

GOVERNANCE COMMITTEE 22nd November 2010
IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS
Completed Actions

Appendix 2

Audit Ref No	Recommendation	Priority 1=Low 2=Med 3=High	Post responsible	SMT	Response	Action Date	Follow up Memo(s)	Date Closed
SECURITY AND PASSWORD CONTROLS 2009/10								
3.13	We recommend that all staff receive training on information security, even if they are on a temporary contract, to ensure that individuals are aware of their responsibilities.	Medium	Head of Training and Development	Head of Training and Development	This training will be included in the staff induction training.	30/09/2010	28/07/2010 08/09/2010	07/10/2010
ASSET MANAGEMENT AND INVENTORIES 2009/10								
3.12	Departments outside of Service Delivery should develop a system of uniquely labelling and identifying an inventory item.	Medium	Fleet Maintenance Centre Manager	Assistant Chief Officer Community Safety	Agreed	30/09/2010	03/09/2010	30/09/2010

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3.14	Annual checks should be evidenced, and the person creating the inventory should not be the person checking the inventory. The check of the inventory should be carried out by an independent person.	Medium	Marketing & Communications	Head of Marketing & Communications	Agreed	30/09/2010	28/07/2010 03/09/2010	11/10/2010
3.4	Departments should refer to Service Order 2/4 – Inventories, which gives guidance and policy for the creation and maintenance of an inventory.	Medium	Marketing & Communications	Head of Marketing & Communications	This will be put on the agenda for a future team meeting to ensure that all team members are aware.	30/09/2010	28/07/2010 03/09/2010	11/10/2010

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3.21	The Service's retention policy should be followed	Medium	Service Delivery Admin will discuss with Corporate Services who has responsibility for the retention policy	Assistant Chief Officer Community	Currently the Service is renewing its retention policy. Its likely to state that this information is retained for 6 years after disposal of the item.	June 2010		30/09/2010
TRAINING CENTRE 2009/10								
3.5	The current actions, responsibilities and timelines for the Medium Term Plan should be published on the Intranet and regularly updated as the working document.	Low	Training and Development Manager	Area Manager Training and Development	Agreed in part: The Training & Development Medium Term Plan is part of a wider combined Human Resources plan which is frequently reviewed.	Medium Term Plan quarterly review meeting	28/07/2010	05/10/2010

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ANIMAL RESCUE 2010/11								
3.27	The contractual arrangements for the Animal Rescue Specialist should be reviewed to ensure that he is paid in accordance with the contracted hours and time off In lieu is kept to a minimum.	Medium	Group Manager, Command Strategy and Specialist Response	Area Manager Response Support	The line manager will ensure that hours are reduced to within agreed limits as soon as practicable and time is better managed in future. No further claims for payment will be authorised.	30/09/2010	13/10/2010	13/10/2010
3.28	A crew or watch manager should approve claims.	Medium	Group Manager, Command Strategy and Specialist Response	Area Manager Response Support	Procedures will be reviewed to ensure supervisory managers approve on all occasions.	30/09/2010	13/10/2010	13/10/2010

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3.14	To ensure an adequate audit trail, the Animal Rescue Administrator should be issued with official receipts with which to receipt all donations. Also, to forward a copy receipt with cheques to Headquarters Finance Section and retain a copy of the receipt with the acknowledgement letter	Medium	Animal Rescue Specialist	Area Manager Response Support	Receipt processes are being formalised with HFRS finance dept to ensure all donations are receipted on official documentation	31/10/2010	14/10/2010	14/10/2010
3.34	A current inventory should be created for Animal Rescue's portable and attractive equipment.	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010	14/10/2010	14/10/2010

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3.35	Responsibility for an inventory which is up to date and accurate should be assigned to an appropriate staff member	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010	14/10/2010	14/10/2010
3.38	If an item is disposed of the date of disposal should be written/typed on the inventory, with the name of the person who approved the disposal.	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010	14/10/2010	14/10/2010
3.39	All pieces of equipment located in the Lecture room and owned by Animal Rescue should be listed on an inventory.	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010	14/10/2010	14/10/2010

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3.41	Portable and attractive items should be securely held in locked offices or cupboards.	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010	14/10/2010	14/10/2010
3.42	Inventory checks should be carried out annually and by an independent person to the person responsible for creating and maintaining the inventory. When these checks have occurred they should be evidenced and initialled on the inventory.	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010	14/10/2010	14/10/2010

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3.11	A formal budget deficit recovery plan should be compiled for the Animal Rescue Service, highlighting how and when potential budget deficits may be recovered.	Medium	Group Manager, Command Strategy and Specialist Response	Area Manager Response Support	A comprehensive evaluation of Animal Rescue activity is being produced for submission to SMT in October.	31/10/2010	14/10/2010	04/11/2010
3.12	A structured costing model/guidance for the Animal Rescue specialism should be developed to ensure that all operational costs are covered. The Animal Rescue Specialist should engage support from the Finance Department, as required.	Medium	Group Manager, Command Strategy and Specialist Response	Area Manager Response Support	Agreed	31/10/2010	14/10/2010	14/10/2010

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3.13	A summary of all sponsorship deals with Animal Rescue should be developed and held on the file containing supporting documentation for all sponsors, to clarify financial and operational details of the deals and to provide an adequate audit information trail. In addition, all sponsorship deals should be independently authorised to protect the role of the Service and the Animal Rescue Specialist.	Medium	Animal Rescue Specialist	Area Manager Response Support	All existing information will be collated and held on file in the Lyndhurst office until the full policy is in place.	31/10/2010	14/10/2010	03/11/2010

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3.26	As an interim measure prior to the introduction of the Gartan system, a basic chart should be produced to facilitate checks on staff availability within an appropriate time scale and to ensure that staff are not scheduled as unavailable yet are shown on retained claim forms as attending	Medium	Animal Rescue Specialist	Area Manager Response Support	A basic non availability system will be introduced in the interim which will be available electronically with the team managing it through the outlook calendar	31/10/2010	14/10/2010	03/11/2010
3.36	Furniture should be removed from the inventory.	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010	14/10/2010	03/11/2010

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3.37	The inventory should be updated and should comply with Service Order 2/4 - Inventories.	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010	14/10/2010	03/11/2010
3.40	When new purchases are made these items should be immediately listed on an inventory.	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010	14/10/2010	03/11/2010
URBAN SEARCH AND RESCUE 2010/11								
3.16	The credit card statement should be signed by the card holder and supervisor after the statement has been checked to ensure all transactions are correct.	Medium	Group Manager, Civil Protection	Area Manager Response Delivery	Agreed – now in place	30/09/2010	N/A	30/09/2010

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OVERTIME SYSTEM 2008/09								
3.21	Consideration should be given to initiating a method to ensure that statutory rest is taken and monitored in accordance with working time regulations.	Medium	Workforce Support Manager - Human Resources/ Health and Safety Manager	Director of Human Resources	This is being considered as part of the time management development in SAP and ongoing working time regulation compliance work.	Ongoing	16/04/2010 08/05/2010	21/10/2010
REDBRIDGE FIRE STATION 2010/11								
3.6	The imprest account should be carefully monitored to ensure that the account does not go overdrawn.	Medium	Station Manager	Area Manager Response Support	The account was overdrawn on one occasion. This will be closely monitored by Station Manager	01/10/2010	N/A	22/10/2010

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3.12	Firefighters should ensure that they check their overtime records and initial them for evidence.	Medium	Watch Managers	Area Manager Response Support	The only records not signed were of personnel that are on long term absence from station and therefore not able to sign until they return. Watch Managers will monitor this monthly.	31/10/2010	N/A	22/10/2010
3.14	Time of in lieu hours should be monitored to ensure that they are kept below the authorised limit	Low	Station Manager and Watch Managers	Area Manager Response Support	All Watch Managers to check monthly, SM will carry out periodic checks	31/10/2010	N/A	22/10/2010

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3.20	The despatch note number and signature that an item has been received should be completed on the indent voucher as proof an item has been received.	Low	Station Administrator and watch Managers	Area Manager Response Support	Agreed. Watch Managers will take on this responsibility when the administrator is on leave.	31/10/2010	N/A	22/10/2010
3.26	Annual checks should be carried out and the date of the check written on the inventory as evidence.	Low	Station Administrator and watch Managers	Area Manager Response Support	Agreed	31/10/2010	N/A	22/10/2010

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PROPERTY MANAGEMENT 2010/11								
3.4	We recommend that all Property Services personnel should be provided with current job descriptions and person specifications to ensure they understand their current roles and responsibilities. These should be updated following their individual Performance Development Reviews as appropriate and routinely reviewed.	Low	Graham Starke, Property Services Manager.	Director of Corporate Services	Agreed	01/11/2010	N/A	01/11/2010