

For Publication

Bedfordshire Fire and Rescue Authority  
Human Resources Policy and Challenge  
Group  
20 September 2017  
Item No. 7

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**REPORT AUTHOR:** ASSISTANT CHIEF OFFICER (HUMAN RESOURCES  
AND ORGANISATIONAL DEVELOPMENT)

**SUBJECT:** AUDIT AND GOVERNANCE ACTION PLANS  
MONITORING REPORT

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Background Papers:

- Action Plans contained in Internal and External Audit Reports
  - Action Plan contained in the Annual Governance Statement 2015/16
  - Minutes of the Audit Committee dated 5 April 2012
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Implications (tick ✓):

LEGAL			FINANCIAL	✓
HUMAN RESOURCES			EQUALITY IMPACT	
ENVIRONMENTAL			POLICY	✓
CORPORATE RISK	Known	✓	OTHER (please specify)	
	New		CORE BRIEF	

*Any implications affecting this report are noted at the end of the report.*

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**PURPOSE:**

To report on progress made to date against current action plans arising from internal and external audit reports.

**RECOMMENDATION:**

That Members acknowledge progress made to date against the action plans and consider any issues arising.

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## 1. Introduction

1.1 The Members of the Audit and Standards Committee previously endorsed that the Committee should receive monitoring reports at each of its meetings advising of progress against current action plans arising from internal and external audit reports, and the Authority's Annual Governance Statement.

1.2 In their meeting on 5 April 2012, Members of the Audit and Standards Committee agreed that progress on the action plans be reported to each meeting of the appropriate Policy and Challenge Group and action point owners report progress by exception to the Audit and Standards Committee. This is the second such report to the Human Resources Policy and Challenge Group for the year 2017/18.

## 2. Monitoring Report of Actions Arising From Internal and External Audit Reports

2.1 The monitoring report of progress made to date against agreed actions arising from internal and external audit reports is attached as Appendix A.

2.2 The monitoring report covers, in order, the following:

- Outstanding actions from internal and external audit reports, including those reports received during 2017/18 and those from previous years, which have a proposal to extend the original completion date. There are no requests to extend the original completion date.
- Outstanding actions from internal and external audit reports, including those reports received during 2017/18 and those from previous years, which are on target to meet the original or agreed revised completion date.
- Completed actions which are subject to a subsequent or follow up audit. These will remain on the report until this audit is complete and the action validated.
- Completed actions that are of a Low risk and do not require a follow-up audit. These will be removed from the report once they have been reported as completed to the Policy and Challenge Group.
- Any actions that have been superseded by new actions. (Actions are removed from the report once they have been reported as superseded to the Policy and Challenge Group.)

2.3 There are two requests to extend the original completion date. All High and Medium actions which are completed are subject to a follow-up audit.

3. Monitoring Report of Actions Arising from the Authority's Annual Governance Statement
- 3.1 The monitoring report covers the actions within the 2015/16 Annual Governance Statement (if applicable) which was formally adopted by Members of the Audit and Standards Committee, on behalf of the Authority, at their meeting on 7 September 2016, as part of the 2015/16 Statement of Accounts.
4. Organisational Risk Implications
- 4.1 The actions identified within internal and external audit reports and the Annual Governance Statement represent important improvements to the Authority's current systems and arrangements. As such, they constitute important measures whereby the Authority's overall management of organisational risk can be enhanced.
- 4.2 In addition, ensuring effective external and internal audit arrangements and the publication of an Annual Governance Statement are legal requirements for the Authority and the processes of implementation, monitoring and reporting of improvement actions arising therefore constitute an important element of the Authority's governance arrangements.

**ZOE EVANS  
ASSISTANT CHIEF OFFICER  
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**Monitoring Report of Actions Arising from Audit Reports  
(incorporating any actions outstanding at 31 March 2017 from earlier reports)**

**APPENDIX A**

URN	Auditing Body & Source	Audit Area and Responsible Manager	Priority	Agreed Action	Progress Report to Date	Timing For Completion	Status ('Not Started', 'In Progress' or 'Completed')
GOV 5 (16/17)	RSM May 17: Final Report (16/17)	Governance Transparency & Decision Making  Head of Human Resources	Low	<b>New</b> The Authority will update its website to include all staff who are in the top three levels of the organisation regardless of the salaries they may earn.	The action is on the HR workplan but owing to resource and capacity issues in HR has not yet been completed. It will be completed within this years team plan 17/18 e.g. no later than March 2018  <b>Request to extend the completion date to 31 March 2018</b>	Original Jul 17	In Progress
GOV 6 (16/17)	RSM May 17: Final Report (16/17)	Governance Transparency & Decision Making  Head of Human Resources	Low	<b>New</b> The Authority will publish the following in relation to senior salaries: <ul style="list-style-type: none"> <li>a list of responsibilities (for example, the services and functions they are responsible for, budget held and number of staff) and details of bonuses and 'benefits in kind', for all employees whose salary exceeds £50,000.</li> </ul>	This action was planned to be completed by July 2017 but resource and capacity issues have prevented this. It is still planned to complete during 17/18  <b>Request to extend the completion date to 31 March 2018</b>	Original Jul 17	In Progress
RetRec 1.1 (16/17)	RSM Apr 17: Final Report (16/17)	Retained Recruitment  Head of Training and Development	Low	<b>New</b> The Head of Training and Development will ensure that the data recorded within the 'People Strategy' when reported to the HR Policy and Challenge Group is appropriately captured within the minutes to clearly evidence where this has been reported and discussed. In addition, the Authority will ensure that during 2017/18 the details within the recently published 'National People Strategy' will be incorporated in the Authority's current People Strategy.	The Service's 'People Strategy' is presented to Fire Authority members and is recorded as item 3 within the Terms of Reference for the HR Policy and Challenge meetings.  A National Fire Chiefs Council (NFCC) workstream is developing a People Strategy that will be incorporated into the Service version.	Original Mar 18	In Progress

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RetRec 1.2 (16/17)	RSM Apr 17: Final Report (16/17)	Retained Recruitment  Head of Training and Development	Low	<p><b>New</b> The Head of Training and Development in conjunction with the Assessment &amp; Selection Co-ordinator will ensure that the Retained Duty System (RDS) Policy and Procedures document is updated to:</p> <ul style="list-style-type: none"> <li>• Incorporate the additional retained recruitment procedures and flowcharts, including the 'Re-Employment as RDS' Procedure;</li> <li>• Record the additional checks on National Insurance, Right to Work in the UK and DVLA details; and</li> <li>• Include links to other Policies, Procedures and Guidance Notes where applicable.</li> </ul> <p>Once updated the RDS policy and Procedures document will be formally approved and published on the Intranet to be available to all staff to follow.</p>	The Policy V10 17 02 'on-call recruitment policy and procedure' has been reviewed, updated and presented for consultation in June 2017. The policy incorporates all elements raised within the audit process.	Original Sep 17	In Progress
RetRec 1.3 (16/17)	RSM Apr 17: Final Report (16/17)	Retained Recruitment  Head of Training and Development	Low	<p><b>New</b> The Head of Training and Development will ensure that the requirement for a Retained Firefighter applicant to sign off the Job Description and Personnel Specification documents is removed to stop any confusion to whether they need to be signed or not.</p>	This process has now been review and revised by HRSM and ASC. HOps has signed off the JD & Person Specification as functional lead. Action is now completed.	Original Sep 17	Completed – No follow up audit required

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RetRec 1.4 (16/17)	RSM Apr 17: Final Report (16/17)	Retained Recruitment  Head of Training and Development	Medium	<b>New</b> The Head of Training and Development will ensure that all required recruitment documents and checks are fully completed and performed prior to a Retained Firefighter starting at the Authority.	It is HR policy not to start anyone without the necessary clearances having taken place. Specific and essential documents are required prior to progression for training. Timescales for RDS recruitment have been extremely tight and there has not been time to process all clearances before the individual is required to start the course. In these cases, their continuous employment is always subject to all clearances being obtained. This is stipulated in the paperwork supplied.  Of those applications sampled, all have been reviewed to ensure they meet requirements. The sample included personnel that may have not completed their application process and/or been returning to RDS duties. 12.07.17 - confirmation that a check process exists for each application to monitor recruitment documents. Any employment offer prior to full document receipt will be subject to individual case scrutiny, organisational need and provisional pending final outcome assessment.	Original Jun 17	Completed – To be confirmed by follow-up audit

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URN	Auditing Body & Source	Audit Area and Responsible Manager	Priority	Agreed Action	Progress Report to Date	Timing For Completion	Status ('Not Started', 'In Progress' or 'Completed')
RetRec 1.5 (16/17)	RSM Apr 17: Final Report (16/17)	Retained Recruitment  Head of Training and Development	Low	<b>New</b> The Head of Training and Development will ensure that clarification on what recruitment documents are to be held by who and for how long is clearly documented. A review will be undertaken to ensure, where possible, all recruitment documents are held centrally in one location.	The requirements for retention of documents has been reviewed and incorporated into revised Policy. Key employment documents will be held by HR for PRF inclusion (unchanged position). Recruitment Team will hold selection and recruitment result details for 12 months, subject to probation period completion.	Original Sep 17	Completed – No follow up audit required
RetRec 1.6 (16/17)	RSM Apr 17: Final Report (16/17)	Retained Recruitment  Head of Training and Development	Low	<b>New</b> Development will ensure that clarification on what recruitment documents are to be held by who and for how long is clearly documented. A review will be undertaken to ensure, where possible, all recruitment documents are held centrally in one location. Exit Interview Questionnaires returned is calculated and reported will be reviewed and updated. This is to record if an RDS Leaver has become a Whole-time Firefighter or has had a one-to-one meeting with the Chief Fire Officer as these will have an influence on the overall percentage calculated	A review of documentation has taken place involving HR and Training and Development with agreement reached on what will be held, for how long and by whom. HR retain a check list of application detail, with detail maintained electronically on Personal Record Files. This action has been completed.	Original Sep 17	Completed – No follow up audit required