

Monitoring Report of Actions Arising from Audit Reports
(incorporating any actions outstanding at 31 March 2019 from earlier reports)

APPENDIX B

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')
RM (18/19) 2	RSM Feb 19: Final Report (18/19)	Risk Management Head of Governance & Asset Management	Medium	Risks on the Corporate Risk Register will have the following fields populated: <ul style="list-style-type: none"> • Mitigating controls; • Assurances against controls; and • Gaps in controls/assurances. 	<p>The Corporate Risk Register is currently based on a web placed platform, Abriska, any changes required within the system has to be done through the software provider, at a cost to the Service. It is recognised that from this audit there are a number of possible changes required to the system and for efficiency purposes it is best done in one change than varying small amendments.</p> <p>In addition to this the Service has undergone a significant governance and management restructure. Governance meetings amongst the Fire and Rescue Authority have been realigned and reporting during these meetings has been streamlined. Functions and responsibilities at Corporate Management level have also been realigned.</p> <p>To support greater effectiveness and efficiency for Corporate Risk Management, whilst taking into account the findings of this audit and the aforementioned restructures, it is considered timely that the Service review their entire current Corporate</p>	<p>Original May 19</p> <p>Request to extend completion date to Feb 2020</p>	In Progress

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					Risk Management process and reporting methodology. As part of the review we will also look into potential savings.		
RM (18/19) 3	RSM Feb 19: Final Report (18/19)	Risk Management Head of Governance & Asset Management	Medium	The organisation will decide whether to utilise the standard risk management definitions for inherent, residual and target risk. If it decides to continue with its use of absolute, inherent and residual risks, the definitions of these will be documented within the Risk Management Service Order.	This should form part of the above mentioned review for RM (18/19) 2	Original May 19 Request to extend completion date to Feb 2020	In Progress
RM (18/19) 4	RSM Feb 19: Final Report (18/19)	Risk Management Head of Governance & Asset Management	Medium	Formal risk management training will be provided to risk owners and other key staff. Areas to be covered could include: <ul style="list-style-type: none"> • the quality of risk descriptions • the level of information required for risk reviews • management of risk actions • mitigating controls • assurances gaps in control 	This should form part of the above mentioned review for RM (18/19) 2 & 3	Original May 19 Request to extend completion date to Feb 2020	In Progress

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RM (18/19) 5	RSM Feb 19: Final Report (18/19)	Risk Management Head of Governance & Asset Management	Low	The Service will update the Risk Procedure to include the minimum frequency at which risks will be reviewed.	All treated risks will be reviewed quarterly by Risk owners and updates entered on the ABRISKA system. All tolerated risks will be reviewed annually by CMT. This should form part of the above mentioned review for RM (18/19) 2, 3 & 4	Original May 19 Request to extend completion date to Feb 2020	In Progress
SC 4 (18/19)	RSM Apr 19: Final Report (18/19)	Stock Control Head of Governance & Asset Management	Medium	The Authority will ensure that following the upgrade of Microsoft Dynamics to training on the stores requisitioning system will take place for those members of staff who are responsible for ensuring transactions are done in an accurate and timely fashion.	Due to the delay in the upgrade of Microsoft Dynamics to the Service request an extension to this action to be completed by Feb 2020	Original Jul 19 Request to extend completion date to Feb 2020	In Progress
GOV 1.1 (18/19)	RSM Apr 19: Final Report (18/19) Follow up	Procurement Head of Governance & Asset Management	Low	The Procurement Policy should be amended to reflect the need to complete a Tender Evaluation Report. It should also state that where the minimum number of bidders has not been received, the Tender Evaluation Report should explain this and the authorising managers should confirm that this has not	Agreement between ACO and HGAM that the completion date will be pushed back to November 2019 due to work on two critical procurements (a. National Lead on a collaborative ICT project and b. Procurement process for the Replacement of the current Command and Control System). Revised Procurement Policy will be submitted for review / approval by the FRA on 6/11/2019.	Original Jun 19 Request to extend completion date to Nov 2019	In Progress

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				compromised the validity of the tender and the achievement of value for money.			
GOV 1.2a (18/19)	RSM Apr 19: Final Report (18/19) Follow up	Procurement Head of Governance & Asset Management	Medium	A formal process will be established and documented, in order to identify conflicts of interest before any communications with suppliers have occurred, and to then record these conflicts and appropriately manage them for each procurement exercise. This will include guidance on the process which should be followed to decide whether the conflict should be mitigated, or the supplier should not be considered.	The Conflict of Interest Form has been updated and a Conflict of Interest Register has been created and is maintained by the Procurement team. COI Forms are now issued to relevant project/procurement members upon commencement of the pre-tender phase rather than prior to commencing the evaluation/moderation process (as per previous practice) as per Audit recommendation. The formal process will be documented in the revised Procurement Policy document (please refer to action 1.1 above).	Original May 19 Request to extend completion date to Nov 2019	In Progress

Monitoring Report of Actions Arising from 2018/19 Annual Governance Statement

No	Issue	Source	Planned Action	Progress to date	Timing For Completion	Status ('Not Started', 'In Progress' or 'Completed')
1	Medium Term Budget/CRMP	Assurance Statements	To continue to address the medium term funding gap and manage for forthcoming funding pressures.	<p>The 2020/21 financial year will be a 'one off' settlement with the delayed spending review, Business Rates Review and Formula Review taking place for 2021/22. The strategic financial planning will therefore be far from the 2021/22 financial year.</p> <p>The 2020/21 budget and council tax will be set February 2020.</p>	Mar 2020	In Progress
2	Review of Authority Effectiveness	Governance report FRA March 2019	FRA Members decided in 2018/19 that the annual process was not required in this year and that the exercise would be completed again in 2019/20 with new FRA members, who will be in place from June 2019	New FRA members have been appointed and review of effectiveness will be discussed and the exercise completed at the next Audit and Standards Committee	Mar 2020	In Progress