

ESSEX FIRE AUTHORITY

Essex County Fire & Rescue Service



MEETING

Audit, Governance & Review
Committee

AGENDA ITEM

6

MEETING DATE

18 January 2017

REPORT NUMBER

EFA/007/17

SUBJECT

Audit Recommendation – Report on Progress Against Action Plans

REPORT BY

The Finance Director & Treasurer, Mike Clayton

PRESENTED BY

The Finance Director & Treasurer, Mike Clayton

SUMMARY

This paper reports on the progress against the action plans developed by the Service in response to audit reports. Items reported as completed in the previous quarter's report have been deleted from the table.

RECOMMENDATION

Members of the Committee are asked to review the progress.

BACKGROUND

This report brings forward the progress made by the Service in response to Audit recommendations.

RISK MANAGEMENT, LEGAL, FINANCIAL, ENVIRONMENTAL & EQUALITY IMPLICATIONS

There are no risk management, legal, financial, environmental or equality implications from this report.

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|---------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985 | |
| List of appendices attached to this paper: Table of Recommendations | |
| Proper Officer: | Mike Clayton |
| Contact Officer: | The Finance Director and Treasurer Essex County Fire & Rescue Service, Kelvedon Park, London Road, Rivenhall, Witham CM8 3HB Tel: 01376 576000 mike.clayton@essex-fire.gov.uk |

| Source | Finding from Audit report | Original (or amended) Service Action Plan | Responsibility and Timescales | Progress |
|----------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| IT General Controls | The information security policy does not include all of the information that should be within such a policy. | The Service will be documenting a full information security policy and this will be completed using ISO 27001 guidance. | ICT Security Officer Amended date June 2017 – Recruitment of ICT Security Officer unsuccessful | Revised Date |
| IT General Controls | Information sharing agreements are in place with third parties, however there is not an information sharing register which identifies all of the sharing arrangements in place. | We will complete a register to identify the information that we transfer that will include the transfer methods and the information types. This will ensure that all data is transferred securely. | Senior Information Risk Owner (Finance Director & Treasurer) Amended date June 2017 – Links to initial work on 2018 data protection regulations | Revised Date |
| Purchase of New Appliances | The Procurement Strategy requires formal approval | The Strategy will be presented for formal approval by the Policy & Strategy Committee | Purchase and Supply Manager Amended date June 2017 – National strategy under review | Revised Date |
| Risk Management | 6 out of 15 control descriptions reviewed were not detailed enough | Drop in risk sessions will be used to advise risk and control owners on adequate description of controls. | Risk and Business Continuity Manager October 2016 | Completed |
| Risk Management | The Strategic Management Board are not subjecting the Corporate Risk Register to an adequate level of challenge and scrutiny, actively seeking assurances around controls, or ensuring that action plans are in place to reduce specific risk to an acceptable level. | The Strategic Management Board (and the Service Leadership Team) will ensure it fulfils its remit with respect to risk management | Finance Director & Treasurer December 2016 | Completed |
| Risk Management | Members of the Strategic Delivery Board individually review risk registers but do not do so as a group. | This will now sit with the revised Service Leadership Team | Finance Director & Treasurer December 2016 | Completed |

| Source | Finding from Audit report | Original (or amended) Service Action Plan | Responsibility and Timescales | Progress |
|-----------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|-----------|
| Risk Management | The Policy & Strategy Committee is not taking an active role in setting and determining risk management policy and strategy | The Committee will fulfil its remit with respect to setting and determining risk management policy and strategy. | Finance Director & Treasurer December 2016 | Completed |
| Risk Management | The Corporate Risk Register presented to the February 2016 Authority meeting included incorrect information under the control details | The reports being produced by JCAD will be reviewed to ensure they are reporting complete information | Risk and Business Continuity Manager December 2016 | Completed |
| Data Retention | Essex Fire Authority has not provided any training on data retention or data protection | Essex Fire Authority will implement training to all relevant staff on data retention and data protection. | Learning and Development Manager March 2017 | On Track |
| Data Retention | Contracts Duplicate records have been held electronically and in hardcopy. In addition, data has been retained longer than the data retention period set in policy. | Essex Fire Authority will conduct an organisation wide review of data retention. This will include: Ensuring there are processes in place to identify when records are due for disposal; Disposing of electronic and hardcopy data in line with the data retention periods in the updated policy; Making decisions corporately or within departments to hold specific data electronically or in hardcopy so that duplicate records do not exist. | Purchase & Supply Manager March 2017 | On Track |
| Data Retention | Records of disposal have not been maintained by Payroll and I.T. | The Authority will ensure when data is disposed of a record will be kept by departments in line with the Record Retention & Disposal Policy | Deputy Director of Finance March 2017 | On Track |

| Source | Finding from Audit report | Original (or amended) Service Action Plan | Responsibility and Timescales | Progress |
|------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|-----------|
| Governance | The governance structure chart does not fully reflect the current committee arrangements. | The Authority will update the governance structure chart to reflect the current governance arrangements. | Service Solicitor & Deputy Clerk December 2016 (was May 2016) | Completed |
| Governance | There is no formal action plan process in place to demonstrate that the actions agreed at the individual committees are monitored to ensure satisfactory and timely progress has been made | The Authority should implement action logs to add robustness to the process of raising actions at the authority's key governance forums, provide a clear audit trail of actions set and allow for ease of monitoring. | Service Solicitor & Deputy Clerk December 2016 (was May 2016) | Completed |
| Governance | A formal training programme for the Authority's Members is not in place. In addition a training log is not in place to record Members training completion. | The Authority will ensure that training logs are retained for each of its Members and that where training sessions are missed that they are followed up with non-attendees. In addition the Authority will produce a formal training programme for Members. | Service Solicitor & Deputy Clerk December 2016 (was May 2016) | Completed |
| Governance | A self-assessment process is not in place for either the EFA itself or the committees within the governance structure | An annual review of the EFA and sub committees' effectiveness will be introduced to ensure that the forums have achieved their annual objectives and have adhered to their Terms of Reference. | Service Solicitor & Deputy Clerk April 2017 (was October 2016) | Completed |