



central midlands audit partnership

# Derbyshire Fire & Rescue Service – Progress Report

Governance & Performance Working Group: 21 Nov 2022



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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.

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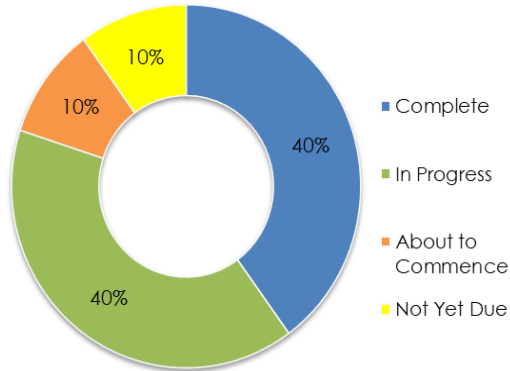
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*Providing Excellent Audit Services in the Public Sector*

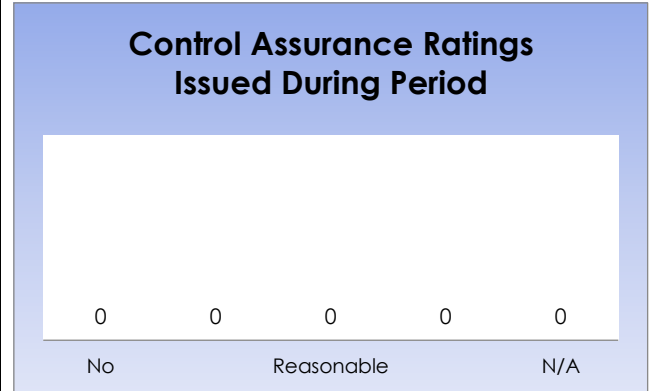
# Derbyshire Fire & Rescue – Audit Progress Report

## AUDIT DASHBOARD

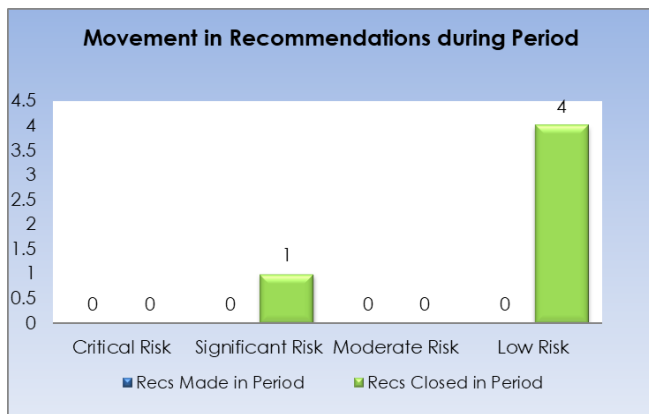
### Plan Progress



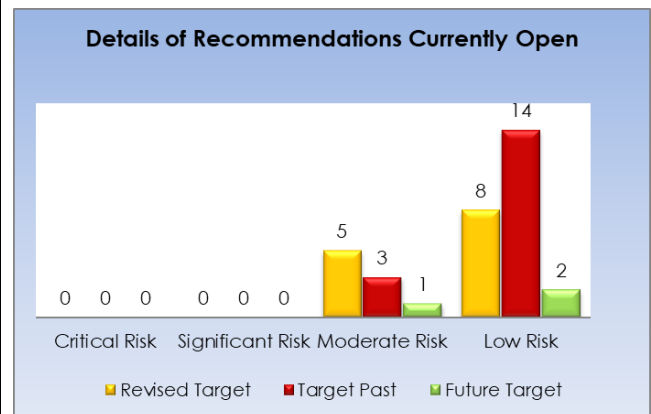
### Assurance Rating



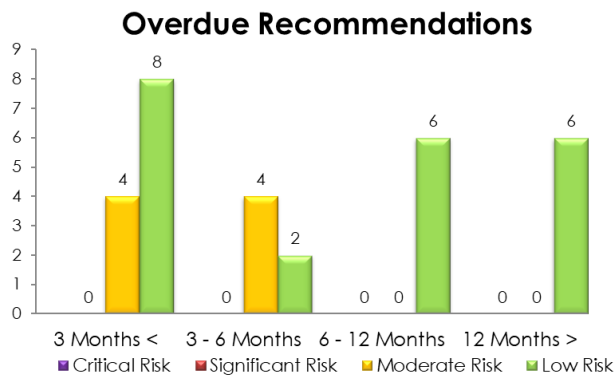
### Recommendations



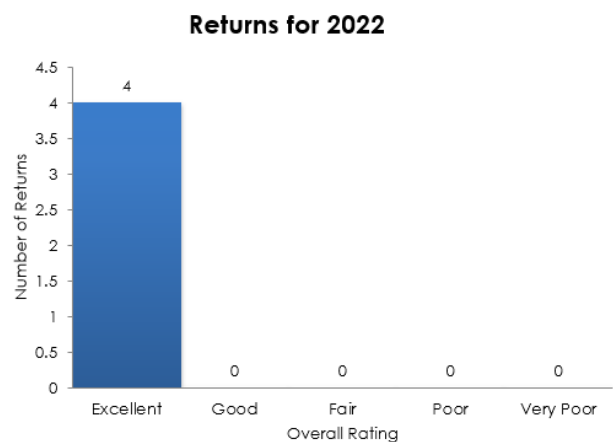
### Recommendations



### 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 of 31 October 2022.

2022-23 Jobs	Status	% Complete	Assurance Rating
Data Analytics – General Ledger	In Progress	40%	
Anti-Fraud & Corruption	In Progress	75%	
Recruitment	Allocated	10%	
IT Key Controls 2022-23	In Progress	40%	
Fleet Management	In Progress	45%	
Firewatch	Not Allocated		

B/Fwd Jobs	Status	% Complete	Assurance Rating
IT - Security Awareness	Final Report	100%	Reasonable
IT - Homeworking Key Controls	Final Report	100%	Limited
Collaborative Agreements	Final Report	100%	Reasonable
Transparency	Final Report	100%	Reasonable

#### Audit Plan Changes

The governance and ethics audit for 2022/23 was initially going to focus on Cultural Change at the Service. Following discussions with senior management, we have refined the audit area to focus solely on recruitment as being unable to recruit effectively to the Service is a key risk currently.

## AUDIT COVERAGE

### Completed Audit Assignments

There were no audit assignments finalised in this reporting period.

## 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
29-Apr-19	Main Accounting System	Reasonable	0	1	0
21-Oct-19	Fireview	Reasonable	0	3	0
10-Jun-20	Business Continuity	Reasonable	0	1	0
18-Jun-21	Joint Working Arrangements	Reasonable	6	0	0
11-Aug-21	IT Business Continuity	Reasonable	0	2	0
30-Nov-21	On-Call Payments	Reasonable	1	0	0
26-April-22	IT – Security Awareness	Reasonable	1	0	3
03-May-22	IT – Homeworking Key Controls	Limited	0	3	0
31-May-22	Transparency	Reasonable	4	2	0
09-Aug-22	Collaborative Agreements	Reasonable	5	1	0
		<b>TOTALS</b>	<b>17</b>	<b>13</b>	<b>3</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
Main Accounting System	0	0	0	0	0	1
Fireview	0	0	0	0	0	3
Business Continuity	0	0	0	0	0	1
Joint Working Arrangements	0	0	6	0	0	0
IT Business Continuity	0	0	0	0	2	0
On-Call Payments	0	0	1	0	0	0
IT – Security Awareness	0	0	1	0	0	0
IT – Homeworking Key Controls	0	0	0	0	3	0
Transparency	0	0	4	0	0	2
Collaborative Agreements	0	3	2	0	0	1
<b>TOTALS</b>	<b>0</b>	<b>3</b>	<b>14</b>	<b>0</b>	<b>5</b>	<b>8</b>

## Derbyshire Fire & Rescue – Audit Progress Report

### Highlighted Recommendations

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

### Being Implemented Recommendations

IT Business Continuity	Rec No. 4
Summary of Weakness / Recommendation	Risk Rating
<p>Central storage of team documentation for standard operating procedures and development work, as required in the 'Unavailability of employees' risk event containment measures, was not being adhered to in a reliable manner, and was not specific enough to identify the required content and locations.</p> <p>We recommend that management formally define, document and implement a dedicated filing structure for storing the documentation requirements expected to satisfy the containment measures defined against the 'unavailability of employees' scenario.</p>	Moderate Risk
Management Response/Action Details	Action Date
A review of the team documentation in place will be undertaken. Appropriate documentation will be put in place in a dedicated filing structure. This will only be at a high level that would enable someone to pick up and support systems in a business continuity situation. This process will commence in Oct 21 and aim to be completed by Jun 22.	30/06/2022
Status Update Comments	Revised Date
Work continuing on documentation.	31/12/2022

IT Business Continuity	Rec No. 6
Summary of Weakness / Recommendation	Risk Rating
<p>There was no central knowledge management system in place for the IT Service Delivery team. Furthermore, fundamental IT documentation required to assist Business Continuity Plan objectives either did not exist or was not being maintained.</p> <p>We recommend that management formally defines the requirements of a knowledge management system, and looks to document and implement a centralised system of knowledge articles based on those requirements.</p>	Moderate Risk
Management Response/Action Details	Action Date
A review of the team documentation in place will be undertaken. Appropriate documentation will be put in place in a dedicated filing structure. This will only be at a high level that would enable someone to pick up and support systems in a business continuity situation. A knowledge management system will be investigated. With knowledge articles on key systems/skills will be placed in it. This process will commence in Oct 21 and aim to be completed by Jun 22.	30/06/2022
Status Update Comments	Revised Date
Work continuing on documentation.	31/12/2022

## Derbyshire Fire & Rescue – Audit Progress Report

IT Homeworking Key Controls	Rec No. 9
Summary of Weakness / Recommendation	Risk Rating
Admin permissions to live servers in the Service's domain had not been restricted to dedicated separate administrative accounts, breaching cyber security best practices.	Moderate Risk
We recommend that management removes any administrative privileges from standard day to day accounts, and creates dedicated administrative accounts for all admin access required, in line with cyber security best practice.	
Management Response/Action Details	Action Date
This will be investigated, and permissions restricted to admin accounts.	30/06/2022
Status Update Comments	Revised Date
IT have asked for an extension to allow the team to review options and costs with the various software hosts. The priority was to enable VDI for the network access, which is now in operation and under review.	30/03/2023

IT Homeworking Key Controls	Rec No. 10
Summary of Weakness / Recommendation	Risk Rating
Access to individual applications that processed personal and sensitive information were also not protected by multi-factor authentication or IP/Geo-location access restrictions.	Moderate Risk
We recommend that management reviews the practicalities of implementing multi-factor authentication, and/or IP access restrictions, for any individual public facing cloud-based applications.	
Management Response/Action Details	Action Date
Each of the systems highlighted will be investigated to see if restrictions can be put in place (so either MFA and/or IP restrictions).	30/06/2022
iTrent	
JobTrain	
Edisex	
IGNIS	
Jaama	
These Suppliers will be contacted to determine a way forward.	
Status Update Comments	Revised Date
MFA in place for virtual environment. Agreed with iTrent to implement for Payroll. Discussions started with JobTrain BWVC (Edisex switching to Reveal) IGNIS and Jaama considered lower priority.	30/05/2023



## Derbyshire Fire & Rescue – Audit Progress Report

### Action Due Recommendations

This recommendation has been highlighted as it is over 12 months from when the agreed action was due but Internal Audit has been unable to ascertain any progress information from the responsible officer.

Joint Working Arrangements	Rec No. 9
Summary of Weakness / Recommendation	Risk Rating
The Management Board were not regularly monitoring the LLPs financial position.	Low Risk
We recommend that the Management Board receive regular financial reports which allow them to monitor the LLPs financial position. Resulting discussions on the LLPs financial position should be formally recorded in the minutes from the Management Board meetings.	
Management Response/Action Details	Action Date
Financial monitoring will be regularly presented to the board in line with the revised governance arrangements.	30/09/2021
Status Update Comments	Revised Date