliver its services. May include succession planning / talent management. | WORKPLAN | **YES** | **Via Huddle**EXFWORKPLAN1Annual Workforce planning reportEXFWORKPLAN2HR ¼ report Q2 2018/19EXFWORKPLAN3HR ¼ report Q3 2018/19EXFWORKPLAN4People StrategyEXFWORKPLAN5Workforce Planning reportEXFWORKPLAN6TFS succession planning |
| **9** | **Business continuity plan for control room loss (1)****Business continuity plan for cyber attack on IT systems (2)** |  | BUSCONPLA | **YES** | **Via Huddle**EXFBUSCONPLA1Business Continuity plan for ControlEXFBUSCONPLA2Business Continuity plan for IT systems |
| **9a** | **Business continuity testing reports: *post-test of loss of control room (1) and cyber attack on IT systems (2) if available*** |  | BUSCONTREP | **YES** | **Via Huddle**EXFBUSCONTREP1Control Post Exercise ReportEXFBUSCONTREP2Control Post Exercise Action PlanEXFBUSCONTREP3IT DR Exercise report |
| **10** | **Protection/enforcement strategy** | Document setting out the service protection policy and risk (to manage the risks set out in the IRMP). May include the risk based inspection programme. | PROTENF | **YES** | **Via Huddle**EXFPROTENF1 Enforcement and Prosecution PolicyEXFPROTENF2Technical Fire Safety Business PlanEXFPROTENF3Fire Safety Activity Programme |
| **11** | **Prevention strategy** | Document setting out the service prevention policy (to manage the risks (fire & rescue) set out in the IRMP). | PREVENT | **YES** | **Via Huddle**EXFPREVENT1Community Safety Bsuiness PlanEXFPREVENT2Home Safety / Safe and Well Strategy 2018 – 2020EXFPREVENT3An Interim Strategy to Deliver Prevention Activities for Essex County Fire & Rescue ServiceEXFPREVENT4Measurement of Smoke Alarm Ownership in EssexEXFPREVENT5Analysis of Accidental Dwelling Fires in Essex (2009-2017)EXFPREVENT6Overview of Changes to ECFRS Prevention DeliveryEXFPREVENT7 Road Safety and RTC Reduction Strategy 2013-2016EXFPREVENT8 Road Safety Delivery Plan 2019/20 |
| **12** | **Response strategy** | Document setting out the service response policy (to responds to the risks set out in the IRMP). | RESPONDPREP | **YES** | **Via Huddle**EXFRESPONDPREP |
| **13** | **Operational assurance strategy** | Document setting out how the FRS will assure the operational competence of staff responding to incidents, including the procedure for operational debriefs. | ASSURE | **YES** | **Via Huddle**EXFASSURE1Operational Assurance StrategyEXFASSURE2Operational Assurance Quarterly ReportEXFASSURE3Operational Assurance Station Feedback exampleEXFASSURE4Operational Assurance Quarterly posterEXFASSURE5Monitoring Officer PolicyEXFASSURE6Station Audits PolicyEXFASSURE7Operational Activity Debriefing Policy |
| **14** | **Annual Report** | Fire Authority (or equivalent) annual report showing how the FRS has performed over the last 12 months, what it has achieved, and looking to the future. | ANNREP | **YES** | **Via Huddle**EXFANNREP |
| **15** | **National Operational Guidance (NOG) self-assessment gap analysis for:****Incident command (1)****Performing rescues (2)****Fires and firefighting (3)****Operations (4)** | Any self-assessment against the NOG self assessment tool (gap analysis) and the service position on the adoption of the NOG (if decisions taken not to adopt). | NOGSA | **YES** | **Via Huddle****EXFNOGSA1**National Operational Guidance Incident Command Gap Analysis |
| **15a** | **Current action plan for NOG/ joint operational learning (JOL) relating to:****Incident command (1)****Performing rescues (2)****Fires and firefighting (3)****Operations (4)****if not contained in the self-assessment gap analysis** | Any action plan or delivery plan to implement NOG and JOL across the service. | NOGJOLAP | **Yes** | **Via Huddle**EXFNOGJOLAP1ECFRS JESIP Working Group AgendaEXFNOGJOLAP2ECFRS JESIP Working Group Terms of ReferenceEXFNOGJOLAP3ECFRS JESIP Working Group MinutesEXFNOGJOLAP4Regional Project BriefEXFNOGJOLAP5Regional NOG implementation meeting – ActionsEXFNOGJOLAP6NOG Presentation for StaffEXFNOGJOLAP7ECFRS NOG Implementation Strategy |
| **16** | **Unwanted fire signal policy (1), plus any action plans or details of work undertaken to limit unwanted fire signals (2)** | Any service policy on responding to and managing unwanted fire signals.  | FIRESIGNAL | **YES**  | **Via Huddle**EXFFIRESIGNAL1Automatic Fire Detection Systems with Automatic Fire Alarm (AFA) Facility PolicyEXFFIRESIGNAL2Automatic Fire Detection and Alarm Systems (AFA) Policy support documentEXFFIRESIGNAL3 Report Unwanted Fire Signal Update – Broomfield Hospital |
| **17** | **Assessment of training for competence policy** | Service policy for process to support any assessment of operational competence. | COMPETENCE | **Yes** | **Via Huddle**EXFCOMPETENCE1Task GuidanceEXFCOMPETENCE2Quality Assurance FrameworkEXFCOMPETENCE3SLT Core Hours PaperEXFCOMPETENCE4Incident Command Training and Assessment PolicyEXFCOMPETENCE5ECFRS Competence FrameworkEXFCOMPETENCE6 SLT Core Hours Follow up paper |
| **18** | **Operational command meeting minutes – *last three*** | Operational command minutes from head of response meetings, or similar operational command meetings. | OPCOMMINS (1,2 and 3) | **YES** | **Via Huddle**EXFOPCOMMINS1Ops Directorate Meeting AgendaEXFOPCOMMINS2Ops Directorate Meeting ActionEXFOPCOMMINS3Ops Directorate Meeting AgendaEXFOPCOMMINS4Ops Directorate Meeting ActionEXFOPCOMMINS5Ops Directorate Meeting AgendaEXFOPCOMMINS6Ops Directorate Meeting Action |
| **19** | **Health & safety policy**  | Service policy for ensuring health and safety of employees in the work place. | HSPOL | **YES**  | **Via Huddle**EXFHSPOL |
| **20** | **Marauding Terrorist Firearms Attack (MTFA) asset access policy** | Service policy to determine joint action to support marauding terrorist threat**.** | MTFAASSETS | **YES** | **Via Huddle**EXFMTFAASSETS1 Draft Policy only EXFMTFAASSETS2 Marauding Terrorist Firearms Attack/Siege: Fire and Rescue Service Concept of OperationsEXFMTFAASSETS3Responding to aMarauding terroristFirearms attack andTerrorist siegeEXFMTFAASSETS4MTFA Risk Assesment EXFMTFAASSETS5MTFA Training Risk AssessmentEXFMTFAASSETS6MTFA Response Risk Assessment |
| **21** | **Efficiency plan (2016 – 2020)** | Four-year plan requested by the Home Office in 2016, supported by funding and budget assumptions. | EFFPLAN | **YES**  | **Via Huddle**EXFEFFPLAN |
| **22** | **Medium term financial plan** | FRS financial plan which explains the spending decisions and service strategy for the next three years | MTFPLAN | **YES** | **Via Huddle**EXFMTFPLANHigh Level Financial Projections 2020 to 2024 - update |
| **23** | **Capital strategy**  | FRS strategy for the use of capital expenditure for the coming year (up to three year plan if available) | CAPSTRA | **YES** | **Via Huddle**EXFCAPSTRA1Budget 2019-20 paperEXFCAPSTRA2Budget 2019-20 paperAppendix 1Chief Finance Officers report on the budget as required under section 25 of the Local Government Act 2003  |
| **24** | **Annual statement of accounts** |  | ANNACC | **YES**<http://www.essex-fire.gov.uk/_img/pics/pdf_1533043268.pdf>  | **Via Huddle**EXFANNACC |
| **25** | **Most recent annual audit letter** | From external auditor | AUDLET | **YES** | **Via Huddle**EXFAUDLET |
| **26** | **Internal audit annual report** |  | INTAUD | **YES** | **Via Huddle**EXFINTAUD1 Annual internal audit report 2016/17EXFINTAUD2 Annual Internal Audit Report 2017/2018 |
| **27** | **Externally commissioned audit reports - *last two years (if available)*** |  | EXTAUD (1 and 2 if available) | **YES** | **Via Huddle**EXFEXTAUD1 Annual internal audit report 2016/17EXFEXTAUD2 Annual internal audit report 2017/18 |
| **28** | **Estates strategy** | Any service estate strategy for the coming year (three years) that sets out the future estate changes or plans. | ESTATES | **YES** | **Via Huddle**EXFESTATESPremises scorecards 2017 - 2018 |
| **29** | **Procurement strategy** | Service procurement strategy to support funding decisions or medium term financial plans. | PROCURESTR | **YES** | **Via Huddle**EXFPROCURESTR1PFCCFRA Constitution - Schedule 12 pages 69 to 100EXFPROCURESTR2PFCC Decision sheet - Proposed Changes to financial levels within ECFRS Financial Regulations |
| **30** | **A business case for change programme (*linked to an IRMP project)*** | Any business case related to an IRMP change project – include any project management documentation, including benefits realisation. | CHANGEPROBUS | **YES**  | **Via Huddle**EXFCHANGEPROBUS1Options for Change 2016–2020 – Change Programme paperEXFCHANGEPROBUS2 Options for Change 2016–2020 – Change Programme paper Appendix 1 – Options for changeEXFCHANGEPROBUS3 Options for Change 2016–2020 – Change Programme paper Appendix 2 – ORH Summary Report |
| **31** | **Collaboration business case** | A sample business case to support some form of collaborative activity within the Service – an example of any collaborative activity as set out in the service IRMP. | COLLABBUSC | **YES**  | **Via Huddle**EXFCOLLABBUSC1 Local Business Case for Joint Governance of Police and Fire & Rescue in EssexEXFCOLLABBUSC2 Essex Emergency Services Collaboration Programme – Terms of ReferenceEXFCOLLABBUSC3Essex Emergency Services Strategic Collaboration Governance Board - Collaboration Vision and Principles paperEXFCOLLABBUSC4 Collaboration Programme – Strategic Programme of Work |
| **32** | **Corporate plan** | Document showing how the FRS plans to provide and manage its services. | CORPPLAN | **YES** | **Via Huddle**EXFCORPPLAN Fire and Rescue Plan 2019-2024 |
| **33** | **Reserves strategy** |  | RESERVES | **YES** | **Via Huddle**EXFRESERVES Reserves Position Statement and Strategy to 2024 |
| **34** | **Fleet strategy** |  | FLEETSTRA | **YES**  | **Via Huddle**EXFFLEETSTRAFleet Strategy |
| **35** | **IT strategy** |  | ITSTRA | **YES**  | **Via Huddle**EXFITSTRA |
| **36** | **Commercial strategy** |  | COMMERCIAL | **YES**  | **Via Huddle**EXFCOMMERCIALBusiness Development Business Plan |
| **37** | **Pay policy statement** | Document that sets out the service position on pay and the policy to support that statement. | PAYPOLICY | **YES**<http://www.transparency.essex-fire.gov.uk/_img/pics/pdf_1528469115.pdf>  | **Via Huddle**EXFPAYPOLICY1Pay Policy Statement 17/18EXFPAYPOLICY2Pay Policy Statement 19/20 |
| **38** | **Staff survey** **(*last two surveys within three years*)** | Copy of staff survey findings, and/or summary report. May include action plan. | STAFFSUR(add suffix for year survey was completed e.g. ‘\_\_\_STAFFSUR2017’) | **YES**  | **Via Huddle**EXFSTAFFSUR201712017 Survey FidningsEXFSTAFFSUR201822018 Survey FidningsEXFSTAFFSUR201832018 Survey Action Plan |
| **39** | **People/Workforce & Wellbeing strategy** | Service strategy for staff wellbeing. | WELLBEING | **YES** | **Via Huddle**EXFWELLBEING1 People Strategy 2017-2020EXFWELLBEING2 Talking Therapies – Provision for ECFRS employees paperEXFWELLBEING3 Trauma Risk Management PolicyEXFWELLBEING4 Trauma Risk Management Policy Statement |
| **40** | **Attendance management policy** | Policy including approach to absence management. | ATTENMAN | **YES** | **Via Huddle**EXFATTENMAN |
| **41** | **Grievance procedure** | Any service policy or procedure for dealing with staff grievance. | GRIEVANCE | **YES** | **Via Huddle**EXFGRIEVANCE |
| **42** | **Statement of values/behaviours** | Service statement or policy setting out any values or behaviours policy and expectations for staff (behaviours).  | VALUES | **YES**<http://www.essex-fire.gov.uk/About_Us/Our_Values/>  | **Via Huddle**EXFVALUES1Code of ConductEXFVALUES2Strategy at a glance |
| **43** | **Social media policy** | Document that provides guidance to staff regarding expectations and standards of behaviour for using social media. | SOCMEDIA | **YES** | **Via Huddle**EXFSOCMEDIADraft Social Media Policy |
| **44** | **Equality Diversity and Inclusion policy**  | Service policy to support the equality, inclusion and diversity agenda. | EDIPOL | **YES** | **Via Huddle**EXFEDIPOL1Equality and Diversity PolicyEXFEDIPOL2 Equality and Diversity Strategic Action Plan 2018-2020  |
| **45** | **Dignity at work / Anti-harassment policy** | Service policy on bullying and harassment. | DIGHARASS | **YES** | **Via Huddle**EXFDIGHARASS1Dignity at Work PolicyEXFDIGHARASS2Dignity at Work ToolkitEXFDIGHARASS3Dignity at Work Champion role description and specificationEXFDIGHARASS4 Introducing our Dignity at Work ChampionsEXFDIGHARASS5 Dignity at Work Champions - Presentation |
| **46** | **Recruitment policy** |  | RECRUIT | **YES** | **Via Huddle**EXFRECRUIT1Recruitment and Selection Code of PractiseEXFRECRUIT2 Recruitment and Selection Code of Practise – Appendix A Guidance for recruiting retained firefightersEXFRECRUIT3 Recruitment and Selection Code of Practise – Appendix B Guidance for recruiting support staffEXFRECRUIT4Recruitment and Selection Code of Practise – Appendix C Guidance for recruiting control staffEXFRECRUIT5 Recruitment and Selection Code of Practise – Appendix D Guidance for recruiting wholetime firefightersEXFRECRUIT6 Recruitment and Selection Code of Practise – Appendix E Guidance for recruiting ex-offendersEXFRECRUIT7 Recruitment and Selection Code of Practise – Appendix F Guidance for safer recruitmentEXFRECRUIT8 Recruitment and Selection Code of Practise – Appendix G Guidance for positive DBS checks |
| **47** | **Confidential reporting procedure** | Procedures to accompany ‘whistle blowing’ or any other confidential reporting mechanisms. | WHISTLEPRO | **YES**<http://www.essex-fire.gov.uk/_img/pics/pdf_1540216543.pdf>  | **Via Huddle**EXFWHISTLEPRO |
| **48** | **Secondary employment policy** | Service policy on reporting and managing secondary employment of staff | SECEMPLOY | **YES** | **Via Huddle**EXFSECEMPLOY |
| **49** | **Training plan / skills and capabilities** | The plan that sets out how staff will be trained and their competence assessed. This may include a skills matrix. | TRAINSKILLS | **YES** | **Via Huddle**EXFTRAINSKILLS1Learning Development - Next Step paper EXFTRAINSKILLS2Monthly Learning and Development ReportEXFTRAINSKILLS32018/19 Training Forecast |
| **50** | **Service safeguarding policy** | Service policy for how vulnerable people will be safeguarded at incidents or when identified through day-to-day activity. Where the referral policy is separately recorded this should also be included. | SAFEPOL | **YES** | **Via Huddle**EXFSAFEPOL1Safeguarding vulnerable adults policyEXFSAFEPOL2Safeguarding children policyEXFSAFEPOL3 Safeguarding flow chart of accountabilityEXFSAFEPOL4 Safeguarding vulnerable person case management pro forma |
| **51** | **Appraisal (or similar) policy / procedure** | Copy of the service appraisal policy and procedures (performance development review) | PDRPOL | **YES** | **Via Huddle**EXFPDRPOL1Personal Annual Review PolicyEXFPDRPOL2ECFRS Personal Annual Review Form |
| **52** | **Promotions policy** |  | PROMPOL | **YES** | **Via Huddle**EXFPROMPOL1Guidance on the Talent PoolEXFPROMPOL2Preparing for the Talent PoolEXFPROMPOL3Talent Pool Development Plan |
| **53** | **Working Time Guidance/use of overtime and TOIL** |  | WGTOIL | **YES**  | **Via Huddle**EXFWGTOIL1Working Time Directive GuidanceEXFWGTOIL2Flexible working policyEXFWGTOIL3Pre-arranged overtime PolicyEXFWGTOIL4 Additional Shift Working PolicyEXFWGTOIL5 Recall to Duty ArrangementsEXFWGTOIL6Stanby Policy |

1. Text in brackets denote the origin of the documents [↑](#footnote-ref-1)