

For Publication

Bedfordshire Fire and Rescue Authority
Human Resources Policy and Challenge Group
28 June 2018
Item No. 8

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 2016/17
 - 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.

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.

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 2018/19.
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 2018/19 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 2018/19 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 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 2016/17 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 14 June 2017, as part of the 2016/17 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')
PB 1.3 (17/18)	RSM Jan 18: Final Report (17/18)	Pensions Board Head of Finance & Treasurer	Low	The Authority will establish and maintain a Knowledge and Understanding Policy and Framework formally outlining the knowledge and understanding requirements for Board members	Policy has been prepared, considered by Pension Board and approved for publishing. HSDA to format for release.	Original Jun 18	Completed – no follow up audit required
PB 1.1 (17/18)	RSM Jan 18: Final Report (17/18)	Pensions Board Head of Finance & Treasurer	Low	The Terms of Reference for the Pension Board will be reviewed and updated to outline the specific responsibilities of the Board in assisting the Authority in its role as Scheme Manager. The terms of reference will be subject to regular review and this requirement will be defined within the terms of reference	The Terms have reference have been updated and will be reviewed as defined within the terms of reference.	Original Feb 18	Completed – no follow up audit required
PB 1.1a (17/18)	RSM Jan 18: Final Report (17/18)	Pensions Board Head of Finance & Treasurer	Low	The Pension Board will ensure that the website is kept up to date with the latest information and details for the Board members	The website has now been updated	Original Jan 18	Completed – no follow up audit required
PB 1.2 (17/18)	RSM Jan 18: Final Report	Pensions Board Head of	Low	The Authority will re-design the action log to include an implementation date and completion column.	This is now part of the minutes/action log (in place from meeting in Feb 18)	Original Feb 18	Completed – no follow up audit required

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	(17/18)	Finance & Treasurer		A clear audit trail will be maintained confirming that actions have been completed within action log presented in the subsequent meeting.			
RetRec 1.1 (16/17)	RSM Apr 17: Final Report (16/17)	Retained Recruitment Head of Training and Development	Low	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. Mar 2018: The establishment data is provided annually within the Public Sector Equality Duty (PSED) report. This is a public facing document. The 2017 report was presented to the FRA at HR Policy and Challenge Group on 11 January 2018. Earlier reports remain available on the Service	Original Mar 18	Completed – no follow up audit required

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					website and Intranet. The people strategy review will provide the latest Service to inform the next four years and remains in progress and on target.		
GOV 6 (16/17)	RSM May 17: Final Report (16/17)	Governance Transparency & Decision Making Head of Human Resources	Low	The Authority will publish the following in relation to senior salaries: <ul style="list-style-type: none"> 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. 	This has now been published on the Authority website	Original Jul 17 Agreed Extension to Mar 18	Completed – no follow up audit required
GOV 5 (16/17)	RSM May 17: Final Report (16/17)	Governance Transparency & Decision Making	Low	The Authority will update its website to include all staff who are in the top three levels of the organisation regardless of the salaries	Now completed and passed to Democratic Services for publishing.	Original Jul 17 Agreed	Completed – no follow up audit required

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		Head of Human Resources		they may earn.		extension to Mar 18	
RetRec 1.4 (16/17)	RSM Apr 17: Final Report (16/17) RSM Jun 18 Follow up Report (17/18)	Retained Recruitment Head of Training and Development	Medium	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	Original Jun 17	Completed – Confirmed by follow-up audit

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					<p>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.</p>		