



Governance & Performance Working Group:  
Cllr Evonne Williams  
Cllr Linda Chilton  
Cllr Stuart Brittain  
Cllr Clive Moesby  
Cllr Sue Burfoot

Headquarters  
Butterley Hall, Ripley,  
Derbyshire. DE5 3RS

Contact Name & Address  
Laura Slade/  
Alex Banks/  
Marie Lloyd-Jones

Contact Extension No  
5315/5316/5318

Telephone No  
01773 305305

Our Reference  
TM/LS

Date  
2 November 2020

Dear Member

## Derbyshire Fire & Rescue Authority Governance & Performance Working Group

The GPWG meeting will take place **on-line on Monday 9 November 2020 at 1000 hours** via WebEx.

As a result of the meeting being on-line, the Chair has asked that an **Executive Summary only** of the papers be presented. I am however enclosing all of the papers for your attention should you wish to go through them in detail.

The internal and external Auditors will be represented at the meeting and will be happy to go into detail regarding the Audit Reports should you wish to do so.

I have asked Principal Officer Support to make contact with you regarding access to WebEx and to ensure that you are comfortable with its use. However, any problems please do not hesitate to contact us.

The agenda is set out below.

Yours sincerely

**Gavin Tomlinson**  
**Chief Fire Officer/Chief Executive**

email: [reception@derbys-fire.gov.uk](mailto:reception@derbys-fire.gov.uk)  
www.derbys-fire.gov.uk

Chief Fire Officer / Chief Executive  
Gavin Tomlinson MBA MIFireE



## **A G E N D A**

1. Apologies
2. Declaration of Interests
3. Minutes of the Meeting held on 7 September 2020
4. External Audit – Verbal Update, Helen Henshaw, Associate Partner, EY
5. Internal Audit Progress Report – Mandy Marples, Audit Manager, Derby City Council
6. Key Subject Matter – Fire Pensions – Verbal Update, Simon Allsop, Joint Director of Finance & Business Services
7. Data Recovery Capabilities – Verbal Update, Nigel Glossop, Head of Systems & Information
8. Covid-19 HMICFRS Inspection – Verbal Update, Judi Beresford, Director of Corporate Services
10. Proposed Scrutiny Programme – Judi Beresford, Director of Corporate Services
11. Quarter 2 Performance Summary and Balanced Scorecard 2020/21 (including Risk Register) (Website) – Rick Roberts, Deputy Chief Fire Officer

### **Exempt Reports**

12. New HR/Payroll System Results and Benefits – Judi Beresford, Director of Corporate Services

Members can access the performance dashboard via the following link to the FireView intranet site:

[\(Performance Dashboards\)](#)

If you encounter problems with access to FireView please do not hesitate to contact the Principal Officer Support team – Laura, Marie or Alex on 01773 305305.

**DERBYSHIRE FIRE & RESCUE AUTHORITY**  
**GOVERNANCE AND PERFORMANCE WORKING GROUP**  
**MINUTES OF THE MEETING HELD**  
**7 SEPTEMBER 2020**

**Present:** Cllr Evonne Williams (Chair)  
Cllr Clive Moesby  
Cllr Stuart Brittain  
Cllr Linda Chilton  
DCFO Rick Roberts  
DCS Judi Beresford  
AM Rob Taylor  
AM Roy Reynolds  
AM Clive Stanbrook  
GM Dean Gazzard  
Louise Taylor – Solicitor/Monitoring Officer  
Simon Allsop – Director of Finance/Treasurer  
Fiona Cragg – Planning & Projects Officer  
Mandy Marples (Derby City Council/CMAP)

**Committee Clerk:** Alex Banks

**1. APOLOGIES**

Cllr Sue Burfoot.

**2. DECLARATIONS OF INTEREST**

None.

**3. MINUTES OF THE MEETING HELD ON 6 JULY 2020**

Previously approved at Fire Authority on 23 July 2020. These were noted and there were no matters arising.

**4. JOINT ASSETS FINAL AUDIT REPORT**

M Marples provided an Executive Summary of the Joint Assets Final Audit Report.

Work has taken place to implement the recommendations since the audit, which took place in February 2020. Joint systems are in place, and a paper has been taken to the Police & Crime Commissioner (PPC) and DPFP LLP Board on the Asset Management Strategy for Police, aligned to Fire's asset management plan. A joint Operations Board/Performance Board has been discussed, and it is hoped this will be in place by October 2020.

A further update will be provided at the next GPWG meeting on 9 November 2020.

## **5. NEW HR/PAYROLL SYSTEM**

J Beresford provided a verbal update on procurement of a new HR/Payroll system. The project is on target against planned timescales. The tender period closed on 27 August 2019: 57 enquiries were initially received, resulting in 7 completed tenders. 1 of these was disqualified, the remaining 6 are progressing to the next stage with tender documents being scored, and providers will be invited to meet with stakeholders in the week commencing 14 September 2020. The project has been an opportunity to demonstrate good collaboration with the Police procurement team.

J Beresford thanked all those who have been involved and will report the result of the tender process at the next GPWG meeting on 9 November 2020 along with details of the new system.

## **6. COVID 19 INSPECTION**

J Beresford gave a presentation on the HMICFRS Covid-19 inspection, scheduled for October 2020. The next full inspection is now expected to be late 2021 or early 2022.

Significant data requests and surveys have been received for the Covid-19 inspection, although these will not be formally 'scored'. The inspection will focus on the utilisation of the Tri-Partite Agreements, with respect to requests received from the Local Resilience Forum, and any activities that took place outside of the agreement. It is expected that themes will include best practice, challenges faced, and how the Tri-Partite Agreement was coordinated to ensure consistency nationally. The two-week inspection will be done virtually and a letter will be produced with an assessment.

The outcome of the inspection will be reported on in due course. At this stage no direct Member involvement is required.

## **7. QUARTER 1 YEAR END PERFORMANCE SUMMARY 2019-20**

Members noted the highlights from the Quarter 4 Year End Performance Summary 2019-20.

Members praised the way in which DFRS employees have worked under the extreme and unprecedented conditions presented by the Covid-19 crisis.



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# Derbyshire Fire & Rescue Service – Progress Report

Governance & Performance Working Group: 9 November  
2020



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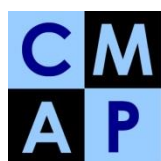
## Our Vision

Through continuous improvement, the central midlands audit partnership will strive to provide cost effective, high quality internal audit services that meet the needs and expectations of all its partners.

## Contacts

Richard Boneham CPFA  
Head of Internal Audit (DCC) &  
Head of Audit Partnership  
c/o Derby City Council  
Council House  
Corporation Street  
Derby, DE1 2FS  
Tel: 01332 643280  
[richard.boneham@derby.gov.uk](mailto:richard.boneham@derby.gov.uk)

Mandy Marples CPFA, CCIP  
Audit Manager  
c/o Derby City Council  
Council House  
Corporation Street  
Derby  
DE1 2FS  
Tel. 01332 643282  
[mandy.marples@centralmidlandsaudit.co.uk](mailto:mandy.marples@centralmidlandsaudit.co.uk)



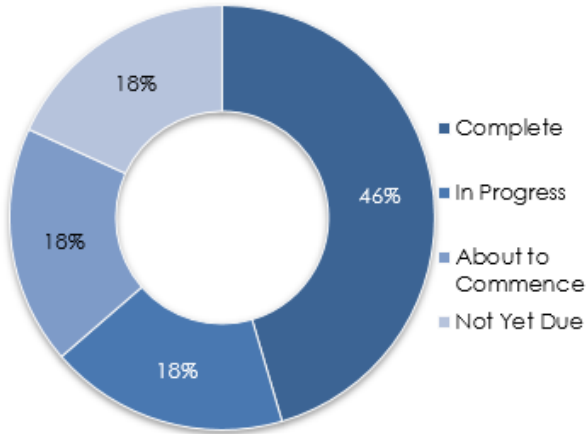
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*Providing Excellent Audit Services in the Public Sector*

# Derbyshire Fire & Rescue – Audit Progress Report

## AUDIT DASHBOARD

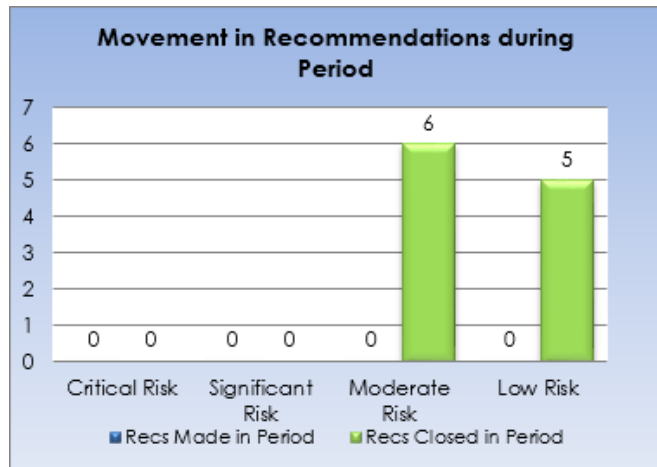
### Plan Progress



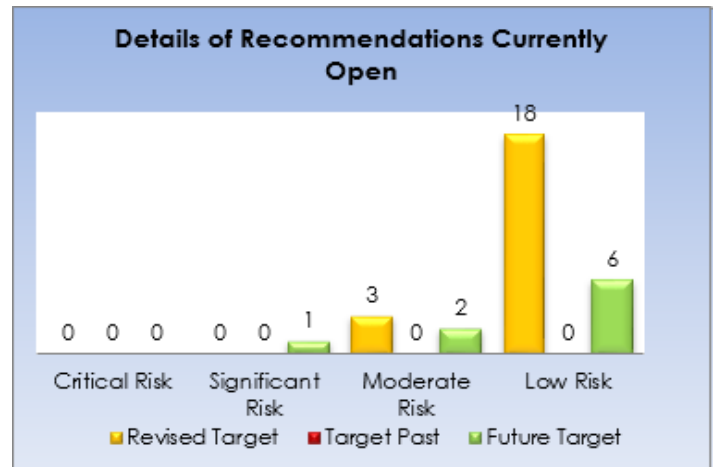
### Assurance Ratings

No Jobs Completed in Period

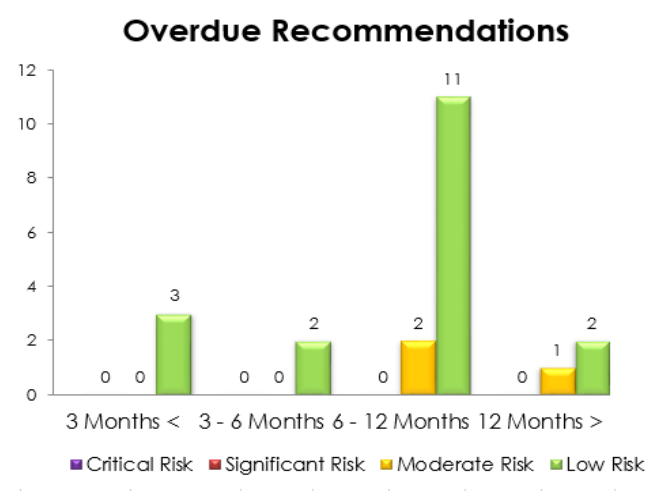
### Recommendations



### Recommendations



### Recommendations



### Customer Satisfaction



## Derbyshire Fire & Rescue – Audit Progress Report

### AUDIT PLAN

#### Progress on Audit Assignments

The following table provides the Governance & Performance Working Group with information on how audit assignments were progressing as at 30 September 2020.

2020-21 Jobs	Status	% Complete	Assurance Rating
Treasury Management	In Progress	80%	
Risk Management	Allocated	5%	
Joint Working Arrangements	Allocated	0%	
Data Recovery Capabilities	Final Report	100%	Limited
Security Awareness	In Progress	65%	
IT Infrastructure	Not Allocated	0%	
Workforce Planning	Not Allocated	0%	

B/Fwd Jobs	Status	% Complete	Assurance Rating
Joint Assets	Final Report	100%	N/a
Business Continuity	Final Report	100%	Reasonable
Data Quality & Performance Management	Final Report	100%	Reasonable
Cyber Security	Final Report	100%	Limited

#### Audit Plan Changes

The delivery of the audit plan has been affected by the Covid-19 pandemic. The disruption to services caused by the lockdown, staff secondments into front-line services and increased sickness levels has inevitably led to delays in our audits and a potential reduction in audit coverage. No plan changes have been made at this time, but this will be kept under review during the year.



## Derbyshire Fire & Rescue – Audit Progress Report

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### AUDIT COVERAGE

#### Completed Audit Assignments

No audit assignments have been completed in the period since the last Governance & Performance Working Group.

## Derbyshire Fire & Rescue – Audit Progress Report

### RECOMMENDATION TRACKING

Final Report Date	Audit Assignments with Open Recommendations	Assurance Rating	Recommendations Open		
			Action Due	Being Implemented	Future Action
26-Mar-18	Data Matching	N/A	0	1	0
16-May-18	Joint Contracts Review	Reasonable	0	2	0
29-Apr-19	Payroll	Comprehensive	0	1	0
29-Apr-19	Main Accounting System	Reasonable	0	3	0
21-Oct-19	Fireview	Reasonable	0	3	2
25-Nov-19	Financial Management 2019-20	Reasonable	0	3	0
31-Jan-20	Corporate Credit Cards	Comprehensive	0	4	0
20-Apr-20	Data Quality & Performance Management	Reasonable	0	1	4
10-Jun-20	Business Continuity	Reasonable	0	3	1
08-Jun-20	Data Recovery Capabilities	Limited	0	0	2
		<b>TOTALS</b>	<b>0</b>	<b>21</b>	<b>9</b>

**Action Due** = The agreed actions are due, but Internal Audit has been unable to ascertain any progress information from the responsible officer.

**Being Implemented** = The original action date has now passed and the agreed actions have yet to be completed. Internal Audit has obtained status update comments from the responsible officer and a revised action date.

**Future Action** = The agreed actions are not yet due, so Internal Audit has not followed the matter up.

Audit Assignments with Recommendations Due	Action Due			Being Implemented		
	Significant Risk	Moderate Risk	Low Risk	Significant Risk	Moderate Risk	Low Risk
Data Matching	0	0	0	0	0	1
Joint Contracts Review	0	0	0	0	1	1
Payroll	0	0	0	0	1	0
Main Accounting System	0	0	0	0	0	3
Fireview	0	0	0	0	0	3
Financial Management 2019-20	0	0	0	0	0	3
Corporate Credit Cards	0	0	0	0	1	3
Data Quality & Performance Management	0	0	0	0	0	1
Business Continuity	0	0	0	0	0	3
<b>TOTALS</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>3</b>	<b>18</b>

## Derbyshire Fire & Rescue – Audit Progress Report

### Highlighted Recommendations

The following recommendations have not yet been implemented and are detailed for the Performance & Governance Working Group's scrutiny.

### Being Implemented Recommendations

Joint Contracts Review	Rec No. 9
Summary of Weakness / Recommendation	Risk Rating
<p>A separate Call-Off Contract had not been signed between the Fire Authority and the Waste Contractor for the supply of services.</p> <p>We recommend that the Fire Authority make arrangements for a Call-Off contract to be drawn up and signed between themselves and the Waste Contractor, as soon as practically possible, to ensure that terms and conditions are duly recognised and legally enforceable.</p>	<b>Moderate Risk</b>
Management Response/Action Details	Action Date
The Solicitor/Monitoring Officer will draw up an agreement for both parties to sign.	30/09/2018
Status Update Comments	Revised Date
<p>Due to the new Temp Joint Director of Finance for Derbyshire Fire and Rescue Service and Derbyshire Constabulary role, this matter may now be picked up elsewhere within the Fire Service. Subsequently implementation of this recommendation has been delayed and will be picked up later in the year.</p> <p>This is being dealt with by the Derbyshire Fire &amp; Rescue Service Solicitor and has not yet been finalised. This is being chased up and due for completion by 31 March 2020.</p>	31/03/2020

Corporate Credit Cards	Rec No. 2
Summary of Weakness / Recommendation	Risk Rating
<p>Two card holders had not signed to confirm they agreed to the usage and terms and conditions of the corporate cards and one other card holder had not attended a fraud briefing and awareness session.</p> <p>We recommend that all card holders are asked to read and sign the credit card agreement, and attend a fraud awareness and briefing session to help to evidence awareness and understanding of appropriate use of the card, safeguarding of the card, and associated terms and conditions.</p>	<b>Moderate Risk</b>
Management Response/Action Details	Action Date
We need to brief one officer as all other card holders had been briefed as the cards were issued to them.	31/03/2020
Status Update Comments	Revised Date
Management requested additional time to implement the agreed actions due to the COVID-19 crisis and its impact on workloads, resources and priorities. Management are reviewing the use of procurement and corporate cards in its entirety, the final stage of which will be issuing new cards to card holders.	31/03/2021

## Derbyshire Fire & Rescue – Audit Progress Report

Payroll	Rec No. 1
Summary of Weakness / Recommendation	
<p>There was an element of duplication in data entry on the HR and Payroll systems. Additionally, the functionality of the systems also prohibits establishment checks to be undertaken.</p> <p>We recommend that as part of plans to explore an integrated HR and Payroll system (or alternative options to this) data entry, sharing of data, and system/module interfaces should be explored and developed to ensure efficiency in the process and prevent duplication of data entry wherever possible. Where data is entered only once, a greater emphasis should be placed on checking the accuracy and completeness of data, including establishment checks.</p>	<b>Moderate Risk</b>
Management Response/Action Details	
<p>SLT have recommended that consideration be given to exploring the option of replacing the current HR system, this would include, where possible, integration of associated systems. Until this avenue is explored current processes will continue to be followed.</p>	31/03/2020
Status Update Comments	
<p>Actions to address this issue were being aligned as part of the HR project. Officers were anticipating a replacement IT system that would eliminate the issue from reoccurring.</p>	31/03/2021

### Risk Accepted Recommendation

Data Recovery Capabilities	Rec No. 2
Summary of Weakness / Recommendation	
<p>The Service was not conducting test restoration processes of backups in line with a formal schedule to ensure backups were working properly.</p> <p>We recommend that Management defines and implements a formal schedule for testing restores of backups for all production systems.</p>	<b>Moderate Risk</b>
Management Response/Action Details	
<p>With the large volume of systems involved and with the current resources available it is not practical to undertake test restores of 10% of our servers. The Finance and HR data system back-ups have been demonstrated to work through the copying Live to Test process. Veeam confirms that back-ups taken are successful and all restores of data completed have been demonstrated to work.</p> <p>Investigations will take place into the automated testing of restores using Veeam. If this is shown to work then this will be implemented. If automated testing cannot be completed then the risk will be accepted.</p>	31/07/2020
Status Update Comments	
<p>Automated testing cannot be implemented with current tools. As stated previously the ICT Service Delivery Team does not have the available capacity to weekly check 10% of all servers, and to restore them into the same environment. However, the Veeam logs are checked on a weekly basis to confirm the back-ups have been taken and completed successfully. Restores have been completed of key systems and these demonstrated to work (e.g. Finance and HR). Details of restores completed are in the ICT Helpdesk.</p>	<b>Risk Accepted</b>

OPEN

DECISION

ITEM 10

## GOVERNANCE & PERFORMANCE WORKING GROUP

9 NOVEMBER 2020

### REPORT OF DIRECTOR OF CORPORATE SERVICES

#### PROPOSED SCRUTINY PROGRAMME FOR THE GOVERNANCE AND PERFORMANCE WORKING GROUP 2020/21

#### 1. Purpose of Report

- 1.1 To propose key subject matters for review by the Governance and Performance Working Group (GPWG) to support the Annual Governance Framework 2020/21.

#### 2. Recommendations

- 2.1 To approve the key subject topics detailed below for review by GPWG during 2020/21.

#### 3. Information and Analysis

- 3.1 At the Fire Authority meeting on 25 June 2015, Members agreed to replace Portfolio Assurance Statements that underpinned the Annual Governance Statement with scrutiny by Members of specific areas at each GPWG meeting.

- 3.2 To continue with this theme, below are some proposed topics for scrutiny by Members in 2020/21:

- Workforce planning & pensions
- Corporate risks – to include Covid recovery?
- HMICFRS – progress against action plans
- Commercial contracts
- Collaboration

#### 4. Other Considerations

- 4.1 None.

**This report has been consulted upon and approved by the following officers:**  
Strategic Leadership Team

**Contact Officer:**  
Director Judi Beresford

**Contact No:**  
01773 305305