



**DORSET & WILTSHIRE  
FIRE AND RESCUE  
AUTHORITY**

Item 18/47

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| MEETING                     | Finance & Governance Committee   |
| DATE OF MEETING             | 7 December 2018  |
| SUBJECT OF THE REPORT       | Internal Audit Progress Report   |
| STATUS OF REPORT            | For open publication   |
| PURPOSE OF REPORT           | For approval   |
| EXECUTIVE SUMMARY           | <p>This report provides Members with an update on the progress of work against the recommendations made by Internal Audit, Gateway Assure.</p> <p>The majority of actions identified continue to remain on track with good progress, however, two improvement activities, although progressing positively have minor delays, these are detailed within Table 1.</p> <p>Whilst these delays do not cause any significant risk, the Dorset &amp; Wiltshire Fire and Rescue Service (the Service) will continue to review the audit improvement activities to ensure their successful delivery within the revised dates provided.</p> |
| RISK ASSESSMENT             | Although a number of recommendations have been identified, none were judged to represent a significant risk to the Dorset & Wiltshire Fire and Rescue Authority (the Authority).   |
| COMMUNITY IMPACT ASSESSMENT | None for the purposes of this report   |
| BUDGET IMPLICATIONS         | None for the purposes of this report   |
| RECOMMENDATIONS             | <p>Members are asked to:</p> <ol style="list-style-type: none"> <li>1. Review and approve the progress made towards completing the agreed improvement activities.</li> </ol>   |

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| BACKGROUND PAPERS             | None for the purposes of this report  |
| APPENDICES                    | Appendix A - Audit Improvement Plan Activities  |
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**1. Introduction**

- 1.1 At each meeting, the Authority’s internal auditors present their findings following an agreed programme of quarterly audits. To support this, the auditors’ findings are aligned to improvement activities to strengthen and resolve the identified issues and these form the basis of the Service’s Audit Improvement Plan.
- 1.2 This report contains progress against each of these improvement activities.

**2. Improvement areas**

- 2.1 Although a number of recommendations were identified within the audits, none have been judged to represent a significant risk to the Authority.
- 2.2 All recommendations have been recorded within Appendix A, Audit Improvement Plan Activities, where details of the Service’s progress have been set out.
- 2.3 The majority of actions identified continue to remain on track with good progress, however, two improvement activities, although progressing positively, have minor delays, these are detailed within Table 1.

Table 1.

| <b>Audit</b>       | <b>Audit Recommendation</b>  | <b>Priority</b>  | <b>Management Update</b>   | <b>Revised Delivery Date</b> |
|--------------------|--|------------------|--|------------------------------|
| On-Call Systems    | Project Completion Schedule<br><br>We recommend that a schedule to confirm that all stations have been moved permanently to the new scheme (including those currently on trial status) is introduced and is completed when the final version of the scheme is formally agreed. | Merits Attention | The station adoption schedule needs to be reappraised in the light of recent representative body discussions.<br><br>We will develop a station adoption schedule and consult further with representative bodies as a priority.<br><br>The completion date of 31 October 2018 has now slipped due to the current circumstances, with an expected revised delivery date of 31 December 2018. | 31 December 2018             |
| Health & Wellbeing | Data Security<br><br>All sickness absence reports/spreadsheets containing sensitive personal data to be  | Merits Attention | During the scoping work to achieve a plan to deliver this recommendation, it has been identified that to password protect all documents would be resource  | 31 December 2018             |

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|--|--|--|--|--|
|  | <p>password protected before being emailed to other employees to help prevent unauthorised access and a potential data breach.</p> |  | <p>intensive and unmanageable.</p> <p>Work to identify secure and manageable arrangements is underway, however, due to this the target date of 20 September has now slipped. This Service is currently in the process of identifying the documents requiring password protection and the documents that need desensitising to remove the security risk.</p> <p>A revised target date has been set as 31 December 2018.</p> |  |
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- 2.4 There is no significant risk to the Service caused by these minor delays and the Service is comfortable that the revised dates will be achieved.
- 2.5 The Service will continue to review the audit improvement activities at their monthly delivery team meetings and will provide a focus on those reported with delays to ensure appropriate support is provided for their successful delivery.
- 2.6 As previously agreed, once considered by Members, those activities from the previous quarter’s audits which were reported as complete will be removed from subsequent reports.

**3. Summary and key points**

- 3.1 The Service continues to positively deliver audit improvements with the majority of the activities progressing well.
- 3.2 Two improvement activities have been reported with minor delays for delivery, neither delay will cause any significant risks to the Service.
- 3.3 The Lead Officer, responsible for the audit improvement activity, will attend the meeting to provide further details, if required.
- 3.4 The Finance & Governance Committee will receive an updated report at their next meeting, which will include progress made on the outstanding audit improvements.

December 2018