

For Publication

Bedfordshire Fire and Rescue Authority
Human Resources Policy and Challenge
Group
21 September 2016
Item No. 6

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

SUBJECT: AUDIT AND GOVERNANCE ACTION PLANS
MONITORING REPORT

For further information on this report contact: Karen Daniels
Service Assurance Manager
Tel No: 01234 845013

Background Papers:

- Action Plans contained in Internal and External Audit Reports
 - Action Plan contained in the Annual Governance Statement 2013/14
 - Minutes of the Audit Committee dated 5 April 2012
-

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 second such report to the Human Resources Policy and Challenge Group for the year 2016/17.
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 2016/17 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 2016/17 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.
3. Monitoring Report of Actions Arising from the Authority's Annual Governance Statement
 - 3.1 The monitoring report covers the actions within the 2014/15 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 25 June 2015, as part of the 2014/15 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 2016 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	RSM (Follow up) May 16: Final Report (15/16)	Training and Development (Ops) Head of Human Resources	Medium	New 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	CMT have supported the proposal and subsequent funding to enable the development work for a report running solution by PDRPro to commence. A manual solution has been developed as an interim. Amendments have been developed and accepted into the Station Audit Programme to create improved feedback on PDR and learnPro activity, specifically providing guidance on quantitative and qualitative sampling of assessments. This will complement a 3-year sampling plan to run each six months and report through the departmental audit (Oct and Mar each year). Outcomes will be captured in the six-month report to SDMT.	Original Dec-16	In Progress
TRDEV 2 15/16	RSM Nov 15: Final Report (15/16) Follow up May 16: Final Report (15/16)	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.	A strategy has been developed and delivered to support the improvement of quality and volume of assessments within PDRPro. A departmental audit in June 2016 identified an improvement of more than double the quantity across all operational areas. Outcomes will be captured in the six-month report to SDMT. The strategy will include further departmental audits each six months to provide continued assurance, and identify areas for further improvement.	Original Dec-15 (Plan) Mar-16 (compliance) Jun-16 (audit)	Complete subject to follow-up audit.

**Monitoring Report of Actions Arising from Audit Reports
(incorporating any actions outstanding at 31 March 2016 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')
-----	------------------------	------------------------------------	----------	---------------	-------------------------	-----------------------	--