



Appendix A - Asset Management Process Mapping

May 2022



Introduction

This report provides a summary of the Asset Management System Process Review, which evaluated the processes relating to data held on the RedKite Asset Management System and also included an understanding and mapping of the manual Asset Management processes completed outside of RedKite. We conducted walkthroughs with relevant personnel who work with the systems to understand the current processes in place, which has allowed us to map the systems in a “swim-lane” format, highlighting individual responsibilities.

Reviews were conducted for each process that results in a data entry on RedKite, roles and responsibilities, as well as the governance arrangements in place to provide adequate oversight of; the asset management system, related manual processes, reconciliations and reporting procedures in place.

The slides for each process provide an overview of the control gaps that we observed. Comprehensive process maps are linked to each process summary and through these links the detailed process maps can be viewed.

In our review of the Asset Management System control framework, we have also considered the findings raised in previous internal audit reviews the Asset Management System. We have evaluated the progress made to implement these actions.

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RedKite Purpose and Key Functions

The RedKite Asset Management System is an electronic asset management system that tracks assets and automates the management of scheduled and unscheduled preventative maintenance and safety checks. It aims to save time and money by reducing asset downtime, prolonging the operational life of assets and ensuring assets are safe to use.

Asset register

- Hierarchical structure allows 'classes' of assets to be defined, with types of asset belonging to each class and then details of every asset of a specific type.
- An asset can be a location for other assets providing a parent / child relationship. Assets can be assigned to locations, other assets or people and can either be fixed or floating.

The screenshot shows the 'Tests' page in the RedKite system. It includes a search bar for equipment code, barcode, and serial numbers, and a table of test records.

Equipment	Description	Test Type	Due date	Barcode No.
0800216072	HOSE DELIVERY 64MM	ANNUAL	29/06/2022	H1010
0800216071	HOSE DELIVERY 64MM	ANNUAL	24/06/2022	H1009
0800217040	HOSE DELIVERY 64MM	ANNUAL	24/06/2022	H1204
0800250696	HOSE DELIVERY 64MM	ANNUAL	24/06/2022	H0679
FW00150030	FIRE ALARM	WEEKLY	15/06/2022	P01621
0C09921002	IEC KIT BAG	WEEKLY	14/06/2022	0103883
0C09918005	IEC KIT BAG	WEEKLY	13/06/2022	0100635
0C09918006	IEC KIT BAG	WEEKLY	13/06/2022	0100636
0C09918016	IEC KIT BAG	WEEKLY	13/06/2022	0100606
0C09918021	IEC KIT BAG	WEEKLY	13/06/2022	0101187
0A03920017	FIRE ESCAPE HOOD	WEEKLY	12/06/2022	0101055
0A03920018	FIRE ESCAPE HOOD	WEEKLY	12/06/2022	0101054
0A03920022	FIRE ESCAPE HOOD	WEEKLY	12/06/2022	0101059
0A03920039	FIRE ESCAPE HOOD	WEEKLY	12/06/2022	0102043
0A03920040	FIRE ESCAPE HOOD	WEEKLY	12/06/2022	0102059
0A03920071	FIRE ESCAPE HOOD	WEEKLY	12/06/2022	0102050
0A03920072	FIRE ESCAPE HOOD	WEEKLY	12/06/2022	0102086
0A03920078	FIRE ESCAPE HOOD	WEEKLY	12/06/2022	0102060
0A03920082	FIRE ESCAPE HOOD	WEEKLY	12/06/2022	0102099
0A03920086	FIRE ESCAPE HOOD	WEEKLY	12/06/2022	0102522
0A03920089	FIRE ESCAPE HOOD	WEEKLY	12/06/2022	0102513
0A03920091	FIRE ESCAPE HOOD	WEEKLY	12/06/2022	0102590
0830420006	STANDARD KEYS BOX	WEEKLY	11/06/2022	0797594
0830420009	STANDARD KEYS BOX	WEEKLY	11/06/2022	0797597
0830420016	STANDARD KEYS BOX	WEEKLY	11/06/2022	0797604
0830420019	STANDARD KEYS BOX	WEEKLY	11/06/2022	0797607
0702118002	APPLIANCE TANK FLUSHING (WEEKLY)	WEEKLY	11/06/2022	0794109
VB00117002	LIGHTS	WEEKLY	11/06/2022	V0028
VB00217002	HORN	WEEKLY	11/06/2022	V0029

Test Move Find Defects Status Reports

Equipment Search

Equipment code:

Search: Barcode No.

Text to search for:

Find Close

Report Selection

Category: User Reports, Supervisory Reports, Property Reports

Location: All Locations, Sub Location, All Sub Locations

Group:

Item:

Date From: 9 June 2022

Date To: 9 June 2022

Test Type:

Reverse Order

Select Back

RedKite Purpose and Key Functions cntd.

Defect management

- Keeps track of where assets that need repairing or replacing are and be kept informed of progress.
- When a defect is reported on the system, responsible personnel are notified automatically by e-mail.
- The status of defects can be readily viewed – a link on the side bar takes you through to all areas of defect management.
- Colour codes show the priority of each defect.

Record of maintenance and safety checks

- Each type of asset will carry its own set of preventative maintenance and safety checks.
- Tests can be recorded either manually or electronically via barcode and RFID readers used to scan the barcodes on labelled assets.

Bulk tasks

- Allows assets to be 'Bulk added' to the asset register, 'bulk allocated' to one or more locations or individuals and the activity cycle for maintenance or safety activities can be 'bulk initiated'.
- The results of safety tests or maintenance activities from an external contractor can also be 'bulk imported'.

Custom access rights

- Provides senior management with a centralised overview of the status of assets across all or part of the organisation.
- Provides line management with a local overview of the status of assets
- Provides front line personnel with tools to undertake tasks efficiently.

Management reports

- Reports, with both local and centralised views, provide a wide range of useful management information on data held in different parts of the system.
- Reports can be customised.

Executive Summary

The purpose of this assurance review was to gain oversight of Redkite, including the manual systems and processes that feed into it, to enable a complete understanding of the system architecture and further ensure that the asset management processes are adequate.

The 2020/21 Asset Management System Audit and 2018/19 Stores Audit both identified weaknesses in the system of internal control. The 2020/21 Asset Management System Audit highlighted that the Asset Team would benefit from mapping the process end-to-end to; better understand their processes, highlight where improvements can be made, and help build resilience.

The Asset Management Process Mapping Exercise follows on from the following previous internal audit reviews :

- **2020/21 Asset Management System audit** – six high and four medium priority findings were raised. The overall audit opinion was **Partial** *(Please note that the assurance opinions were changed in 2020/21 where we introduced 'Partial' as a new conclusion on the system of internal control. However, effective 2022/23 these were revised to be in line with the CIPFA recommended opinions).*
- **2018/19 Stores audit** – four high, two medium and one low priority findings were raised. The overall audit opinion was **Limited**.
- **2015/16 Asset Management audit** – four high, three medium and one low priority findings were raised. The overall audit opinion was **Reasonable**.

The table below provides a summary of all the findings raised and their implementation status:

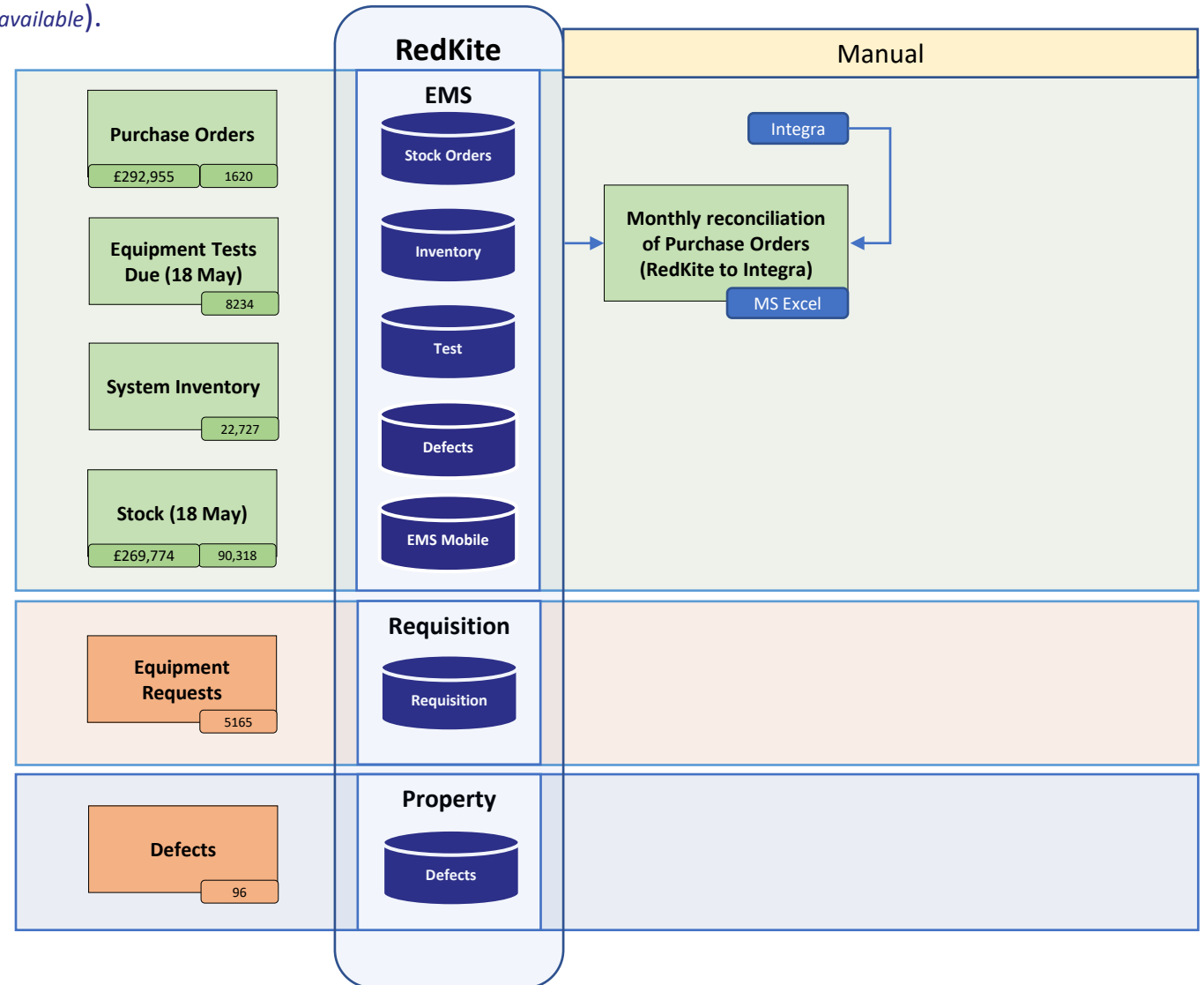
Internal Audit Title and Year	Number of Findings	High Priority			Medium Priority			Low Priority		
		Implemented	Partially Implemented	Not Implemented	Implemented	Partially Implemented	Not Implemented	Implemented	Partially Implemented	Not Implemented
Asset Management System 2020/21	10	1	5	-	3	1	-	-	-	-
Stores 2018/19	7	4	-	-	2	-	-	1	-	-
Asset Management 2015/16	8	4	-	-	3	-	-	1	-	-
Total	25	9	5	-	8	1	-	2	-	-

System Process Overview

The below diagram provides an overview of the different RedKite modules, the data sets and the associated volumes and values for FY21-22 displayed underneath each key data type held on RedKite (*where available*).

Comments / Limitations on data:

- Figures were retrieved from reports generated from RedKite.
- Data for Equipment Tests Due and Stock was not available for the Financial Year, so a snapshot of volumes and values (where available) as per RedKite on 18 May has been provided.
- The January 2021 internal audit report of the Asset Management System noted that the record of tests due as per RedKite is unreliable and may not be accurate. This issue is expounded on as part of the Tests Process review (*see slide 12*).
- The review noted that records of stock held on RedKite were also likely to be inaccurate/ unreliable. System reports extracted from RedKite on stock levels were not correctly aligned and did not display minimum stock levels. This issue is highlighted as part of the Asset Additions Process review (*see slide 7*).
- We can therefore not be certain that the volumes and values data provided for these equipment Tests and Stock level are accurate.
- We observed general limitations regarding the management information that can be produced from the RedKite system. For some data sets we were unable to obtain the total financial value, with only the volume of activities being available.
- It is our recommendation that the service should make improvements on the reporting capabilities of the system and ensure that key management information that can enable complete oversight of all assets and support decision making in the management of the assets should be available.



Asset Additions

Summary – Assets are purchased on Integra, in line with the corporate ordering process. When they are received, they are barcoded and the barcode number is recorded on RedKite.

Interview List – Maria Darrell (Asset Management and Equipment Manager), Tony Hart (Asset Management Technician), Chris Cook (Asset Management Technician), Carl Hayward (Station Commander Research & Development)

Control Risk Observations and Recommendations

Area	Observations	Previously raised?	Risk Rating	Recommendation
System Stock Levels	<p>(1) Walkthrough of the stock re-order process and discussion with the Asset Management Team established that stock is not re-ordered when stock levels fall below the 're-order' level set within the system. In some cases stock levels are also allowed to fall below the 'minimum' level. Discussion with the Asset Management and Equipment Manager established that the system parameters for stock levels of assets recorded within the system were set when the RedKite system was introduced in 2014. The 're-order' and 'minimum' levels were set as arbitrary figures in many cases and are not based on usage or equipment requirements. They have also not been edited since they were introduced.</p> <p>Review of the Re-order Levels Report, run on 18 May 2022, found that 524 of the 1016 items listed were below the re-order level. Of these, 452 were also below the minimum stock level for that item.</p>	No	H	<p>Parameters for stock levels set within the RedKite system should be revisited and changed so that these can be relied upon for monitoring and reordering stock. This function should then be used to decide whether stock should be re-ordered, this will limit the reliance on internal knowledge.</p> <p>Additionally, management information produced from the RedKite system should be reviewed to ensure that key data is accurately and completely captured for reporting purposes..</p>
Recording of assets	<p>(19) As part of the 2020/21 Asset Management System audit, a sample of 25 items was selected from the report of current assets generated from RedKite to check whether the assets could be found in the Stores and Workshops area. Of the 25 assets:</p> <ul style="list-style-type: none"> Sixteen assets could not be found. In one of these 16 cases, the asset had a system-assigned equipment number but no barcode number or serial number, which are the numbers used by the Authority to identify assets uniquely. If the asset was present in Stores, there would be no unique identifier in RedKite to identify the asset. Values were listed for six of the 16 items that were not located. The highest of these was £345. The total value of items not found for which the value was listed was £687.69. <p>A further sample of 25 items was selected at random from the Stores area to check whether the assets could be identified on the Asset Management System. Of the 25 assets selected:</p> <ul style="list-style-type: none"> Seven did not have a label or tag with the barcode number. Of the seven that were not marked or labelled, three had a serial number. However, the serial number could not be found in RedKite. In the 18 cases where the asset had a barcode label, nine assets could not be identified on RedKite. 	January 2021; February 2019	H	<p>Equipment should be checked to ensure that it has an asset/barcode tag and that this is recorded against the serial number of the equipment item and recorded on RedKite. This check should be carried out as part of the annual Stock Check.</p>

(**) – shows the process step in question – see map for further details

Asset Additions cntd.

Control Risk Observations and Recommendations

Area	Observations	Previously raised?	Risk Rating	Recommendation
Categorisation of assets	<p>(20) Review of RedKite and discussion with the Asset Management Technicians and Asset Management & Equipment Manager established that there is not a risk-based system in place for categorising assets. RedKite categorises equipment by the type of activity the equipment is used for (e.g. working at height) and there is informal knowledge amongst staff of critical equipment to maintain in stock. However, a formal categorisation of assets by operational risk (e.g. risk to firefighters safety) is not in place.</p> <p>Internal Audit has previously raised findings around inaccurate recording of assets within the RedKite system, partially due to assets not being assigned a barcode number or serial numbers not being recorded on RedKite. Establishing a criteria whereby assets within a certain risk category or above a certain value are prioritised for recording would ensure that the most critical assets are recorded and can therefore be adequately monitored and maintained.</p>	No	H	Introduce a categorisation of assets based on the risk of not having the asset available for use. This could either be included as part of the categorisation on RedKite, or could sit alongside RedKite to assist with marking and recording assets and maintaining adequate stock levels of critical equipment.

(**) – shows the process step in question – see map for further details

Defects (Operational equipment)

Summary – Defects for operational equipment are recorded on RedKite by Fire Crews when carrying out equipment tests and during day-to-day operations. Equipment is either repaired in-house or sent to the equipment supplier, depending on the defect. There is a ‘Parcel-2-Go’ subprocess for sending assets to suppliers.

Interview List – Maria Darrell (Asset Management and Equipment Manager), Tony Hart (Asset Management Technician), Chris Cook (Asset Management Technician)

Control Risk Observations and Recommendations

Area	Observations	Previously raised?	Risk Rating	Recommendation
Categorisation of Assets	<p>(6) Review of RedKite and discussion with the Asset Management Technicians and Asset Management and Equipment Manager established that there is not a risk-based system in place for categorising assets. RedKite categorises equipment by the type of activity the equipment is used for (e.g. working at height) and there is informal knowledge amongst staff of critical equipment to maintain in stock. However, a formal categorisation of assets by operational risk (e.g. risk to firefighters’ lives) is not in place.</p> <p>An effective categorisation of assets would mean defected equipment is prioritised for repair based on the risk of not having the asset available for use, with additional equipment purchased where necessary.</p>	No	H	Introduce a categorisation of assets based on the risk of not having the asset available for use and of the asset not being adequately maintained.

(**) – shows the process step in question – see map for further details

Disposals

Summary – Operational assets are considered for disposal when they become obsolete, unserviceable or surplus to requirements. The Executive Committee reviews and approves the disposal of Capital assets with a Net Book Value (NBV) over £10k.

Interview List – Mark Hemming (Director of Finance and Assets), Carl Hayward (Station Commander Research & Development), Marcus Hussey (Principal Accountant), Tony Hart (Asset Management Technician), Chris Cook (Asset Management Technician)

Control Risk Observations and Recommendations

No control risk issues were noted in respect of the disposals process. See process map for controls identified as part of the process review.

Inventory

Summary – Regular inventory checks are also carried out by Fire Crews and the Asset Management team. These can be either ad-hoc or as per a schedule loaded onto RedKite and can either be recorded using a computer or by scanning assets using a mobile scanner with RedKite Mobile EMS installed. There is a RedKite user guide in place that covers most of this process.

Interview List – Carl Hayward (Station Commander Research & Development), Maria Darrell (Asset Management and Equipment Manager), Tony Hart (Asset Management Technician), Chris Cook (Asset Management Technician)

Control Risk Observations and Recommendations

Area	Observations	Previously raised?	Risk Rating	Recommendation
Inaccurate records of stock	<p>(2) As part of the 2020/21 Asset Management System audit, testing was carried out at Beaconsfield Fire Station. A sample of ten assets was selected from the report of current assets listed on RedKite. Of the ten assets selected:</p> <ul style="list-style-type: none"> Two assets were not found at the fire station. One of these assets was a battery for a handheld radio. Discussion with the Station Commander established that these are always listed as auxiliary equipment linked to the station and are not scanned when moved to an appliance or someone takes it with them. However, during the audit visit, the fire crews searched the station appliances (vehicles) for the asset, and it could not be found. Of the eight assets found, one was not marked with a barcode label, tag or number. <p>Whilst periodic inventory checks are carried out at Fire Stations and centrally within Stores, this observation indicates that they do not guarantee that all items are present.</p>	January 2021	M	<p>The Asset Management and Equipment Manager now reviews reports of inventory checks and where they are outstanding, follows this up with Station Commanders.</p> <p>A review of the system parameters should also be carried out to ascertain whether inventory checks are carried out with an appropriate frequency for all assets.</p>
Stock checks	<p>Review of stock checks recorded on RedKite as part of the 2020/21 Asset Management System audit found that the most recent stock check was the Mezzanine Stock Take 2018/19 completed on 1 April 2019. No stock checks were recorded on RedKite for 2020/21 as of November 2020.</p> <p>Discussion with the Asset Management Team and review of RedKite found that the annual independent stock check was due to be carried out in March 2020. However, as a result of the Government's measures to combat Covid-19, this was cancelled, and no new date was set. The most recent independent stock check recorded in RedKite was completed on 1 April 2019.</p>	January 2021	M	<p>Stock checks should be carried out on an annual basis.</p> <p>In line with the recommendation made on slide 5; equipment should be checked to ensure that it has an asset/barcode tag and that this is recorded against the serial number of the equipment item and recorded on RedKite.</p>

(**) – shows the process step in question – see map for further details

Tests

Summary – Equipment tests are carried out in line with the frequency input into RedKite for each asset.

Interview List – Carl Hayward (Station Commander Research & Development), Maria Darrell (Asset Management and Equipment Manager), Tony Hart (Asset Management Technician), Chris Cook (Asset Management Technician)

Control Risk Observations and Recommendations

Area	Observations	Previously raised?	Risk Rating	Recommendation
Inaccurate records of tests due	<p>(2) During a visit to Beaconsfield Fire Station as part of the 2020/21 Asset Management System audit, it was noted that there was a discrepancy between the number of tests due as seen on the report generated by the Station Commander and those listed for crew users. For example, 87 due tests were listed for the Station Commander for appliance 51P1, but only three listed on the same report viewed by a crew user account.</p> <p>Further discussion with the Station Commander and Asset and Equipment Manager established that the due tests identified are not carried out by fire crews, but by outside contractors and workshops staff and are therefore not visible to operational crews. This indicates that contractor and workshop tests are not always recorded on RedKite.</p>	January 2021	H	<p>Ensure Firefighters and the Asset Management Team are recording tests completed in RedKite. Where tests are not completed/ are overdue the Asset Management Team should follow-up with applicable Station Commander.</p> <p>Where tests are carried out by Workshops staff, ensure that these are recorded and that assurance is obtained via periodic reports that these tests are carried out. As Workshops staff do not use RedKite to record their tests, remove these from RedKite so that RedKite provides an accurate record of tests due.</p>
Overdue tests	<p>(2) As part of the 2020/21 Asset Management System audit, a review of the report of tests due at Beaconsfield Fire Station run from Redkite found that 286 of the 288 tests listed had passed the due date as of 12 November, with one due date listed as being 13 February 2014 and 118 listed as having due dates of 2019 or earlier.</p> <p>A similarly high number of overdue tests were noted for Aylesbury Fire Station as of 3 November 2020. All 179 tests were overdue when viewed against the listed due date. Through discussion with the Station Commander, we were unable to establish whether these tests had been carried out or whether this was a system issue or data quality issue.</p> <p>A sample of 20 assets listed on Redkite was examined to confirm whether equipment tests and inventory checks were carried out promptly and accurately recorded on Redkite. The period covered was from November 2019 to November 2020. Of the 20 assets tested:</p> <ul style="list-style-type: none"> In 11 cases, assets were not tested in line with the frequency required by tests loaded onto Redkite. In four cases, the most recent test was not carried out within a timely manner of the previous test. 	January 2021	H	<p>Testing frequencies and recording of equipment on RedKite should be reviewed.</p> <p>The accuracy and completeness of the reports that are produced from RedKite should be evaluated to ensure that the information being captured by the reports is accurate.</p>

(**) – shows the process step in question – see map for further details

Uniforms and Badges

Summary – Uniform is issued from Stock following a number of checks. Uniform stock is re-ordered when it sinks below a given level. Badges are ordered in bulk and issued by the supplier with the employee's name when a new badge is required.

Interview List – Tony Hart (Asset Management Technician)

Control Risk Observations and Recommendations

No control risk issues were noted in respect of the process for issuing uniforms and badges. See process map for controls identified as part of the process review.



RedKite Users

Summary – The RedKite system has a total of 375 users.

Finding 1 (System Transactions and Records – Leaver access not removed) from the 2020/21 internal audit of the Asset Management System found that from a sample of five former employees who left between April and November 2020:

- Four were listed as current users in RedKite, with all four having Requisition access.
- Four leavers were listed on a RedKite system report of users with 'Equipment change location access', meaning they have access to move an asset's location on RedKite.

A check of RedKite in May 2022 found:

- Three of the four leavers have now been removed from RedKite. However, one was found to still have access.
- Four potential duplicate users and ten definite duplicate users were found (*see Appendix A, attached*).

Recommendation - Users and access rights should be reviewed to ensure segregation of duties, integrity of the Asset Management system and security of assets.

Appendix B - Follow-Up Findings

Implementation status of findings raised and management actions agreed during the 2020/21 internal audit of the Asset Management System and the 2018/19 internal audit of Stores.

Stores 2018/19

Report Ref No. 2	Title: Asset Review	Priority of finding: H	Status: Implemented
Original Audit Finding		Management Comments & Action Plan	
<p>Staff are required to undertake regular asset checks. The frequency of these inventory checks are dependent on the type of items, with this being determined by the PIT Number each asset is assigned. For example, the 48b PIT Number would be checked once a month at the start of each month. When the staff check the assets, a device would be used to scan the tag label of each asset to show that the asset has been located and checked. Once the staff have scanned the item, evidence of this scan is registered automatically on Red Kite. During these inventory checks the staff will declare if they have found the asset and if it is inadequate or faulty.</p> <p>A sample of ten items was selected randomly from the Red Kite system. These were tested to see if the items had been checked in accordance with the frequency required. In two cases the location of the items was not found and the item had not been checked as a result.</p>		<p>Inventory checks should be reviewed by the Asset Management Systems Officer. Where the inventory checks have not been undertaken on a consistent basis, this will be followed up with staff.</p>	
Follow Up Evaluation		Further Recommendation	
<p>The Asset Management and Equipment Manager now carries out a monthly check and emails Station Managers with the dates and amount of equipment inventoried by crews.</p>		N/A	

Follow-Up Findings

Asset Management System 2020/21

Report Ref No. 1	Title: System Transactions and Records – Leaver access not removed	Priority of finding: H	Status: Partially Implemented
Original Audit Finding		Management Comments & Action Plan	
<p>A sample of five former employees who left between April and November 2020 was examined. Of these five leavers:</p> <ul style="list-style-type: none"> • Four were listed as current users in RedKite, with all four having Requisition access. • Four leavers were listed on a Redkite system report of users with 'Equipment change location access', meaning they have access to move an asset's location on Redkite. <p>Redkite is not anchored to the Fire Authority's IP address. This means it can be accessed from a personal computer and accessed by leavers listed as active users who no longer have physical access to the Fire Authority's buildings and computers.</p> <p>Discussion with the Asset Management Team and review of Leaver emails also found that removing leavers from the Redkite system is not included on the Leaver checklist listed within the email.</p>		<p>Changes will be made to Leaver notification information to include removal of Red Kite access. An exercise will be undertaken to assess whether there was any activity for users identified as not having been removed after they left.</p>	
Follow Up Evaluation		Further Recommendation	
<p>A process is now in place to ensure leavers are removed when the leaver notification email is received. However, changes have not been made to the checklist on the Leaver notification email. Staff were also found on the user list who are no longer employed at the Fire Authority.</p>		<p>Update the Leaver checklist to include removal of system access. Carry out a data cleanse of users who are no longer employed at the Fire Authority or who no longer require access to RedKite.</p>	
Report Ref No. 2	Title: System Transactions and Records – Resilience in the Asset Management Team	Priority of finding: H	Status: Implemented
Original Audit Finding		Management Comments & Action Plan	
<p>The Asset Management Team established that the Asset and Equipment Manager had been absent for three months. As a result, the Asset Management Technician had picked up the majority of her responsibilities regarding the Asset Management System.</p> <p>Also, telephone calls still had to be made to the absent Manager in certain situations. The Technician stated that he was still learning what she used to do. Many of the processes, other than the Redkite user processes, were found not to be documented. The Manager appeared to be the only staff member trained in carrying out many of these tasks. This demonstrates a resilience issue in the team.</p>		<p>There are user guides available on the Red Kite software programme and a Red Kite Asset Management user guide on the intranet. These are accessible to all staff. The Asset Management Technician has been made aware of these documents. Access rights have been checked to ensure the suitable persons have access and can download Red Kite user guides from the login screen.</p> <p>Documentation to be reviewed for any gaps and process notes to be updated where required.</p>	
Follow Up Evaluation		Management Comments & Action Plan	
Documents have been reviewed. The user guides on Redkite are updated each time a new Redkite feature is brought in.		N/A	

Follow-Up Findings

Asset Management System 2020/21

Report Ref No. 3	Title: Asset Management Planning, Policies and Procedures – Processes not documented	Priority of finding: H	Status: Partially Implemented
Original Audit Finding		Management Comments & Action Plan	
<p>Many processes were found not to be documented. This included tasks carried out by the Asset Management and Equipment Manager, Asset Management Technician and in the Stores/Mezzanine area that feed into RedKite.</p> <p>It was apparent that there was little awareness between team members and by the Station Commander Research & Development, of what other team members do. Especially of the tasks carried out in the Mezzanine, which are mostly manual and completed outside of RedKite.</p> <p>The team would benefit from mapping the process end to end to better understand their processes and where improvements can be made and help build resilience.</p>		<p>We have ensured that all staff have access to the relevant user manuals.</p> <p>We will review the roles and responsibilities of the Asset Team and ensure that Manager, deputy and SC R&D are aware of work practices and procedures of the whole team. Create a series of flowcharts showing workflow that could be picked up by "new" staff in the event of staff leaving/prolonged sickness or secondment out of current position.</p> <p>This will be supported by the end-to-end process mapping within the Internal Audit Plan for 2021-22.</p>	
Follow Up Evaluation		Further Recommendation	
End-to-end process mapping has been carried out by internal audit and staff have access to relevant user manuals. Once the process maps have been reviewed and handed over to the Fire Authority, this action will be completed.		Internal audit to complete process mapping exercise and process review. Following this, the Asset Management Team should maintain the process maps, updating them whenever a change is made to the process,	
Report Ref No. 4	Title: Recording of Assets – Inaccurate record of tests due	Priority of finding: H	Status: Partially Implemented
Original Audit Finding		Management Comments & Action Plan	
<p>During a visit to Beaconsfield Fire Station, it was noted that there was a discrepancy between the number of tests due as seen on the report generated by the Station Commander and those listed for crew users. For example, 87 due tests were listed for the Station Commander for appliance 51P1, but only three listed on the same report viewed by a crew user account.</p> <p>Further discussion with the Station Commander and Asset and Equipment Manager established that the due tests identified are not carried out by fire crews, but by outside contractors and workshops staff and are therefore not visible to operational crews. This indicates that contractor and workshop tests are not always recorded on Redkite.</p>		<p>Review of the testing frequency of equipment listed on Red Kite.</p> <p>Ensure workshops staff are testing, recording, and accessing the required testing information.</p> <p>Set a regular review of outstanding tests for all equipment and who would carry out the test and who would have access to view these records. This will be supported by the end-to-end process mapping within the Internal Audit Plan for 2021-22.</p>	
Follow Up Evaluation		Further Recommendation	
Workshops are still using the Tranman system to record their testing and they are unlikely to duplicate records of this testing on Redkite. The annual testing carried out by workshops has been removed from Redkite. However, assurance isn't obtained from Workshops that their tests are carried out in line with the schedule.		Obtain periodic reports of tests recorded on the Tranman system as assurance that annual tests are carried out by Workshops.	

Follow-Up Findings

Asset Management System 2020/21

Report Ref No. 5	Title: Asset Management Planning, Policies and Procedures – Processes not documented	Priority of finding: H	Status: Partially Implemented
Original Audit Finding		Management Comments & Action Plan	
<p>Review of the report of tests due at Beaconsfield Fire Station run from Redkite found that 286 of the 288 tests listed had passed the due date as of 12 November, with one due date listed as being 13 February 2014 and 118 listed as having due dates of 2019 or earlier.</p> <p>A similarly high number of overdue tests were noted for Aylesbury Fire Station as of 3 November 2020. All 179 tests were overdue when viewed against the listed due date. Through discussion with the Station Commander, we were unable to establish whether these tests had been carried out or whether this was a system issue or data quality issue.</p> <p>A sample of 20 assets listed on Redkite was examined to confirm whether equipment tests and inventory checks were carried out promptly and accurately recorded on Redkite. The period covered was from November 2019 to November 2020. Of the 20 assets tested:</p> <ul style="list-style-type: none"> • In 11 cases, assets were not tested in line with the frequency required by tests loaded onto Redkite. • In four cases, the most recent test was not carried out within a timely manner of the previous test. • In one case, no inventory checks or tests had been carried out since March 2018. In two other cases, an inventory was carried out promptly. However, no tests were carried out on the equipment since 2018 or earlier. In one of these cases, the most recent test was listed as being carried out in October 2014. • One asset was not found during an inventory check. 		<p>Review of testing frequencies and recording of all equipment on Red Kite.</p> <p>Additional training for the operational crew in the recording of tests.</p>	
Follow Up Evaluation		Further Recommendation	
<p>The testing frequencies are under constant review at the moment as the equipment manuals that are being created by the Thames Valley Collaboration may have differing testing schedules to the ones we have at the moment. Each piece of equipment is updated as necessary.</p> <p>Time and workload constraints have not allowed any time to go to stations for training.</p>		<p>Complete the review of testing frequencies.</p> <p>Plan and complete additional training for operational crews.</p>	

Follow-Up Findings

Asset Management System 2020/21

Report Ref No. 6	Title: Recording of Assets – Inaccurate records of stock	Priority of finding: H	Status: Partially Implemented
Original Audit Finding		Management Comments & Action Plan	
<p>A sample of 25 items was selected from the report of current assets generated from Redkite to check whether the assets could be found in the Stores and Workshops area. Of the 25 assets:</p> <ul style="list-style-type: none"> • Sixteen assets could not be found. In one of these 16 cases, the asset had a system-assigned equipment number but no barcode number or serial number, which are the numbers used by the Authority to identify assets uniquely. If the asset was present in Stores, there would be no unique identifier in Redkite to identify the asset. Values were listed for six of the 16 items that were not located. The highest of these was £345. The total value of items not found for which the value was listed was £687.69. <p>A further sample of 25 items was selected at random from the Stores area to check whether the assets could be identified on the Asset Management System. Of the 25 assets selected:</p> <ul style="list-style-type: none"> • Seven did not have a label or tag with the barcode number. Of the seven that were not marked or labelled, three had a serial number. However, the serial number could not be found in Redkite. • In the 18 cases where the asset had a barcode label, nine assets could not be identified on Redkite. • In the nine cases where the asset was identified on Redkite, one asset was found in Stores. However, it was listed on the system as being in Stokenchurch. <p>Further testing was carried at Beaconsfield Fire Station. A sample of ten assets was selected from the report of current assets listed on Redkite. Of the ten assets selected:</p> <ul style="list-style-type: none"> • Two assets were not found at the fire station. One of these assets was a battery for a handheld radio. Discussion with the Station Commander established that these are always listed as auxiliary equipment linked to the station and are not scanned when moved to an appliance or someone takes it with them. However, during the audit visit, the fire crews searched the station appliances (vehicles) for the asset, and it could not be found. • Of the eight assets found, one was not marked with a barcode label, tag or number. <p>Testing of a different sample of ten items selected at random from the Fire Station found no exceptions. All assets could be identified in the Asset Management System.</p>		<p>As part of the stock check of equipment within stores and on mezzanine equipment will be checked to ensure that it has an asset/barcode tag and that this is recorded against the serial number of the equipment item and recorded on Red Kite.</p>	
Follow Up Evaluation		Further Recommendation	
<p>As of the review, an independent stock check had been planned for the end of March 2022. Discussion with the Asset Management Technician and review of assets held within Stores and the mezzanine found that a review of assets held on the mezzanine was underway, with previously unmarked assets being marked and recorded on RedKite. However, due to time constraints and workloads, this process was not yet completed.</p>		<p>Ensure that the independent stock check has been undertaken and recorded on RedKite and that a stock check is scheduled for 2022/23.</p> <p>Complete the process for reviewing, recording and marking unmarked assets. Use a risk-based categorisation of assets to prioritise this work and decide whether there are any assets that do not need to be marked.</p>	

Follow-Up Findings

Asset Management System 2020/21

Report Ref No. 9	Title: System Transactions and Records – Scanners no longer supported	Priority of finding: M	Status: Implemented
Original Audit Finding		Management Comments & Action Plan	
<p>Through a walkthrough of the handheld scanner process with fire crews, it was noted that a security alert appears every time the scanner is switched on. The alert states that the security certificate has expired or is not yet valid.</p> <p>Further discussion with the Station Commander and Asset Management Technician noted that Microsoft no longer supports the operating system's version on the scanners. This presents a vulnerability to external attacks wishing to access the system's data.</p>		<p>We have started a review of Red Kite and the equipment associated with RedKite. We have now received new scanners. The software has been tested and is compatible with the current existing scanners. We are just waiting for some additional protective cases then will be starting a trial of the scanners.</p> <p>Check security of the system with Asset Management provider and see if additional security measures should be implemented immediately before new hardware.</p>	
Follow Up Evaluation		Further Recommendation	
<p>The new scanners are in place. ICT have confirmed that these offer a lot more security. The scanners are in kiosk mode which only allows users to get to the Redkite website and nothing else/ They have Microsoft Defender anti-virus to protect the devices. ICT have no concerns regarding security.</p>		N/A	
Report Ref No. 10	Title: Recording of Assets – Inaccurate record of tests due	Priority of finding: M	Status: Partially Implemented
Original Audit Finding		Management Comments & Action Plan	
<p>During a visit to Beaconsfield Fire Station, it was noted that there was a discrepancy between the number of tests due as seen on the report generated by the Station Commander and those listed for crew users. For example, 87 due tests were listed for the Station Commander for appliance 51P1, but only three listed on the same report viewed by a crew user account.</p> <p>Further discussion with the Station Commander and Asset and Equipment Manager established that the due tests identified are not carried out by fire crews, but by outside contractors and workshops staff and are therefore not visible to operational crews. This indicates that contractor and workshop tests are not always recorded on Redkite.</p>		<p>A stock level report was sent to finance when it was identified that a formal stock check wouldn't be achievable due to Covid-19.</p> <p>Arrange for internal audit/stock check to be carried out of stores and mezzanine area.</p>	
Follow Up Evaluation		Further Recommendation	
<p>As of the review, an independent stock check had been planned for the end of March 2022.</p>		<p>The planned independent stock check should be undertaken and recorded on RedKite and a stock check should be scheduled for 2022/23.</p>	