

Business Management Policy

1.0 Purpose

- 1.1 This policy sets out the principles to be used for decision making within NYFRS along with the supporting structures and governance arrangements.
- 1.2 The purpose of the policy is to ensure that major policy decisions, change projects and work associated with higher levels of corporate risk are managed in an auditable manner that ensures a high level of corporate assurance and understanding in respect of the implementation and impact of such projects.

2.0 Scope

- 2.1 This policy is directly applicable to Principal Officers, Function Heads, Section and District managers when proposing, authorising or managing projects along with elements of core work that carry significant corporate risk.
- 2.2 The policy is not intended to cover normal managerial decision making within the usual levels of authority and responsibility. However, the principles underpinning this framework should be used by all managers when making decisions of any size or at any level.
- 2.3 The policy does not cover the governance arrangements for the Fire Authority as distinct from the Service. Governance arrangements and the structure for the Authority can be found on the [website](#).

3.0 Business Management Structure

- 3.1 The key decision making body within the Service is Corporate Management Board (CMB). Chaired by the Chief Fire Officer/Chief Executive, it comprises the Principal Officers and Function Heads (see [org chart](#)). Its purpose is to assist the CFO/CE to set direction, support the Fire Authority and make decisions within the Service as delegated to the CFO/CE by the Authority.
- 3.2 Whilst the CFO/CE remains accountable to the Authority for the Service at all times, and the Treasurer remains accountable to the Authority for the financial affairs of the Authority, each of whom have the executive authority to take decisions alone or jointly in accordance with the Authority's Standing Orders and Financial Regulations, CMB is the collective senior management body responsible for the good governance and management of risk within the Service. In order to discharge these responsibilities effectively, two governance groups are established to consider specific areas of business. These areas are Risk Management (corporate and

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operational) and Information Governance. These groups are chaired by a member of CMB and their purpose is to provide assurance to the CFO/CE via meetings of CMB.

- 3.3 Other management groups, such as the Collaboration Steering Group or the Inclusivity Group, may also be used to provide an overview and direction for relevant areas of work.
- 3.4 Major projects or programmes within the Service are managed using project or programme boards. These projects boards are chaired by a member of CMB and provide updates directly to CMB.
- 3.5 The management of day to day work in the Service is managed through the normal management structure of Functions and Sections or Districts. Function Heads, Section and District managers are responsible to delivering the work as agreed by CMB and managing the day to day work within their respective agreed levels of responsibility.
- 3.6 Agenda setting for CMB, Authority and other formal meetings will be undertaken by the Principal Officer Group (POG). This is an informal meeting, chaired by the CFO/CE, and comprising of the principal officers and the Authority's Monitoring Officer, that will also consider the overall communications and engagement needs of the Service.
- 3.7 A relationship map of the various components of the framework is set out at **Appendix A**.

4.0 Business Change Process

- 4.1 The business process cycle sets out the process for making significant change decisions. This cycle is set out at **Appendix B**. On occasions a research or task and finish group will be set up to consider the feasibility of a particular idea. Terms of reference would normally be set out using the [standard template](#). That group would typically produce a [CMB Business Case](#) or a [Section/District Business Case](#). For some major projects that require Fire Authority sign off, a detailed report may be submitted to the Authority, or one of its committees. In those cases, POG and/or CMB would consider the report before it was submitted. For projects that are to be taken forward in collaboration with other organisations, see section 5 below.
- 4.2 If a business case is required, it is completed and submitted to CMB or, in the case of a Section or District business case, to a Function Head. All business cases to CMB must have a [stakeholder analysis](#) and [equality impact analysis](#) completed and where appropriate, a [Privacy Impact Assessment](#) should be completed. The business case templates and associated documents can be found on the intranet and can be accessed through the hyperlinks in this policy.

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4.3 When completing a business case, care must be taken to assess the capacity across all Sections that may be impacted. This will inform the expected delivery date of the project. The following areas would typically need to be considered in all projects requiring a business case, but is not an exhaustive list:

- Procurement
- Training
- Personnel
- Recruitment
- ITSS
- Estates
- Supplies
- Data/Information Requirements
- Administration

4.4 One specific requirement in each business case, is to consider the potential impact on RDS staff, with a view to ensuring, as far as possible, that there is no additional burden placed on RDS staff.

4.5 Due regard must be taken of the key elements of the formal business process by all managers when managing routine work. These elements are:

- Financial implications
- Resilience/business continuity
- Legal requirements (including equality and H&S issues)
- Political impact and reputational risk
- Impact on RDS staff

5.0 Collaboration

5.1 If a potential initiative or project is being considered in collaboration or partnership with another organisation, a number of additional processes will need to be undertaken. The potential initiative or project must be registered by the relevant function head with Service Development, for inclusion on the collaboration register. The Collaboration Steering Group (CSG) will task initial feasibility work based on potential benefits, costs, current priorities and other demands.

5.2 Once the feasibility work has been undertaken, the CSG will assess the overall cost and benefit of the project once initial feasibility work has been undertaken, and consider the wider capacity at the time.

5.3 The outcome of the feasibility work will be a Collaboration Business Case. This should be developed with partners in conjunction with Service Development and would be submitted initially to CMB. CMB will decide whether the project can go ahead or whether it needs submitting to the Fire Authority's Collaboration Committee

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for final approval. There is no set format for a Collaboration Business Case, as that should be determined by all partners. However, for the largest collaborations, such as shared services or organisational mergers, the business case is likely to need to follow the HM Treasury, 'Five Case Model'¹.

- 5.4 Once approved, the collaboration project will follow the processes set out in section 6 and 7 below, depending on the scale of collaboration. Progress will be monitored by Service Development. Additional processes may need to be designed to ensure that the governance requirements of all partner organisations are fulfilled.

6.0 Action Planning

- 6.1 Once approved, all projects must be entered onto the relevant action plan. Functions, Section or District Action Plans will be maintained by the Function Head, Section Head or District Manager respectively. All action plans will provide links to the documentation in order to provide an audit and evidence trail.
- 6.2 The projects authorised by CMB will also be included in the [Corporate Work Plan](#), which is monitored routinely at CMB and reported to the Fire Authority's Audit and Performance Review Committee. Each Function will include the actions from the Corporate Work Plan, for which it is the lead, in their action plan with the appropriate level of detail. Where actions are required by another Function or Section as part of a project in the Corporate Work Plan, then these actions will be recorded on those Function or Section action plans with the relevant project identified as the source of the action.
- 6.3 In order to ensure the currency and effectiveness of the action plans, as well as the reporting mechanisms outlined above, the action plans should be a standing item on monthly Function meetings. The standard action plan template is designed to enable section or district plans to link directly to corporate or directorate actions, as well as corporate objectives and risk.
- 6.4 Each year relevant Authority publications will be reviewed and updated as necessary and agreed by CMB prior to submission for Authority approval. The timing of this work will be arranged to inform the budget setting process and will draw together all the elements of the projects across the Service that are planned to be delivered in the subsequent financial year and beyond. The suite of Corporate Documents and alignment to the Authority's schedule of business is set out in **Appendix C**.
- 6.5 The most significant projects will be included in the Corporate Plan, which is a forward looking document that covers the three years. Work that is specifically linked

¹ <https://www.gov.uk/government/publications/the-green-book-appraisal-and-evaluation-in-central-government> [sic]

to delivering change projects within the IRMP will be identified separately in the IRMP annual action plan. Performance will be reported in the Annual Report.

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7.0 Major Projects and Programmes

7.1 The definitions of Projects and Programme are as follows:

- A project is “a temporary structure which will deliver one or more outputs in accordance with an approved business case”.
- A programme is “a temporary, flexible organisation created to coordinate, direct and oversee the implementation of a set of related projects and activities in order to deliver outcomes and benefits”.

7.2 Programmes will follow the Managing Successful Programmes (MSP®) principles whereas major projects will be managed using PRINCE2® principles

7.3 Each project or programme will have a sponsor (usually a Principal Officer) and lead manager (usually a Function Head for a project and Principal Officer for a programme). There may also be a project manager and a project team comprising of the appropriate managers and specialists. The lead manager will chair a project or programme board that should include representation from contractors where they are providing a key element of the project. Where it is appropriate to do so, the appropriate governance group may provide the project board function for a project or programme of smaller projects.

7.4 The governance arrangements for each project will be set out in a Project Initiation Document and agreed by the project sponsor. This and other project management documentation can be found at the home page of the [Project Teams site](#).

7.5 Where a programme is set up, each project within the programme should have separate terms of reference and project plan. There should be a clear programme structure, and the programme itself should have terms of reference that have agreed by CMB.

7.6 Routine reporting to CMB and the Authority’s A&PRC will be done through the Corporate Work Plan, with additional exception or update reports, including to the Fire Authority, as directed by the project sponsor.

7.7 Documentation will be managed and stored on a dedicated project site within the Project Teams site on the intranet.

7.8 All major projects will have a formal close down report considered by CMB. This should include evaluation and identification of any learning points.

8.0 Policy Production

8.1 Decision making will often require, or result in, new or revised policies. There are a large number of policies of different range of scope and impact. The highest level

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policies must be approved by the Fire Authority and all will require CMB approval. Revisions to existing policies must be approved by a member of CMB whose responsibility it is to decide whether the policy should go to CMB for consideration.

- 8.2 The process for policy production should consider the elements set out in 4.4 above and needs to have adequate consultation. A stakeholder analysis should be produced for new policy production.

9.0 Evaluation and Performance Management

- 9.1 One of the keys to successful business change is evaluating the outcomes of work. The business planning process aims to assist this by designing evaluation into the early stages of the development of major change initiatives. Each business case will set out expected benefits and the key success criteria. This will assist in the evaluation. A formal evaluation is required for every project entered onto the Corporate Work Plan. This evaluation is submitted to the initial authorising body who will determine whether to continue with the change of work. This will typically be in a standard report, and may form part of a project close down report.

- 9.2 Function Heads need to consider whether section or district actions require a formal evaluation although the principle is that all work should be evaluated against the expected benefits.

- 9.3 Routine work will, where possible, be managed by exception. This will usually require a combination of updates against agreed performance standards or indicators and qualitative assessment of work, such as audits. Function Heads and Section or District managers will set out clearly for their staff what performance measures they will use.

10.0 Communication and Decision Logs

- 10.1 In order to assist the organisation in responding to decisions made by CMB or other senior management teams, a discussion log will be maintained on the intranet. Tasks will be allocated to individual managers, CMB members or governance groups. The allocated manager or governance group chair is responsible for updating the action log and providing any report as necessary. The procedure for using these logs can be found [here](#).

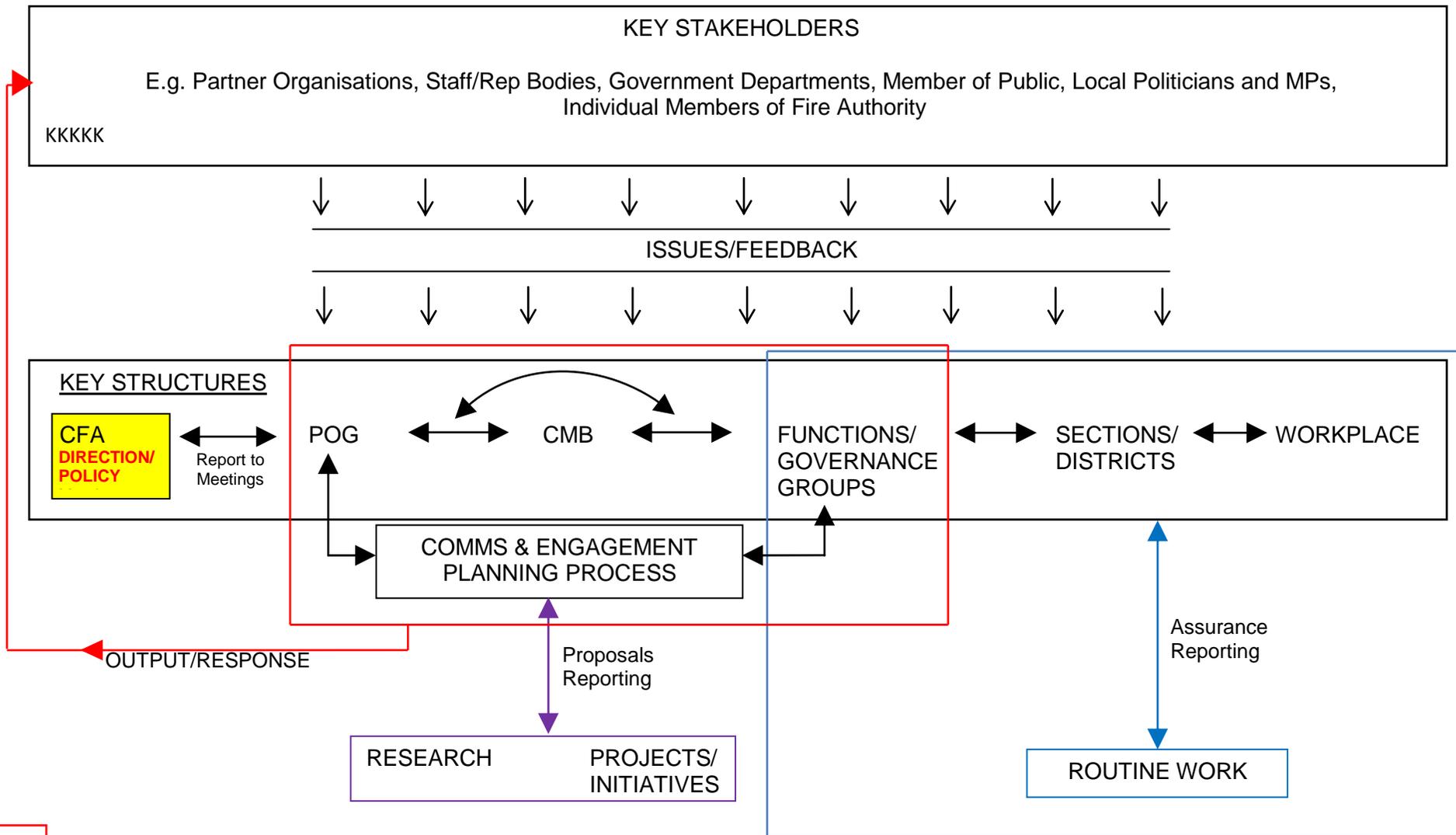
- 10.2 As a matter of principle across all meeting structures, the decisions made at one management tier should be communicated to the next tier down. Routine and regular meetings should be held across all work teams. A record of these meetings in the form of minutes, notes, outcomes or actions should be maintained in the relevant workspace or document library on the intranet.

- 10.3 For all formal meetings a record should be produced that sets clear rationale for decisions including options or recommendations that have been discounted, and the reasons why.

11.0 Compliance and Audit

- 11.1 Service Development will be responsible for maintaining the Corporate Work Plan. CMB may request compliance audits for any project on the Plan.
- 11.2 External audits or reviews may consider elements of these arrangements periodically.
- 11.3 The more significant projects or changes will be considered by the Fire Authority or the Audit and Performance Review Committee.

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Decision making/Co-ordination Hub

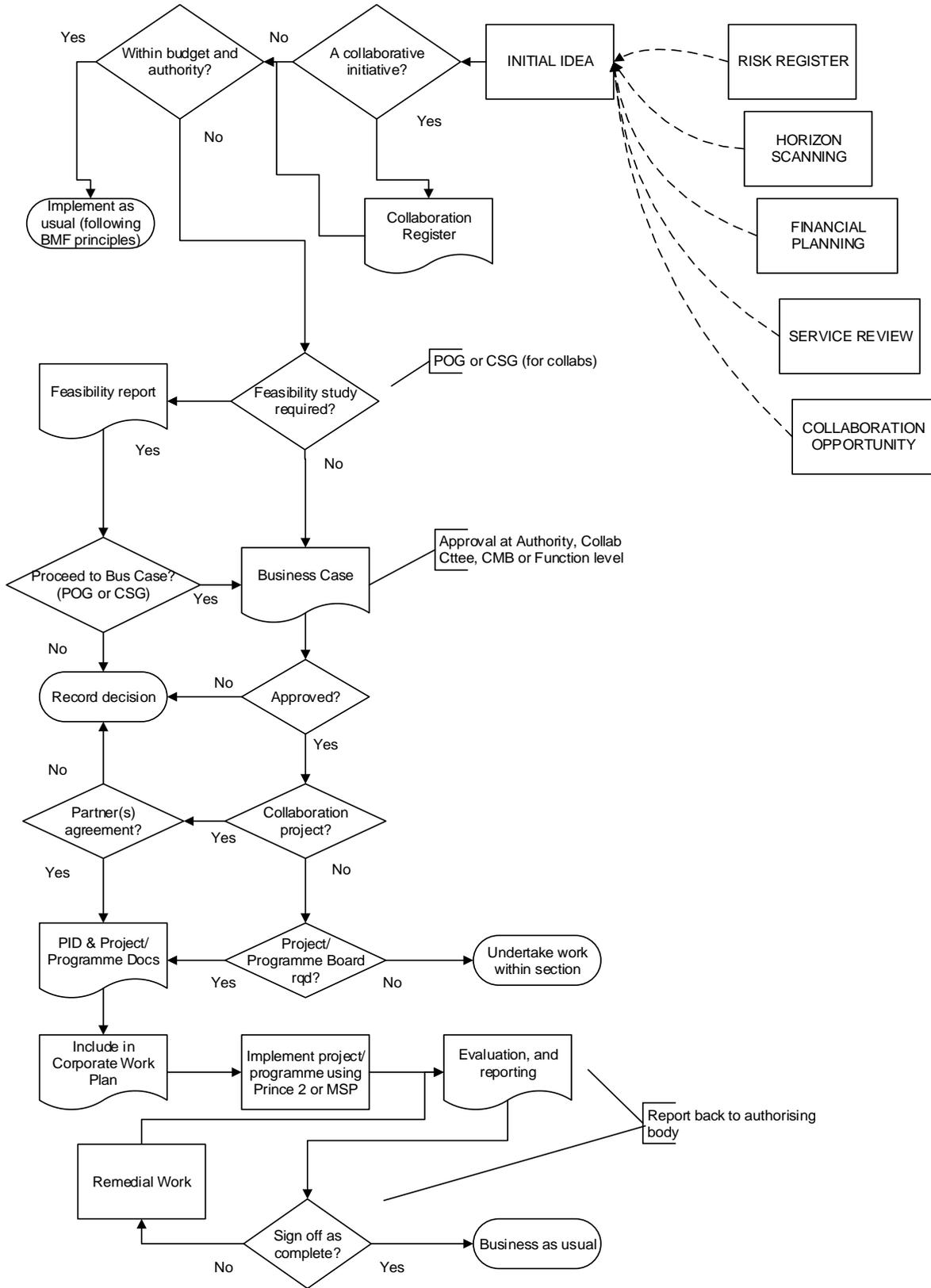
Operations

Service Development

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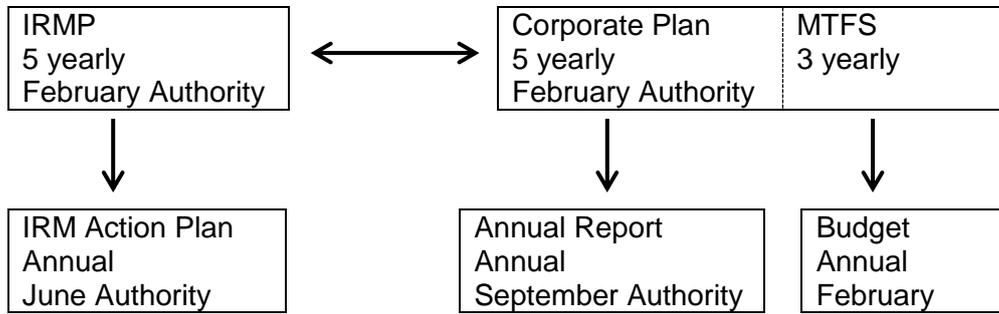
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Appendix B – Business Process Cycle



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Appendix C – Corporate Document Suite



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