Essex County Fire and Rescue Service
Internal Audit Tracker

Audit Action Title	Audit Title	Progress	Priority	Responsible Owner	Created Date	Audit Date	Due Date	Late?	Audit Recommendation	Status
Action 4	23/24 On-call Payments/Processes	Completed	Important	Neil Cross	25/09/2023	12/09/2023	31/10/2023		The Service will review their back pay process, which ensures the correct hourly rates are used to ascertain pay owed and introduce an approval hierarchy for back pay which allocates the responsibility to the Director of Finance to approve payments over a certain value. This will be disseminated to all staff.	COMPLETE
Action 2	23/24 On-call Payments/Processes	Not started	Medium	Jaclyn Thorold	25/09/2023	12/09/2023	30/04/2024		We will strengthen guidance around timely submission and authorisation of timesheets. This could include mandatory additional training for managers on PDR Pro.	IN PROGRESS
Action 1	23/24 On-call Payments/Processes	Not started	Medium	Jaclyn Thorold;James Palmer	25/09/2023	12/09/2023	31/03/2024		The Service will review the CIVICA Pay Framework to provide more clear, concise guidance on areas such as admin time and the additional fitness hour, as well as acceptable levels of input of station maintenance for stations of different pump levels. This will include roles and responsibilities regarding the inputting of detailed timesheets with the inclusion of appropriate rationale per claim to provide consistency in procedure across the Service.	IN PROGRESS
Action 4	23/24 post Grenfell Tower and Manchester Arena	In progress	Medium	Amanda Johnson	25/09/2023	07/09/2023	30/09/2023		We will ensure a BAU plan is provided for each recommendation on closure with information provided on the nature and regularity of, and person responsible for ongoing review. - All recommendations now include a Statement of Closure as part of the Level 2 Assurance process. This statement details what the BAU plan is for the Agency to maintain sustainable compliance following closure – who will own it, when will reviews take place and what is the mechanism for review. Once transitioned to BAU (signed off as Complete Assured at Project Board) all recommendations will become control measures under the corporate risk in JCAD [SRR150034], with the Statement of Closure/BAU plan of how the Service will maintain compliance as the mitigation.	IN PROGRESS
Savings Initiatives	22/23 Efficiency and Cost Saving	Not started	Medium	Georgie Morris;Former member;Neil Cross	03/07/2023	07/06/2023	31/07/2023		There are discrepancies between the savings tracker and source documentation, and the auditors were unable to confirm whether savings initiatives are subject to challenge and review prior to being signed off. There is a lack of a validation process in place to determine the accuracy of savings.	IN PROGRESS
Action 4 - User Accounts and Administrative Accounts	22/23 Cyber Essentials	Not started	Medium	Sarah Taylor;Stuart Antcliff	10/03/2023	21/02/2023	31/12/2023		Whilst there is a procedure in place enforcing Multi-Factor Authentication (MFA) and Single Sign-On (SSO) for all new cloud services, there are cloud applications in use without MFA and SSO, such as LearnPro. Management noted that there may be other cloud services that are not subjected to MFA and SSO. Management have noted that rectification relies on supplier provision. Additionally, a list detailing all cloud services and all their MFA/SSO status is not maintained. There is increased risk of a successful brute-force attack, leading to non-compliance with Cyber Essentials, possible unauthorised access to data, data leaks, or data loss.	IN PROGRESS
Action 1 - User Accounts and Administrative Accounts	22/23 Cyber Essentials	Not started	Important	Sarah Taylor;Stuart Antcliff	30/01/2023	21/02/2023	31/12/2023		Whilst there are separate standard and privileged accounts for the on-premises environment (with the Admin suffix) for individuals requiring elevated privileges, this control was not implemented on Azure Active Directory (AD). Elevated privileges are assigned to standard user accounts where required. We noted there are no set standard time periods for assigned elevation and observed some accounts with indefinite or excessive time periods. This increases the attack vector against privileged permissions, and therefore the risk of privileged accounts becoming compromised, leading to unauthorised access, data leaks, or data loss. Management have noted that whilst this offers a low likelihood of occurrence, it poses a high impact if the risk materialised.	IN PROGRESS
Action 2 - Office Firewalls and Internet Gateways	22/23 Cyber Essentials	Not started	Medium	Sarah Taylor;Stuart Antcliff	30/01/2023	21/02/2023	31/12/2023		Software firewalls are not enabled on legacy Operating Systems. However, the infrastructure is isolated by CheckPoint firewalls with no inbound internet traffic, and management are confident of the protection this applies. Management have noted that legacy systems are due to be replaced with a Software as a Service (SaaS) solution through Airwave Solutions Ltd. Since these legacy systems are no longer subject to vender support and not receiving patches for identified vulnerabilities, the lack of firewalls on these systems presents a high risk of vulnerabilities being exploited by attackers. There is risk of attackers gaining access to these systems, leading to operational failures, data leaks, and data loss.	IN PROGRESS
Action 3 - User Account and Admin Accounts	22/23 Cyber Essentials	Not started	Medium	Sarah Taylor;Stuart Antcliff	30/01/2023	21/02/2023	31/12/2023		It was noted that the use of the just-in-time method, i.e., the temporary delegation of administrator privileges to standard user accounts, was appropriate. However, we noted there are no set standard time periods for assigned elevation and observed some accounts with indefinite or excessive time periods (for example, application administrator roles expiring only after one year). Furthermore, regular reviews of delegated authority and privileged access are not performed.	IN PROGRESS
GDPR - Data flows	22/23 Follow-Up	In progress	Medium	Sarah Smith;Steve Taylor;Ana Tuckwell	13/12/2022	07/12/2022	31/03/2023		We are in the process of updating the contracts register. Several ICT contracts have been completed, but there are still a number of other contracts to be completed. There are still some retrospective DPIAs to be completed. The information has been included RoPA has been this includes the register and some data flows can be identified. For new contracts, we've reviewed and completed supplier information security questionnaires.	IN PROGRESS
GDPR - Information asset register	22/23 Follow-Up	In progress	Medium	Steve Taylor;Ana Tuckwell	13/12/2022	07/12/2022	30/06/2023		Information asset owners have not been performing periodic updates on their areas of the information asset register. Compliance with policies is not being actively monitored.	IN PROGRESS
Business Continuity	22/23 Follow-Up	Not started	Medium	Sarah Smith;Claire Sanders	13/12/2022	07/12/2022	30/06/2023		If critical supplier business continuity plans are not maintained and reviewed by the Service, there is a risk that the Service may not have adequate oversight over business continuity arrangements.	IN PROGRESS

Policies and Procedures	22/23 Emergency Response Driving	In progress	Medium	Sarah Rapley	13/12/2022	01/08/2022	01/10/2022		The audit noted that roles and responsibilities of staff pertaining to the management of compliance had not been clearly documented in the Driver Training Policy. The policy has incomplete information in several sections.	IN PROGRESS
GDPR - Training	22/23 Follow-Up	Completed	Medium	Ana Tuckwell;Kay Shelley	13/12/2022	07/12/2022	31/03/2023		There is a low completion rate of mandatory Data Protection training and incomplete training is not being chased by Learning and Development.	COMPLETE
Action 1b	23/24 post Grenfell Tower and Manchester Arena	Completed	Medium	Amanda Johnson	25/09/2023	07/09/2023	30/09/2023		We will establish an absence of change process whereby each time an implementation date is extended, the person responsible for delivery will give reason for the extension and the new expected delivery date. If the extension is agreed by the Project Board, the decision will be recorded on the rolling decision log and the implementation date will be extended on MS Planner. The new process will be as per Action 1A.	COMPLETE
Follow up - Procurement	21/22 Follow up	Completed	Medium	Neil Cross	06/05/2022	03/05/2022	31/05/2022		As a result of the review of set up in the organisation, procurement will become a centralised function across the organisation (this will be a significant change from current structure). In order to deliver this, the structure of the procurement team will be reviewed. The cleaning contracts with Pinnacle and Monthind will be prioritised for tender as soon as possible and work is expected to start on this in June. The Service will look to review and identify all contracts that have reached their expiry dates across the organisation, with a view to taking re-procurement action.	COMPLETE
Compliance with Standards	22/23 Emergency Response Driving	Completed	Medium	Sarah Rapley	13/12/2022	01/08/2022	01/10/2022		The Service is not compliant in three out of six of the requirements of the Fire Standard's Board requirements. The following actions will be implemented:	COMPLETE
Action 1 - Overpayments	22/23 FM Code and Overtime	Completed	Important	Georgie Morris;Sarah Webster	12/04/2023		30/06/2023		The Service currently does not undertake spot checks or have a reconciliation process in place to ensure that overtime claims are accurately recorded prior to payments being made. Testing found 36 overpayments in testing between March and October 2022.	COMPLETE
GDPR - Data Breaches	22/23 Follow-Up	Completed	Medium	Claire Sanders;Ana Tuckwell	13/12/2022	06/12/2022	31/03/2023		The Service has not conducted any Data Breach testing to ensure a resilient response to data breaches.	COMPLETE
Action 2 - Overtime approval	22/23 FM Code and Overtime	Completed	Medium	Former member;Sarah Webster	12/04/2023	10/05/2023	10/05/2023		Without thorough and detailed checks being completed by the station/line manager and approval being obtained from the budget holder, there is a risk unforeseen overspends in agreed budgets. Without detailed explanations being recorded there is a risk that the Service will not be able to accurately determine the rationale for the overtime expenditure.	COMPLETE
GDPR - Retention Schedule	22/23 Follow-Up	Completed	Medium		13/12/2022	07/12/2022	31/03/2023		The Service's Retention Schedule has not been updated.	COMPLETE
Dependencies and scrutiny of slippage	22/23 Control Room	Completed	Medium		13/12/2022	01/12/2022	31/01/2023		The audit found a lack of identification of actions to address project delays. If documents containing project updates are not adequately challenged, there is a risk that further delays are not identified and thus rectified in a timely manner.	COMPLETE
Risk Updates	22/23 Control Room	Completed	Medium		13/12/2022	01/12/2022	31/01/2023		The audit was not able to confirm that risks relating to the control systems project were discussed. If risks are not reviewed in accordance with their review period, there is a risk that risks are not reflective of current practices.	COMPLETE
Service Leadership Team	22/23 Emergency Response Driving	Completed	Medium		13/12/2022	01/08/2022	01/10/2022		The audit was unable to confirm that compliance against the Fire Standards Board's requirements had been robustly challenged by SLT. Monitoring of progress towards implementation of actions had not been clearly minuted.	COMPLETE
Action 1 - Disposals	21/22 MTFS and VFM	Completed	Medium		06/05/2022		30/04/2022		The sale of properties under the OCCP are first offered to Service Occupiers (Firefighters), otherwise an Estate Agent is engaged to advertise the properties for sale based on the most recent valuation. Bids received by the Estate Agent are reviewed by Property Services who select the highest price. Property Service will maintain a record with evidence of all bids received, evidence that the highest bid was accepted and if not the reasons for accepting a lower bid.	COMPLETE
Action 2 - Scenario Planning	21/22 MTFS and VFM	Completed	Medium		06/05/2022	25/03/2022	30/06/2022		The Service does not use scenario planning when developing its annual budget or as part of the MTFS. However, within the quarterly review of the MTFS reported to the Strategic Board a review of risks that may impact the plan together with mitigations are performed. Subject to resources available the Service will introduce scenario planning within the financial and business planning process. This could include basic scenarios within the MTFS by considering the best, worst and most likely outturn from assumptions used to create alternative models for example.	COMPLETE

Follow up - Contract Management Policy	21/22 Follow up	Completed	Medium		06/05/2022		30/06/2022		We will ensure that responsibility for the production of the contract management policy/procedure is reassigned and that the document will include information such as: • Objectives and purpose of contract management; • Roles and responsibilities; • Negotiating contracts; • Dealing with conflicts of interest; - Preparing the contract; • Storage of contracts • Use of a contract register; • Monitoring arrangements and performance management; • Dealing with changes, variations and extensions; • Dispute resolution; • Payments; and • Lessons learnt processes.	**COMPLETE**
Contract Management - EPF	21/22 Key Financial Controls	Completed	Medium		06/05/2022		31/03/2022		There is an SLA between ECFRS and EPF, which sets out the roles and responsibilities relating to the provision of services. EPF do not provide quarterly reports in line with the SLA.	**COMPLETE**
Trainer Qualifications	21/22 Competency Management	Completed	Medium		06/05/2022		31/12/2021		The audit found that PDRPro was not up to date with trainer qualifications.	**COMPLETE**
Staff Competency	21/22 Fleet Management	Completed	Medium		06/05/2022	01/12/2021	01/04/2022		The Fleet Management Team have not identified the training required for each member of staff to undertake through a training needs assessment. A template has been developed but no information has been recorded.	**COMPLETE**