

GOVERNANCE COMMITTEE 23rd September 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								
3.11	We recommend that responsibilities for all IT Security (IS) roles are accounted for via role profiles.	Low	Information Services Manager	Director of Corporate Services	Responsibilities for IT security roles are included in job descriptions. All IS job descriptions will be reviewed.	September 2010	28/07/2010	30/07/2010
OVERTIME SYSTEM 2008/09								
3.17	TOIL (time off in lieu) balances should not exceed thirty hours in line with HFRS policy.	Medium	All	Service Management Team	All areas are well under way working towards this as a priority.	Ongoing	16/04/2010	20/04/2010

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PARTNERSHIPS 2008/09								
3.17	The partnership agreement tested should include a protocol for the management of conflicts of interest to ensure that where they occur, an agreed procedure by both parties is followed.	Medium	Station Manager (Co-responders)	Assistant Chief Officer (Service Delivery - Response)	Agreed – this will be considered during any future addendums to the agreement, or during the drafting of the new agreement, whenever the opportunities arise first.	01//04/2012 – unless the opportunity to revise the agreement arises beforehand.	N/A	30/04/2010
STRATEGY & PLANNING 2009/10								
3.6	HFRS should consider the outcomes of comparisons to other Authorities' plans to assess whether they may wish to revise their approach for the contents of future service plans.	Low	Director of Corporate Services	Director of Corporate Services	Agreed	December 2010	N/A	31/08/2010

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TEMPORARY AGENCY STAFF AND CONSULTANTS 2009/10								
3.2	We recommend that on the next revision of the Human Resources Medium Term Plan, mention is made of the policy on engagement of temporary staff, to ensure that appropriate procedures are known and followed.	Low	N/A	N/A	The Service policy on the engagement of Staff is incorporated into our Service Orders and is reviewed by the SMT group on an annual basis. This piece of work is considered as business as usual and would not get a specific mention on the Medium Term Plan, which is primarily related to new work/projects.	N/A	N/A	N/A

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3.3	The job description of the Human Resources officer (Workforce Planning) should be brought up to date, in order to ensure that work responsibilities remain current.	Low	Human Resources Manager Workforce Support	Director of Human Resources	Agreed	Immediate	28/07/2010	28/07/2010

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3.4	Additional details should be recorded in the list of temporary agency staff held in the Human Resources Workforce Planning Section, in particular the names of person(s) for whom temporary cover is required and person(s) responsible for originally engaging temporary staff. In addition, consideration should be given to the list of temporary agency staff being held in a protected folder to cover any absence of the Human Resources Officer	Medium	Human Resources Manager Workforce Planning	Director of Human Resources	Agreed	July 2010	28/07/2010	10/08/2010

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3.7	On occasions where appointed temporary staff are not retained as they are deemed to be unsuitable, either from the Service or Agency's perspective, then a record should be held of this to ensure they are not re-engaged by other areas of the Service.	Low	Human Resources Manager Workforce Planning	Director of Human resources	Agreed	As situation occurs	10/08/2010	10/08/2010
3.8	Clear reference to time frames should be made in all contractual agreements, to ensure that contracts are only in place for as long as absolutely necessary.	Medium	Information Services Manager	Director of Corporate Services	Agreed	Immediate	28/07/2010	30/07/2010

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3.11	All temporary agency staff time claimed should be supported by timesheets ('work records') signed by the employee and authorising officer at HFRS.	Medium	Human Resources Manager Workforce Planning	Director of Human Resources	Copies of HFRS timesheets are received as an attachment to the invoice – but occasionally they become detached, in which case we would ask the line manager to check their copy of the work sheet to confirm the hours worked.	Immediate	10/08/2010	10/08/2010
3.12	Temporary staff hours worked should preferably be certified by an authorised signatory, as recorded in the authorised signatory record held in Finance.	Medium	Human Resources Manager Workforce Planning	Director of Human Resources	Finance to provide updated signatory list.	July 2010	10/08/2010	10/08/2010

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3.13	We recommend that authorisation for payment and a date should be completed across the face of all invoices passed to Finance for payment, to complete the audit information trail.	Medium	Human Resources Manager Workforce Planning	Director of Human Resources	This is normally completed by the Human Resources Manager – team to be reminded not to process without this signature.	July 2010	10/08/2010	10/08/2010
3.14	Agency staff timesheets should always be attached to invoices received for payment, in order to confirm actual hours worked.	Medium	Human Resources Manager Workforce Planning	Director of Human Resources	Timesheets are received as an attachment to the invoice – but occasionally they become detached, in which case we would ask the line manager to check their copy of the work sheet to confirm the hours worked.	July 2010	10/08/2010	10/08/2010

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3.15	Care should be taken in the coding of consultancy expenditure. Consideration should be given to the completion of a directive to support this.	Low	Finance Officer	Head of Financial and Office Services	The miscodings related to the cost of delivering and installing equipment. The 2010/11 code book will include instruction that these costs should be included as part of the cost of the equipment.	June 2010	30/06/2010	30/06/2010
UNOFFICIAL FUNDS 2009/10								
3.5	The Service Order should be amended to reflect that it applies to all types of funds so that staff become aware of the procedures to administer their fund.	Low	Financial Services Officer	Head of Financial and Office Services	Agreed	31/10/2009 extended to 31/12/2009 Extended to: 31/07/2010	14/10/2009 20/12/2009 23/03/2010 04/05/2010 28/07/2010	30/07/2010

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RED BOOK COMPLIANCE – FRAUD AND CORRUPTION 2010/11								
Q28	There should be closer links between the work undertaken by Human Resources Business Partners and Internal Audit. In addition to the annual pro-active fraud reviews undertaken by Internal Audit, consideration should also be given to Human Resources Business Partners developing their own programme of pro-active reviews within the resources available by targeting the highest risk areas.	Medium	Human Resources Business Manager	Director of Human Resources	Agreed	Complete	N/A	25/06/2010

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Q41	As required by the Authority's Financial Regulations, all irregularities or suspected irregularities must be reported to both the Director of Corporate Services and the Chief Internal Auditor.	High	Human Resources Business Manager	Director of Human Resources	Agreed	Complete	N/A	30/06/2010
ASSET MANAGEMENT & INVENTORIES 2009/10								
3.10	Old inventories should be kept to provide an audit trail of past items and any items which have been transferred or disposed of.	Medium	Service Delivery Administration	Assistant Chief Officer Community Safety	The Service recently introduced a new system of recording items on the inventory. The Service Order will be updated to reflect this.	June 2010	28/07/2010	30/07/2010

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3.12	Departments outside of Service Delivery should develop a system of uniquely labelling and identifying an inventory item.	Medium	Occupational Health	Director of Human Resources	Agreed	30/09/2010	28/07/2010	30/07/2010
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	Service Delivery Administration	Assistant Chief Officer Community Safety	The Service Order guidance will be updated to state that two people undertake the checks on station.	June 2010	28/07/2010	30/07/2010

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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	Occupational Health	Director of Human Resources	Agreed	Immediate	N/A	N/A
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	Fleet Maintenance Centre Manager	Assistant Chief Officer Community Safety	Have referred to SO/2/4 and will complete inventory.	Immediate	N/A	N/A

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3.6	Property Services should create an inventory for equipment within Building Maintenance which is portable and attractive.	Low	Property Services	Director of Corporate Services	The inventory has been completed.	Immediate	N/A	N/A
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 Safety	Currently HFRS is renewing its retention policy. It's likely to state that this information is retained for 6 years after disposal of the item.	June 2010	28/07/2010	30/07/2010

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DATABASES 2009/10								
3.3	We recommend the ownership and responsibilities for the Service owner of Hydra are documented in the Production Authorisation document.	Low	ICT Manager	Director of Corporate Services	Agreed and complete	Immediate	N/A	17/08/2010
TRAINING CENTRE 2009/10								
3.15	A simple system should be devised to offer spare room capacity to Headquarters and other staff with a view to rationalising accommodation and therefore reducing costs to the Authority.	Medium	N/A	N/A	Agreed in part: We currently maintain a simple booking system and provide access to rooms, however, course allocation has primacy which can discourage use by other departments.	N/A	N/A	N/A

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HUMAN RESOURCES 2008/09								
3.3	We recommend that the Service Order reference SO/1/1/1, relating to the recruitment of firefighters should be updated, and care taken to ensure that relevant Human Resources service orders remain current at all times.	Low	Human Resources Manager (Workforce Planning)	Director of Human Resources	The Service Order is currently being reviewed, which will encompass the elements covered for firefighter selection. It has been superceded by the national guidance documents including procedures for the national firefighter selection tests.	June 2009 for completion extended to 31/03/2010 extended to 31/08/2010	29/06/2009 21/08/2009 29/10/2009 18/01/2010 17/04/2010 08/05/2010 10/08/2010	31/08/2010

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BASINGSTOKE FIRE STATION 2010/11								
3.11	In order that evidence exists that claimants agree with the watch records, overtime and TOIL, claimants and approvers should ensure that claims are signed.	Medium	All managers to monitor. (Basingstoke Fire Station)	Area Manager Service Delivery Response (support)	Sometimes this has been difficult due to shifts. Personnel have been reminded again – managers are to monitor the situation.	Immediate	04/08/2010	04/08/2010

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PAYROLL OPERATIONS 2009/10								
3.13	Consideration should be given to streamlining the leaver process by combining all information on a single form, possibly passing via relevant sections, such as Finance, before being received for processing by Workforce Support.	Low	Human Resources Manager (Workforce Support)	Director of Human Resources	This recommendation will be investigated over the next couple of months. We have already formalised exit interview procedures and now record, analyse and chase for exit interview data.	July 2010	28/07/2010	28/07/2010
<p>Item closed due to the following information from Human Resources: 'We have considered this recommendation and given the (relatively wide) circulation of a combined form and the confidential nature of some of the information therein (which is currently preserved by using separate forms) we do not feel it appropriate to combine these forms at present. If Audit had specific aspects of specific forms they felt could be combined without any breach of confidentiality we would be happy to discuss further.'</p>								