

For Publication

Bedfordshire Fire and Rescue Authority  
Human Resources Policy and Challenge  
Group  
29 June 2017  
Item No. 9

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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 first 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 no requests to extend the original completion date. All actions are completed subject to 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  
(HUMAN RESOURCES AND ORGANISATIONAL DEVELOPMENT)**

**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')
TRDEV 3 15/16	<b>RSM</b> (Follow up) May 16: Final Report (15/16)  Follow up May 17: Final Report (16/17)	Training and Development (Ops)  Head of Human Resources	Medium	The Service will continue to work with PDRPro to develop a report running solution and in the meantime a manual reporting process will be achieved using sampling and presented within the 6-month report to SDMT.	PDR Pro have commenced development of an agreed improvement to reporting that encompasses assessments and the Service continues to work with PDR Pro to develop the solution.  In the meantime a manual reporting process has been developed and accepted into the Station Audit Programme creating improved feedback on PDR and LearnPro activity, specifically providing guidance on quantitative and qualitative sampling of assessments. This complements a 3-year sampling plan to run each six months and reported through the department audit (Oct and April each year).	<b>Original</b> Dec 16	Completed - Confirmed by follow-up audit
TRDEV 2 15/16	<b>RSM</b> Nov 15: Final Report (15/16)  Follow up May 16: Final Report (15/16)  Follow up May 17: Final Report (16/17)	Training and Development (Ops)  Head of Human Resources	High	The Head of Operations, with the aid of the Training and Development Team, will develop a strategy and action plan to engage assessors and increase the quality and volume of assessments undertaken on PDRPro with regards to both competence completion and the achievement of training outcomes. Regular audits will be undertaken to provide assurance that assessments and verifications are taking place to ensure PDRPro clearly demonstrates competence and the achievement of training outcomes.	The sample plan for June has been established and agreed through TDMT (22.06.16) and will consider a sample 25% of operational personnel, across all roles, stations and work systems. It will measure the level of assessment against the sub-role requirements as well as evidence of verification activity. Feedback will be provided through standardisation meetings.	<b>Original</b> Dec 15 (Plan) Mar 16 (compliance) Jun 16 (audit)	Completed - Confirmed by follow-up audit