
Audit Improvement Plan Activities

Dorset & Wiltshire Fire and Rescue Service



DORSET & WILTSHIRE
FIRE AND RESCUE

Audit Improvement Plan Activities

KEY FOR RECOMMENDATION PRIORITY

- Priority 1** - Findings that are fundamental to the integrity of the Service’s business processes and require the immediate attention of Management.
- Priority 2** - Important findings that need to be resolved by Management.
- Priority 3** - Findings that requires attention.

On Call Systems

Director of Service Support

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
<p>1. Project Completion Schedule We recommend that a schedule to confirm that all stations have been moved permanently to the new scheme (including those currently on trial status) is introduced and is completed when the final version of the scheme is formally agreed.</p>	3	A schedule already exists within Sytle as part of the project plan.	<p>Recommendation/Corrective Action: Introduce a schedule to confirm that all stations have been moved to the new scheme.</p> <p>Responsibility: Area Manager - Response Support & Development</p> <p>Target Date: 31 March 2020</p>	<p>The collective agreement has been agreed and signed by the representative bodies. Progress is on track. Development work is now taking place to modify the relevant Gartan systems to accommodate the new on-call contracts. Working closely with HR, resource requirements are being reviewed to ensure they are accurately forecasted and incorporated into the implementation plan. In accordance with the communication and engagement plan, all on-call stations are being visited for more detailed familiarisation of the system between October and December 2019.</p>	On Track

Energy Management

Director of Service Support

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
<p>1. Carbon Management Policy The Integrated Property Asset Management Plan refers to development of a Carbon Management Policy, whilst we recognise that responsibility for this has been allocated, its completion and approval is anticipated to be significant in terms of establishing future commitment to investment in sustainability measures and therefore inform outcomes and actions emerging from the current property survey.</p>	2	<p>The Estate Officer has been tasked with the preparation of an Environmental Sustainability Policy. This will be a three-part process: Estates (the built environment); Assets (Fleet, Equipment, Supplies, Water & Foam); Service wide (corporate responsibilities, cultural change).</p>	<p>Recommendation/Corrective Action: Completion and approval of a Carbon Management Policy - Now called Environmental Sustainability Policy.</p> <p>Responsibility: Head of Assets</p> <p>Target Date: 30 September 2019</p>	<p>The Environment & Sustainability Plan is now in place and work is now underway to implement the Authority's Policy.</p>	<p>Complete</p>

Procurement (Value for Money)
 Director of Service Support

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
<p>1. Analysis of spend The procurement team should obtain, analyse and make best use of available data relating to on-going spend in order to determine where benefit can be obtained from formal tendering for common supplies and helping it to better anticipate and plan for future spending. This will help to ensure the Service delivers best value from its procurement activity</p>	2	<p>We have recently started to make progress with using the National Fire Chief's Council (NFCC) spend analysis tool. This will come in line with our move to Category Management. The Spend Analysis tool, contracts register, and Capital Plan will be used to inform future procurement activity.</p>	<p>Recommendation/Corrective Action: Procurement team should analyse data relating to on-going spend in order to anticipate and plan for future spending.</p> <p>Responsibility: Procurement Manager</p> <p>Target Date: 31 December 2019</p>	<p>A full future procurement plan is now in place utilising call off contracts such as Crown Commercial Services wherever possible. The department also actively works with national initiatives to maximise best value in areas of common spend. The National Fire Chiefs Council spend analysis tool is in place utilising the data for the last three years.</p>	Complete
<p>2. Training The Service should make training for those who have responsibility for procurement mandatory, and this should be endorsed by Management</p>	2	<p>Agreed. Has been included in training and awareness sessions for budget managers, service delivery teams and regular updates e.g. weekly bulletin.</p> <p>The Procurement Team ran training sessions, supported by an external provider, during November 2018 and 38 staff attended the sessions.</p>	<p>Recommendation/Corrective Action: Mandatory training for those who have responsibility for procurement.</p> <p>Responsibility: Procurement Manager</p> <p>Target Date: 31 March 2020</p>	<p>All relevant staff have received comprehensive procurement training. Refresher training is planned for early 2020 to ensure that understanding of regulations and internal standing orders remains current.</p>	Complete

Leadership and Development

Director of People Services

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
<p>1. Accreditation of Leadership Programme</p> <p>The Service should continue to consider the mutual benefits to the organisation and employees from accreditation of the programme.</p>	3	It is the intention to accredit the Leadership Development programmes	<p>Recommendation/Corrective Action:</p> <p>Continue to consider the mutual benefits from accreditation of the programme.</p> <p>Responsibility:</p> <p>Area Manager, Learning and Organisational Development</p> <p>Target Date:</p> <p>30 September 2019</p>	Leadership programmes are now cross mapped to the Chartered Management Institute Levels 3 and 5 qualifications delivered at Wiltshire College. It is planned that five candidates will undertake the Level 5 apprenticeship from November 2019 onwards, with a further five Level 3 candidates starting in the new year.	Complete
<p>2. Workbook</p> <p>The development of the Workbook should be encouraged as a mechanism for recording and review of progression and achievement by employees in support of Personal Review meetings and applications for promotion.</p>	3	Workbooks are being rolled out to relevant staff. The promotion process is being revised with a view to rolling out the new process in 2020. At this time links can be made between the promotion process and the Workbooks.	<p>Recommendation/Corrective Action:</p> <p>The Workbook should be used as a mechanism for recording and review of employees in support of Personal Review meetings and applications for promotion.</p> <p>Responsibility:</p> <p>Area Manager, Learning and Organisational Development</p> <p>Target Date:</p> <p>31 March 2020</p>	<p>There is a People Improvement Plan for Development Pathways that has clear dates for improvements and achievements. The proposed completion date is March 2020 and the plan is currently on target.</p> <p>Workbooks will be linked to the new 1:1 process and the new promotion process for crew and watch managers.</p>	On Track

Payroll

Director of People Services

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
<p>1. Authorised Signatories There is no list of authorised signatories in relation to payment for manual claims. There is an increased risk that employees are paid without appropriate authorisation. We recommend that the Human Resource Business Partner and Employee Relations Manager obtains a list of authorised signatories for each of the payroll authorisation processes. These should be shared with Payroll staff and built into controls prior to the payment being made.</p>	2	<p>A new e-claims system is currently being tested and will be launched in September 2019. This captures all overtime claims and will negate the need for an authorised signatory list due to the built-in controls. This system will extend to include mileage and expenses claims. As a result, there would be little benefit in producing a new signatory list as all claims will be submitted and authorised electronically by the end of December 2019.</p>	<p>Recommendation/Corrective Action: Human Resource Business Partner (HR BP) and Employee Relations Manager obtains a list of authorised signatories for each of the payroll authorisation processes.</p> <p>Responsibility: HR BP and Employee Relations Manager</p> <p>Target Date: 31 March 2020</p>	<p>The new e-claims system has been launched and roll out for staff groups is ongoing. This will be followed in the latter part of the year by the new expenses claims system. With the introduction of these systems, there will be no requirement for an authorised signatories list.</p>	Complete
<p>2. There has been no recent payroll reconciliation to HR records held in HRMIS (Management Information System) or the Gartan system.</p>	2	<p>Data reconciliation checks were undertaken as part of the data migration in September 2018 and some anomalies were identified and resolved. A complete cross reference data reconciliation exercise will be carried out in quarter 3 2019-2020 (November 2019).</p>	<p>Recommendation/Corrective Action: Ensure a reconciliation is carried out between the payroll system and MIS systems.</p> <p>Responsibility: HR BP and Employee Relations Manager</p> <p>Target Date: 31 December 2019</p>	<p>Reconciliation scheduled for November 2019</p>	On Track

Planned and Reactive Maintenance (Assets) Director of Service Support

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
<p>1. Contracts works under planned maintenance are monitored by the Building Services Compliance Officer using temporary monitoring spreadsheets. This post was created in May 2019 and several anomalies have been identified as part of the monitoring to date. These include missed visits and missing test certification.</p> <p>We recommend that the Building Services Manager reviews all current outstanding items, including those identified in the audit testing. These should then be addressed with the contractor to ensure that the Authority is receiving full value from the contract and reducing risk of reactive maintenance issues arising.</p>	3	<p>The outstanding visits and certification tests are programmed for completion. Estates will continue to monitor delivery to ensure all future maintenance is completed as scheduled.</p> <p>In addition, the Service will implement a longer-term solution to reconcile the spreadsheet within central ICT systems</p>	<p>Recommendation/Corrective Action: Review all current outstanding items, including those identified in the audit testing.</p> <p>Responsibility: Head of Assets</p> <p>Target Date: 30 September 2019</p>	All outstanding work has been completed. A system is in place to prevent a recurrence of this issue.	Complete
<p>2. It is difficult for the Authority to currently demonstrate value for money in relation to contractors for reactive maintenance works (framework).</p> <p>We recommend that the Building Services Manager considers using a recognised framework for approved contractors in relation to reactive works or, to improve transparency, advertises in the public domain to the remainder of the marketplace.</p>	3	Work is already progressing between Estates, Finance and Procurement to agree a structured framework for approved contractors in relation to reactive works.	<p>Recommendation/Corrective Action: Consider using a recognised framework for approved contractors in relation to reactive works or advertise in the public domain to the remainder of the marketplace.</p> <p>Responsibility: Head of Assets</p> <p>Target Date: 31 December 2019</p>	The Procurement and Estates teams have worked together to assess options to realise value for money in reactive maintenance. Due to the lack of an appropriate framework this work has been parcelled to enable small and medium enterprises to bid for work through a structured procurement process.	Complete

			<p>Recommendation/Corrective Action: Agree an approach for the provision of reactive maintenance work, which complies with the revised procurement rules.</p> <p>Responsibility: Head of Assets</p> <p>Target Date: 31 December 2019</p>	<p>The approach has been agreed as per the commentary above</p>	<p>Complete</p>
<p>3. It is difficult for the Authority to currently demonstrate value for money in relation to contractors for reactive maintenance works (compliance). We recommend that the Head of Assets, in liaison with the Head of Financial Services, agree an approach for the provision of reactive maintenance work, which complies with the revised procurement rules. The rationale for this decision should be recorded and retained.</p>	<p>2</p>	<p>The procurement approach and thresholds for reactive maintenance works are currently under review between Estates, Finance and Procurement. This will provide a clear and compliant procurement route for Estates.</p>	<p>Recommendation/Corrective Action: Agree an approach for the provision of reactive maintenance work, which complies with the revised procurement rules.</p> <p>Responsibility: Head of Assets</p> <p>Target Date: 31 December 2019</p>	<p>The approach has been agreed as per the commentary above</p>	<p>Complete</p>

ICT Roadmap 2019-24

Director of Service Support

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
<p>1. Completion of Roadmap 2019-24 We recommend that the Head of ICT ensures the Roadmap for 2019-24 is completed to ensure that current priorities are reflected accurately. This should include consultation with service user groups and capture the following:</p> <ul style="list-style-type: none"> - Resources and financial profiling - Commitments, dependencies, timescales - Impacts to business as usual - Alignment with underlying service planning 	2	A review of the ICT strategy will take place to ensure it meets the wider business needs of the organisation and Service Plan. The recommendations made will be incorporated into the review before full sign off.	<p>Recommendation/Corrective Action: Completion of Roadmap 2019-24 to ensure that current priorities are reflected accurately.</p> <p>Responsibility: Head of ICT</p> <p>Target Date: 31 December 2019</p>	<p>The review of the ICT Roadmap, incorporating capital and revenue expenditure and organisational risks such as cyber security is underway.</p> <p>This will provide the departmental plan for 2020-25.</p>	On Track
<p>2. Consultation and approval of Roadmap We recommend that the Head of ICT ensures a draft version of the Roadmap is taken to Strategic Leadership Team (SLT) for consultation and subsequent approval should be ratified by the Service, then added to the staff intranet and well signposted in corporate communications.</p>	2	Following completion of the review SLT will be consulted on any significant changes in the ICT strategy direction, or finances. This will in turn be communicated to all staff through already created corporate methods for sharing information.	<p>Recommendation/Corrective Action: Ensure a draft version of the Roadmap is taken to SLT for consultation and subsequent approval should be ratified by the Service.</p> <p>Responsibility: Head of ICT</p> <p>Target Date: 31 December 2019</p>	This will be undertaken on completion of the previous action.	On Track