



NORTH YORKSHIRE POLICE, FIRE AND CRIME COMMISSIONER, FIRE AND RESCUE AUTHORITY

Follow Up of 2022/23 Negative Opinions: Fleet Management; Health and Safety; Gazetteer and On-Call Firefighter Recruitment

Final Internal audit report 2.23/24

7 November 2023

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1. EXECUTIVE SUMMARY

Background

In 2022/23, seven reports were completed by RSM, which resulted in negative assurance opinions provided. RSM carried out a specific follow up review in 2022/23 of the Payroll – Process and Control Assurance (1.22/23) report, which originally received a partial assurance opinion. The follow up review concluded that the Service had demonstrated reasonable progress in implementing the agreed actions.

As part of the approved internal audit plan for 2023/24, we have undertaken a review to follow up progress made by the organisation to implement the management actions agreed in 2022/23 within four of the remaining six reports which received a negative assurance opinion. The following four reviews have therefore been considered as part of this audit:

- Gazetteer Patching Review (2.22/23) – partial assurance;
- Health and Safety (3.22/23) – partial assurance;
- Fleet Management (4.22/23) – partial assurance; and
- On-call Firefighter Recruitment (5.22/23) – partial assurance.

The remaining two reviews which received negative opinions have not been considered within the scope of this audit due to these reports being completed towards the end of the 2023/24 internal audit plan, and therefore agreed actions are not yet due to implemented. The two reports (not included here) are as follows:

- ICT – Maintenance and Updates (7.22/23) – partial assurance; and
- Procurement (8.22/23) – minimal assurance.

As part of the scope of this audit, we have reviewed a total of 19 management actions, which comprised of five high, 10 medium and four low priority management actions. Our review has considered all actions agreed within each report, including those actions that are not yet due to provide an update to the Independent Audit Committee on the progress made to implement agreed actions within each report.

Conclusion

Below we have provided an opinion per individual report on the progress made to implement agreed actions, and the table outlines the total number of actions not yet due for implementation. None of the actions that are not yet due for implementation have been marked as outstanding.

Our testing found that seven actions have been fully implemented, one action has been superseded, four actions had not been implemented and the implementation of the remaining seven actions is ongoing. The detailed findings under Section 2 outline those management actions which remain ongoing or are categorised as not implemented.

Details of the implemented and superseded actions can be found under Appendix A of this report.

Implementation status by review	Number of actions agreed	Number of actions due for implementation	Number of actions not yet due	Total implemented or superseded (% of total actions)	Total number of actions ongoing	Total number of actions ongoing not yet due	Opinion
Gazetteer Patching Review (2.22/23)	6	5	1	2 (33%)	4	0	Little progress
Health and Safety (3.22/23)	3	3	0	0	3	0	Poor progress
Fleet Management (4.22/23)	5	4	1	3 (60%)	2	0	Reasonable progress
On-call Firefighter Recruitment (5.22/23)	5	4	1	3 (60%)	2	0	Reasonable progress
Total	19 (100%)	16	3	8 (42%)	11	0	Little progress

Taking account of the issues identified in the remainder of the report and in line with our definitions set out in Appendix A, in our opinion the organisation has demonstrated **little progress** in implementing agreed management actions.

Progress on actions

The following table includes details of the status of each management action:

Implementation status by review	Number of actions agreed	Status of management actions				
		Impl. (1)	Impl. Ongoing (2)	Not impl. (3)	Superseded (4)	Completed or no longer necessary (1) + (4)
Gazetteer Patching Review (2.22/23)	6	2	3	1	0	2
Health and Safety (3.22/23)	3	0	2	1	0	0
Fleet Management (4.22/23)	5	2	0	2	1	3
On-call Firefighter Recruitment (5.22/23)	5	3	2	0	0	3
Total	19	7	7	4	1	8
	(100%)	(37%)	(37%)	(21%)	(5%)	(42%)

Implementation status by review	Number of actions agreed	High	Medium	Low	Status of management actions
Gazetteer Patching Review (2.22/23)	6	1	3	2	Four actions remain outstanding, comprising of one high and three medium priority actions. To note, the high action has reduced to medium priority, and one medium actions has reduced to low priority to reflect progress made.
Health and Safety (3.22/23)	3	2	1	0	All actions remain outstanding. To note, one high action priority has been reduced to medium to reflect progress made.
Fleet Management (4.22/23)	5	0	5	0	Two medium actions remain outstanding.
On-call Firefighter Recruitment (5.22/23)	5	2	1	2	One high and one medium action remain outstanding. To note, the high priority has been reduced to medium to reflect progress made.
Total	19	5	10	4	

2 FINDINGS AND MANAGEMENT ACTIONS

Status	Detail
1	The entire action has been fully implemented.
2	The action has been partly though not yet fully implemented.
3	The action has not been implemented.
4	The action has been superseded and is no longer applicable.
5	The action is not yet due.

Assignment: Gazetteer Patching Review (2.22/23)

Original management action / priority NYFRS's and Cornwall Fire and Rescue Service's responsibility for the maintenance of key systems in relation to Gazetteer will be reflected within an up-to-date Service Level Agreement.
 Priority: **Medium**
 Agreed implementation date: 31 March 2023

Audit finding / status We did not receive evidence to confirm that the Service Level Agreement between NYFRS and Cornwall Fire and Rescue Service had been updated to record NYFRS's and Cornwall Fire and Rescue Service's responsibility for the maintenance of key systems in relation to Gazetteer. Consequently, there is a risk these responsibilities have not been clearly documented and agreed by both parties to ensure Gazetteer is updated for both NYFRS and Cornwall Council in the event services need to be shared.
 This management action was due to be implemented by 31 March 2023 and our review identified that this has not yet been implemented, and therefore the management action has been reiterated.
3: The action has not been implemented.

Management Action 1	NYFRS's and Cornwall Fire and Rescue Service's responsibility for the maintenance of key systems in relation to Gazetteer will be reflected within an up-to-date Service Level Agreement.	Responsible Owner: Deputy Head of ICT and Service Delivery Manager	Date: 31 March 2024	Priority: Medium
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Assignment: Gazetteer Patching Review (2.22/23)

Original management action / priority EnableNY will ensure the outstanding minor updates are implemented to ensure that the system is up to date.
 Priority: **High**
 Agreed implementation date: 31 March 2023

Audit finding / status Discussions with the ICT Security Officer confirmed that the latest minor update has not been implemented. Review of Gazetteer confirmed the last minor update was implemented on 9 March 2023 which was released on 16 February 2023. Our review of the Ordnance Survey website confirmed there has been four minor updates which have been released on 30 March, 12 May, 15 June, and 27 July 2023, which have not yet been implemented. The ICT Security Officer highlighted that prior to implementing a minor update, EnableNY must consult with and obtain agreement from a third-party support provider (Capita Secure Solutions and Services, SSS Public Safety); however, EnableNY has not obtained agreement from SSS Public Safety and therefore, latest minor updates have not been implemented. The lack of response from SSS Public Safety has been caused by changes in North Yorkshire Council which has caused delays in the responsiveness of SSS Public Safety.

The Senior Engineer highlighted that the updates which are yet to implemented will update every address record in Vision Gazetteer, which can affect the database in terms of performance and space, therefore EnableNY requires agreement and assistance from SSS Public Safety. Review of email evidence from May, June and July 2023 demonstrated the Geographic Information System (GIS) Team at EnableNY has contacted SSS Public Safety to obtain confirmation from SSS Public Safety to implement the minor updates. We requested supporting evidence of the March 2023 update but were not provided with this information.

Where the system is not updated in a timely manner, there is a risk that the Gazetteer system information is out of date, which could impact on the efficiency of the Service’s response to incidents.

This management action was originally due to be implemented in March 2023 and has been partly, but not yet fully implemented. We have reduced the priority of the original action as the Service has been unable to progress this further based on the delay from SSS Public Safety.

2: The action has been partly though not yet fully implemented.

Management Action 2	EnableNY will ensure the outstanding minor updates are implemented to ensure that the system is up to date.	Responsible Owner: Deputy Head of ICT and Service Delivery Manager	Date: 31 October 2023	Priority: Medium
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Assignment: Gazetteer Patching Review (2.22/23)

Original management action / priority EnableNY will ensure that the GIA Team are informed via email once the Fire Control Team have reviewed the orphaned record scripts following updates to Gazetteer.
 Priority: **Medium**
 Agreed implementation date: 31 March 2023

Audit finding / status The last three updates to Gazetteer were completed on 12 December 2022, 21 February 2023 and 9 March 2023. Our review of the last three updates implemented on Gazetteer identified the following:

- In one case the update identified no orphan record scripts and therefore the Fire Control Team was not required to undertake a review. Review of a screenshot from Microsoft Teams demonstrated that the GIS (Gazetteer Geographic Information System) Team informed the Fire Control Team that no orphan record scripts had been identified following the update completed on 9 March 2023.
- In one case the update had been implemented on 12 December 2023 and the Fire Control Team had informed the GIS Team on 20 January 2023 to confirm the orphaned record scripts had been reviewed.
- In the remaining case relating to the update implemented on 21 February 2023, we did not receive evidence to confirm the Fire Control Team had informed the GIS Team that the orphaned record scripts had been reviewed. However, we did review email evidence to demonstrate that the GIS Team had informed the Fire Control Team on 22 February 2023 that the orphaned records scripts were ready for review. Where the review of orphaned record scripts is not documented, there is a risk of reduced audit trail as to when or whether this review was completed, meaning reviews may not have been completed. Where orphaned record scripts are not reviewed there is a risk the Service does not identify risk information and documentation which may have been deleted as a result of the update to ensure that this data is relinked.

This management action was due to be implemented by 31 March 2023 and has been partly but is not yet fully implemented, we have therefore reiterated the management action.

2: The action has been partly though not yet fully implemented.

Management Action 3	EnableNY will ensure that the GIS Team are informed via email once the Fire Control Team have reviewed the orphaned record scripts following updates to Gazetteer.	Responsible Owner: ICT Security Officer	Date: 31 October 2023	Priority: Low
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Assignment: Gazetteer Patching Review (2.22/23)

Original management action / priority EnableNY will ensure that oversight is provided over the management of updates to Gazetteer to ensure that updates are implemented in a timely manner. The process for providing oversight and monitoring will be documented within procedural documentation / working instructions.
 Priority: **Medium**
 Agreed implementation date: 31 March 2023

Audit finding / status Discussions with the ICT Security Officer confirmed the ICT Team plans to re-establish the weekly service review meetings which would be attended by the ICT Security Officer, the Service Transition Analyst, the Senior Application Support Engineer, Fire Control Manager and Fire Control Senior Officers. The weekly service review meetings have not taken place since May 2023 due to changes in staffing of the ICT Team; however, the ICT Security Officer confirmed that this meeting would provide oversight over the management of updates to Gazetteer to ensure that updates are implemented in a timely manner. In the absence of the weekly service review meetings, the members of the weekly service review meetings are part of a group chat on Microsoft Teams which enables team members to highlight any issues on an ongoing and ad hoc basis, although this does not provide a detailed audit trail. We requested evidence of discussions in relation to Gazetteer; however, no information was provided. The ICT Security Officer confirmed that the weekly service review meetings are due to recommence on 23 August 2023 and the action log has been updated to include an action that Gazetteer requires updating pending support from SSS Public Safety.

Review of the Control (NYFRS) Service Description document confirmed it includes a section titled ‘Service Review Meetings’ and details that this is a weekly call with the Business Service Owner and Enterprise Service Owner to discuss ICT updates and provide operational awareness.

In the absence of sufficient oversight at a management level, there is a risk that if updates are not implemented in a timely manner, or issues arise, these are not identified so that they can be investigated, and action taken in a timely manner.

This management action was due to be implemented by 31 March 2023 and has been partly but is not yet fully implemented.

2: The action has been partly though not yet fully implemented.

Management Action 4	EnableNY will ensure that oversight is provided over the management of updates to Gazetteer to ensure that updates are implemented in a timely manner.	Responsible Owner: ICT Security Officer	Date: 30 November 2023	Priority: Medium
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Assignment: Health and Safety (3.22/23)

Original management action / priority Management will ensure all new starters within the Service conduct mandatory Health and Safety e-learning training on the LearnPro system as soon as practicably possible post commencement of employment as outlined within the Induction of New Employees and Transferee’s Procedure. Management will follow up and investigate any staff members within the Service who do not actively have a LearnPro account to undertake training elements.
 Priority: **Medium**
 Agreed implementation date: 31 March 2023

Audit finding / status We selected a sample of 10 new starters and confirmed in all cases the following training modules had been completed on LearnPro:

- General Health, Safety and Environment Awareness training module;
- LearnPro Manual Handling training module; and
- LearnPro Fire Safety training module.

The Health and Safety Advisor confirmed in two of the 10 cases, the staff member was not a new starter, however, they had a change in contract which has meant they had been included in the ‘new starter’ report.

We therefore tested a further two new starters and confirmed in both cases a LearnPro account had not been set up by the Training Centre and therefore, the health and safety training modules had not been completed by the new starters. It was noted that in both cases the new starter was an on-call firefighter, one with a start date of 22 May 2023 and the other with a start date of 21 June 2023. Review of the On-call Safe to Ride Course 2023 spreadsheet confirmed the two new starters are both due to start the Safe to Ride course on 3 September 2023. The Health and Safety Advisor confirmed that on-call firefighters are required to complete the health and safety modules on LearnPro prior to commencing the Safe to Ride course.

Where a LearnPro account is not set up in a timely manner, there is a risk that new starters are not able to undertake health and safety training modules to ensure they are able to undertake their duties in safe manner.

Discussions with the Director of Service Improvement and Assurance confirmed the Service is yet to undertake a review and investigate any staff members who do not actively have a LearnPro account to undertake training elements. For this reason, this management action is partly but not yet fully implemented. The Risk Manager highlighted that the Service internally monitors the implementation of audit actions on the Active Risk Manager (ARM) system and that management are aware that this action has been partly though not yet fully implemented; however, an update has been provided as part of this audit. This management action was due to be implemented by 31 March 2023.

2: The action has been partly though not yet fully implemented.

Management Action 5	Management will ensure all new starters within the Service are provided with a LearnPro account and conduct mandatory Health and Safety e-	Responsible Owner:	Date:	Priority:
			31 March 2024	Medium

Assignment: Health and Safety (3.22/23)

learning training on the LearnPro system as soon as practicably possible post commencement of employment as outlined within the Induction of New Employees and Transferee's Procedure.

Management will follow up and investigate any staff members within the Service who do not actively have a LearnPro account to undertake training elements.

Director of Service
Improvement and Assurance

Assignment: Health and Safety (3.22/23)

Original management action / priority	<p>Management will ensure that staff are actively chased to complete all Health and Safety e-learning training elements.</p> <p>Priority: High</p> <p>Agreed implementation date: 31 March 2023</p>			
Audit finding / status	<p>Discussions with the Director of Service Improvement and Assurance confirmed that District Managers are informed via email of any staff members who have not completed or refreshed the Health and Safety e-learning training elements on a quarterly basis. Review of email evidence dated 4 April 2023 and 3 July 2023 demonstrated this. We noted this process was in place at the time of the initial Health and Safety 3.22/23 audit. As part of this review, we undertook testing of a sample of Station Managers, Crew Managers and Watch Managers to confirm the health and safety training elements had been completed on LearnPro.</p> <p>Our testing identified that the reports shared with the District Managers in January, April and July 2023 did not accurately include all Station Managers with expired or outstanding health and safety training. The Health and Safety Advisor confirmed that when they generate the quarterly report on health and safety training on Microsoft Excel, they will report on the Station Managers in a separate worksheet tab to ensure it is flagged to senior management. However, due to an error, the reports have not correctly reported on all Station Managers with outstanding or expired health and safety training. Where District Managers do not receive accurate information, there is a risk staff are not chased to ensure health and safety elements are completed on LearnPro.</p> <p>Since our audit, the Director of Service Improvement and Assurance confirmed that no further process has been established to ensure staff are actively chased to complete all health and safety e-learning training elements. The Director of Service Improvement and Assurance acknowledged that there is work to do to improve compliance across the Service and therefore, the implementation of this action is not yet complete. This management action was due to be implemented by 31 March 2023. The Risk Manager highlighted that the Service internally monitors the implementation of audit actions on the ARM system and management is aware that this action has not been implemented; however, an update has been provided as part of this audit.</p> <p>3: The action has not been implemented.</p>			
Management Action 6	<p>Management will ensure that staff are actively chased to complete all Health and Safety e-learning training elements. The Service will ensure the quarterly report shared with district managers on staff with outstanding health and safety training, includes station managers.</p>	<p>Responsible Owner: Director of Service Improvement and Assurance</p>	<p>Date: 31 March 2024</p>	<p>Priority: High</p>

Assignment: Health and Safety (3.22/23)

Original management action / priority Management will:
a) Ensure all Station Managers throughout the Service complete all mandatory health and safety e-learning in line with the procedural requirements.
b) Ensure all Station Managers and Crew Managers complete their mandatory IOSH refreshers in line with procedural requirements.
Priority: **High**
Agreed implementation date: 31 March 2023

Audit finding / status Discussions with the Health and Safety Advisor confirmed that Crew Managers and Watch Managers are also Line Managers and are required to complete mandatory health and safety e-learning along with Station Managers. Crew Managers and Watch Managers are also required to complete IOSH and maintain this by completing IOSH refreshers on a three yearly basis. Station Managers are currently required to undertake NEBOSH training; however, the Health and Safety Advisor highlighted that Station Managers can only complete NEBOSH training once a course is made available. Therefore, where Station Managers have not yet completed NEBOSH, they are required to complete and maintain IOSH. The Health and Safety Advisor highlighted that the Service is reviewing the requirement for Station Managers to undertake NEBOSH, this review may lead to Station Managers undertaking alternative training.

We tested a sample of five Station Managers, five Crew Managers and five Watch Managers and confirmed the following:

- In 14 cases IOSH had been completed within the last three years. In one case, relating to a Station Manager, NEBOSH had been completed and therefore IOSH was no longer required.
- In 14 cases General Health and Safety and Environmental Awareness training had been completed on LearnPro. In one case the training had expired on 15 June 2023.
- In 13 cases Manual Handling training had been completed on LearnPro. In the remaining two cases relating to a Station Manager and a Crew Manager, the training had expired on 15 June 2023 and 13 July 2023 respectively.
- In 13 cases Fire Safety training had been completed on LearnPro. In the remaining two cases relating to a Station Manager and a Crew Manager, the training had expired on 15 June 2023 and 15 December 2022 respectively.

The Health and Safety Advisor confirmed that individuals receive an automated reminder of training that is due to expire on LearnPro on a weekly basis, three weeks in advance of the expiry date, therefore a process is in place to ensure individuals are reminded to refresh health and safety training.

Our testing found the exceptions related to one Station Manager and two Crew Managers. Our review of the report shared with the District Managers on 3 July 2023 detailing staff who have not completed the health and safety training modules had omitted the Station Manager in our sample. The Health and Safety Advisor confirmed that this is an error, as the January, April and July 2023 reports did not include all Station Managers who have not completed one or more of the health and safety training elements on LearnPro. Where District Managers do not receive accurate information on non-compliance, there is a risk staff are not chased to ensure health and safety elements are fully completed on LearnPro. (See management action 6)

Assignment: Health and Safety (3.22/23)

Where Station Managers and Crew Managers are not undertaking the required training mandatory e-learning modules within the LearnPro system, this could result in the inaccurate following of health and safety procedures within the Service. Consequently, there is a risk that Station Managers and Crew Managers are not well equipped to undertake their duties in a safe manner.

This management action was originally due to be implemented by 31 March 2023. The Risk Manager highlighted that the Service internally monitors the implementation of audit actions on the ARM system and management is aware that this action has been partly though not yet fully implemented. We have reduced the priority of this action to a medium, because a process is now in place to monitor the completion of health and safety training elements on LearnPro to improve compliance rates.

2: The action has been partly though not yet fully implemented.

Management Action 7	Management will ensure all station and crew managers throughout the Service complete all mandatory Health and Safety e-learning in line with the procedural requirements.	Responsible Owner: Director of Service Improvement and Assurance	Date: 31 March 2024	Priority: Medium
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Assignment: Fleet Management (4.22/23)

Original management action / priority The Fleet and Logistics Team will review all related policies and compile an overarching fleet management policy to govern fleet management processes. The policy will be reviewed and approved on a regular basis.
Priority: **Medium**
Agreed implementation date: 31 March 2023

Audit finding / status Discussions with the Fleet and Logistics Manager confirmed they are working with relevant stakeholders to review the fleet related policies in place to ensure these are fit for purpose and in line with the Fleet Strategy; however, this has not yet been completed. The Fleet and Logistics Manager also confirmed that the Service is yet to compile an overarching fleet management policy to govern fleet management processes.
Without an overarching fleet management policy in place, there is a risk that the Service's fleet may not be managed effectively or managed inconsistently.
3: The action has not been implemented.

Management Action 8	The Fleet and Logistics Team will review all related policies and compile an overarching fleet management policy to govern fleet management processes. The policy will be reviewed and approved on a regular basis.	Responsible Owner: Head of Assets and Fleet and Logistics Manager	Date: 30 April 2024	Priority: Medium
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Assignment: Fleet Management (4.22/23)

Original management action / priority Following the implementation of an overarching fleet management policy (management action 1), the Fleet and Logistics Team will develop procedures and document up to date fleet management processes to reflect the policy requirements, which will be reviewed on a regular basis and made available to key staff.
Priority: **Medium**
Agreed implementation date: 31 July 2023

Audit finding / status Discussions with the Fleet and Logistics Manager confirmed that once the existing fleet related policies have been reviewed to ensure alignment with the Fleet Strategy, the Service will then develop procedures to reflect up to date fleet management processes and the policy requirements. This management action was due to be implemented by 31 July 2023 but is yet to be implemented, we have therefore reiterated the original management action.
3: The action has not been implemented.

Management Action 9	Following the implementation of an overarching fleet management policy, the Fleet and Logistics Team will develop procedures and document up to	Responsible Owner: Head of Assets and Fleet and Logistics Manager	Date: 30 April 2024	Priority: Medium
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Assignment: Fleet Management (4.22/23)

date fleet management processes to reflect the policy requirements, which will be reviewed on a regular basis and made available to key staff.

Assignment: On-call Firefighter Recruitment (5.22/23)

Original management action / priority

The Service will ensure all evidence to support the full application process is retained and stored in a central location on file against the new recruit and ensure all checks are carried out prior to issuing a contract of employment.

The Service intends to review its DBS Policy and any updates in relation to on-call firefighters will be reflected within the on-call firefighter recruitment processes, which will include as a minimum the requirement for DBS check evidence to be retained on file.

Priority: **Medium**

Agreed implementation date: 31 March 2023

Audit finding / status

Seven on-call firefighters have started employment at the Service since 31 March 2023. Our testing of the seven new starters confirmed the following:

- In six cases the application form had been saved on the Talent Acquisition shared folder. In the remaining case the new starter's start date was 31 May 2023 and application form was retained on the application tracking system, but the application form had not been saved in the Talent and Development shared folder. It was noted that application forms are retained on the application tracking system for 18 months and following our testing the Talent Acquisition Partner had uploaded the application form to the shared folder.
- In all cases the application form had been reviewed and approved by either the Station Manager or the District Watch Manager on the application tracking system to confirm the applicant was suitable.
- In all cases the Chester Step test, interview, medical professional examination, and practical fitness test had been completed and evidence was retained on the shared folder.
- In all cases a contract was in place which had been signed by the new starter and the recruiter at the Service.
- In six cases the above checks had been completed prior to the date the contract was issued. In one case the medical professional examination was passed on 30 May 2023; however, this was after the contract issue date of 9 May 2023. Our review of training records confirmed the new starter had completed the Safe to Ride course on 14 June 2023 and therefore the medical professional examination was passed prior to the commencement of the course and prior to the new starter being operational.

Review of the Disclosure and Barring Service (DBS) Policy and Operating Procedure confirmed it has been last reviewed on 27 April 2023. Review of an action log confirmed the DBS Policy and Operating Procedure was reviewed by the Safeguarding Officer, Group Manager Prevention and Station Manager Prevention on 4 May 2023. The Talent Acquisition Lead highlighted that although the DBS Policy and Operating Procedure has been approved, the document requires review due to changes in legislation which came in nationally

Assignment: On-call Firefighter Recruitment (5.22/23)

in July 2023, specifically for fire services and includes information on DBS requirements. The Service has a working group in place which meets regularly to understand the impact on the Service and changes that will need to take place.

The DBS Policy and Operating Procedure states a record of the DBS clearance will be stored on Firewatch and a renewal date set. The policy also states a Risk Assessment Form Pre-DBS Check is completed where the Talent and Recruitment Manager wishes to consider an individual commencing work prior to the receipt of a valid and satisfactory DBS check. The form should be completed by the Talent and Recruitment Team and authorised by the Talent and Recruitment Manager and NYFRS Safeguarding Officer. The completed risk assessment is retained on the employee's file and sent to the individual's line manager for reference and to oversee the actions within the risk assessment.

Our testing of the seven new starters confirmed the following:

- In one case the DBS check had been completed and recorded on Firewatch with a five year renewal date set. In this case the DBS check was completed on 23 June 2023; however, the new starter's start date was 25 April 2023.
- In three cases the DBS application has been submitted to North Yorkshire County Council for processing; however, the Fire Service has not yet received a response. One individual started on 11 April 2023, and the remaining two on 9 May 2023.
- In three cases the DBS application has not yet been submitted to North Yorkshire County Council as the applicant has not yet provided the required identification documents required for the DBS check to be completed by North Yorkshire County Council. Start dates for the three new starters were between 24 April to 26 April 2023.

Discussions with the Talent Acquisition Partner highlighted that delays in obtaining the identification documents from the new starters can cause delays in undertaking the DBS check and North Yorkshire County Council can also take time to complete the DBS checks due to the volume of applications received. The Talent Acquisition Partner highlighted that although a DBS check has not been completed, the new starters had not completed the Safe to Ride course until 14 June 2023 and therefore would not be working alone. However, for our sample of seven new starters, the DBS check was either completed after the Safe to Ride course or was not yet completed as of 15 August 2023.

The DBS Policy and Operating Procedure was signed off on 4 May 2023. In five of the seven cases, the start date of the new starters predated the approval of the DBS Policy and Operating Procedure, in the remaining two cases the new starter's start date was 9 May 2023 and therefore after the approval of the DBS Policy and Operating Procedure. The Talent Acquisition Partner confirmed that the requirement to complete a risk assessment is a new addition to the process therefore this has not been completed for the new starters in our sample.

Although, we identified that undertaking a risk assessment in the absence of a DBS check is a recent addition to the process, our discussions with the Talent Acquisition Partner and the Talent Acquisition Lead indicated that there is an uncertainty as to whether or not a risk assessment should be completed for on-call firefighters where a DBS check has not been completed and checked prior to the start date. The Talent Acquisition Partner highlighted that they understand that risk assessments need to be completed; however, because of the recent policy changes they are unclear as to the agreed point in time which this should happen. The Talent Acquisition Partner

Assignment: On-call Firefighter Recruitment (5.22/23)

confirmed that as the DBS Policy and Operating Procedure is due to be reviewed in response to changes in legislation, this review will also ensure clarity is sought on when the risk assessment should be completed.

Where a risk assessment is not completed for new starters in the absence of a DBS check completed prior to the start date, there is a risk the Service is not compliant with the DBS Policy and Operating Procedure and are not taking sufficient action to ensure the safeguarding of the public. For this reason, we have raised a management action in relation to this.

2: The action has been partly though not yet fully implemented.

Management Action 10		Responsible Owner:	Date:	Priority:
	The DBS Policy and Operating Procedure will be reviewed and approved in line with the organisation's governance structure.	Talent Acquisition Partner	31 December 2023	Medium
	The Service will ensure the application form is stored in the Talent Acquisition shared folder against the new recruit.			
	The Talent Acquisition Team will ensure a risk assessment is completed and approved as per the DBS Policy and Operating Procedure where an DBS check has not been completed prior to the employment start date.			

Assignment: On-call Firefighter Recruitment (5.22/23)

Original management action / priority The Service will ensure all evidence of completed induction are stored and retained centrally to allow access for future audits.
 Priority: **High**
 Agreed implementation date: 28 February 2023

Audit finding / status Discussions with the On-call Station Manager and Operational Training Administrator confirmed that all new employees within the Service are required to sign the declaration within the induction booklet to confirm the completion of the induction. This declaration is also signed by the line manager of the new starter within one month of the employee starting within the organisation. To ensure the declaration is signed, the Operational Training Administrator requests the signed declaration from the new starter when they attend the first day of the Safe to Ride course. Once obtained, the signed declaration is scanned and uploaded to the Training Centre Administration SharePoint. The Training Centre Administration Team maintains a spreadsheet titled On Call Safe to Ride Courses 2023 which records all new starters and whether the signed induction book had been received.

Testing a sample of 10 new starters confirmed the following:

- In four cases the declaration within the induction booklet had been fully signed and retained on the SharePoint by the Training Centre Administration Team.
- In two cases the Training Centre Administration Team had not received the signed induction booklet. We reviewed email evidence dated 24 April 2023 and 20 June 2023 to confirm that the new starter and their line manager was reminded to share a copy of the signed induction booklet with the Training Centre Administration Team. The Operational Training Administrator confirmed that since 8 August 2023 the Training Centre Administration Team has implemented a process whereby line managers and new starters are chased for the signed induction booklet on a weekly basis. Review of email evidence dated 9 August 2023 demonstrated this.
- In four cases part one of the induction booklet had been signed; however, part two of the induction booklet had not been signed by both the line manager and the new starter. Part two of the induction booklet refers to the workplace induction applicable to trainee firefighters only; this part includes health and safety related induction elements and station specific equipment training. Our review of the On Call Safe to Ride Courses 2023 spreadsheet highlighted that in these four cases the spreadsheet indicated that the induction booklet had been signed.

Where the Training Centre Administration Team does not check the induction booklets received to ensure these are fully signed, there is a risk the required training has not been fully completed as part of induction and the Training Centre Administration Team does not hold a central copy to confirm the full induction process has been completed. To reflect progress made to strengthen the process and the inherent risk, we have reduced the priority of the management action to medium.

2: The action has been partly though not yet fully implemented.

Management Action 11	The Service will ensure the induction booklets (part one and two) are fully signed by the line manager and the new starter and a copy retained centrally.	Responsible Owner:	Date:	Priority: Medium
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Assignment: On-call Firefighter Recruitment (5.22/23)

Where the induction booklet is not fully signed, the new starter and line manager will be chased.

Temporary Station Manager
On-Call Futures (Service
Improvement)

31 December
2023

APPENDIX A: DEFINITIONS FOR PROGRESS MADE

The following opinions are given on the progress made in implementing actions. This opinion relates solely to the implementation of those actions followed up and does not reflect an opinion on the entire control environment.

Progress in implementing actions	Overall number of actions fully implemented	Consideration of high priority actions	Consideration of medium priority actions	Consideration of low priority actions
Good	75% +	None outstanding.	None outstanding.	All low actions outstanding are in the process of being implemented.
Reasonable	51 – 75%	None outstanding.	75% of medium actions made are in the process of being implemented.	75% of low actions made are in the process of being implemented.
Little	30 – 50%	All high actions outstanding are in the process of being implemented.	50% of medium actions made are in the process of being implemented.	50% of low actions made are in the process of being implemented.
Poor	< 30%	Unsatisfactory progress has been made to implement high priority actions.	Unsatisfactory progress has been made to implement medium actions.	Unsatisfactory progress has been made to implement low actions.

APPENDIX B: ACTIONS COMPLETED OR SUPERSEDED

From the testing conducted during this review we have found the following actions to have been fully implemented and superseded.

Assignment title	Management actions
Gazetteer Patching Review (2.22/23)	<p>Implemented</p> <p>Once the Control (NYFRS) Service Description has been finalised, this will be communicated and made available to all relevant staff.</p> <p>Priority: Low</p>
Gazetteer Patching Review (2.22/23)	<p>Implemented</p> <p>EnableNY will document the overarching procedure or further develop the Vision Gazetteer Update Instructions to ensure key elements of the process have been documented. This will include but is not limited to detailing the following:</p> <ul style="list-style-type: none"> • Specific duties of key roles; • The timescales for providing the Fire Control Team with the orphaned record scripts; • The timescales for the Fire Control Team to review the orphaned record scripts; and • The process for ensuring the GIS Team is made aware once the orphaned record scripts have been reviewed; • Reference to supporting policies and processes such as the ICT Change Management Policy and Process; and • The requirement for the change to be approved by the Change Advisory Board. <p>Once the above has been implemented, this will be kept up to date, communicated and made available to relevant staff. The ICT Change Management Policy, ICT Change Management Process and ICT Security Management Policy will be updated to include a review due date.</p> <p>Priority: Low</p>
Fleet Management (4.22/23)	<p>Implemented</p> <p>The Head of Assets has submitted a costed service plan to request the implementation of a telematics system for the Force and will implement the same request for the Fire Service.</p> <p>The decision will be taken to the Senior Leadership Team for consultation and approval, and included within budget planning, should this request be approved.</p> <p>Priority: Medium</p>

Assignment title	Management actions
Fleet Management (4.22/23)	<p>Implemented</p> <p>The Head of Assets will develop the Joint Fleet Management Strategy and submit this to the Director of Capabilities for review and approval.</p> <p>Approvals will be sought in line with the Service’s governance structure and the strategy made available once approved.</p> <p>Priority: Medium</p>
Fleet Management (4.22/23)	<p>Superseded</p> <p>Management action 3 has been agreed in relation to the request of a Telematics system to increase the data available to inform fleet management decision making.</p> <p>This request will be subject to approval, and should a Telematics system not be approved, the Service will need to consider alternative methods to measure vehicle utilisation to inform adequate decision making in line with the Joint Fleet Management Strategy (currently in draft and noted re management action 4).</p> <p>This could include vehicle use spot checks through sample testing of vehicle logbooks and meetings with stations or departments.</p> <p>Priority: Medium</p> <p><i>Review of the approved Budget Book 2023/24 confirmed it includes funding for a telematics system and review of the decision records uploaded on the PFCC's website confirmed the Commissioner's approval to implement a telematics system at the Service. Thus, the Fire Service has not needed to consider alternative methods to measure vehicle utilisation to inform adequate decision making in line with the Joint Fleet Management Strategy. This management action is no longer applicable.</i></p>
On-call Firefighter Recruitment (5.22/23)	<p>Implemented - The Service will review the Recruitment Policy and ensure that the policy is reviewed at least every three years to ensure the information is relevant and up to date.</p> <p>Priority: Low</p>
On-call Firefighter Recruitment (5.22/23)	<p>Implemented - The Service will ensure training for all on-call firefighters is effectively monitored, recorded, and signed off in line with the training plan. The Service will allow appropriate management staff to have access to the LearnPro Training plan/Training Record system to monitor training progress and for future audits.</p> <p>Priority: High</p>
On-call Firefighter Recruitment (5.22/23)	<p>Implemented</p> <p>The Talent and Development Manager will report on progress against the Recruitment Schedule to the People Board and the agreed KPIs will be reported to the Collaborative Steering Group.</p> <p>Priority: Low</p>

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We thank you again for working with us.

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