

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 require attention.

On Call Systems

Director of Service Support

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
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.	3	A schedule already exists within Sytle as part of the project plan.	Recommendation/Corrective Action: Introduce a schedule to confirm that all stations have been moved to the new scheme. Responsibility: Area Manager - Response Support & Development Target Date: 31 March 2020 Revised Date: 5 October 2020	This project has been delayed due to coronavirus, which required redeployment of key staff to maintain operational resourcing. Rescheduled for completion in October 2020. Having agreed the new scheme with all stakeholders, all station personnel have submitted revised contracts. Following testing, the automated availability and payroll systems to support the pay scheme are in place.	Off Track

Leadership and Development

Director of People Services

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1. Workbook 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.	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.	Recommendation/Corrective Action: The Workbook should be used as a mechanism for the recording and review of employees in support of Personal Review meetings and applications for promotion. Responsibility: Area Manager, Learning and Organisational Development Target Date: 31 March 2020	This is now complete and will be applied to the promotion process in Autumn 2020.	Complete

Recruitment and Workforce Planning

Director of People Services

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
<p>1. Recruitment Procedure Updates</p> <p>DWFRS has a recruitment procedure, which is the key piece of guidance for management conducting this process. This procedure is, however, currently in draft, with a schedule of reviews due to be conducted before it is finalised in December 2019.</p> <p>We have recommended some additions to the current version of the recruitment procedure during this review period. There is an opportunity to improve the effectiveness of the Recruitment procedure</p> <ul style="list-style-type: none"> • Include definitions of the three types of staff (corporate, wholetime and on-call) and define any aspects of the Recruitment procedure that would be particular to each • The specific documentation required to be reviewed throughout the recruitment process for each type of staff should be detailed • Link this procedure to the Community Safety Plan and Service Delivery Plan. 	3	<p>We accept the recommendation and the recruitment procedure will be updated to reflect the recommendations.</p>	<p>Recommendation/Corrective Action:</p> <p>Include definitions of the three types of staff (corporate, wholetime and on-call) and define any aspects of the recruitment procedure that would be particular to each.</p> <p>The specific documentation required to be reviewed throughout the recruitment process for each type of staff should be detailed.</p> <p>Link this procedure to the Community Safety Plan and Service Delivery Plan.</p> <p>Responsibility: Head of Human Resources</p> <p>Target Date: 31 March 2020</p>	<p>Definitions have been added to the Recruitment and Selection procedure ED18 – and were published in April 2020.</p> <p>The procedure outlines the principles for recruitment and selection across the Service and supporting documents refer to specific process for On Call and Safer Recruitment.</p>	Complete

<p>2. Strategic Workforce Plan A Strategic Workforce Plan exists and is followed.</p> <p>Whilst it is an active document, it is still thought of to be a work in progress. It currently does not reference the Community Safety Plan and Service Delivery Plan. There is an opportunity to improve the effectiveness of the Strategic Workforce Plan.</p> <p>We recommend the HR Delivery Manager revise the Strategic Workforce Plan to reference the Community Safety Plan and Service Delivery Plan.</p>	3	<p>Work is already underway to ensure that the Strategic Workforce Plan aligns to our corporate planning framework. A revised Strategic Workforce Plan will be completed by April 2020 and will be linked to our Strategic Assessment of Risk document. The Strategic Workforce Plan will then be reviewed every two years to align and make clearer reference to the Strategic Assessment of Risk, the Community Safety Plan and Service Delivery Plan.</p>	<p>Recommendation/Corrective Action: Revise the Strategic Workforce Plan to reference the Community Safety Plan and Service Delivery Plan.</p> <p>Responsibility: Head of Human Resources</p> <p>Target Date: 31 March 2020</p>	<p>The Strategic Workforce Plan has been now been updated and suggested the amendments have been implemented.</p>	Complete
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<p>3. Re-Organisation, Re-Deployment and Redundancy Procedure</p> <p>DWFRS maintains a re-organisation, re-deployment and redundancy procedure which explains these processes. We established that the Chief Fire Officer, Payroll and Workforce Planning and Postings Groups play significant roles in this process, which are not explained under the responsibilities section of this procedure. There is an opportunity to improve the re-organisation, re-deployment and redundancy procedure.</p> <p>We recommend the HR Delivery Manager amend the Re-organisation, Re-deployment and Redundancy procedure's 'responsibilities' section to detail the roles played in the process by i) The Chief Fire Officer ii) Payroll iii) The Workforce Planning and Postings Group.</p>	<p>3</p>	<p>The re-organisation, re-deployment and redundancy procedure will be updated to reflect the recommendations.</p>	<p>Recommendation/Corrective Action: We recommend the HR Delivery Manager amend the Re-organisation, Re-deployment and Redundancy procedure's 'responsibilities' section to detail the roles played in the process by i) The Chief Fire Officer ii) Payroll iii) The Workforce Planning and Postings Group.</p> <p>Responsibility: Head of Human Resources</p> <p>Target Date: 31 March 2020.</p>	<p>The procedure has been updated as per audit recommendations to reflect specific responsibilities.</p>	<p>Complete</p>
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Procurement Cards and Fuel Cards

Director of Service Support

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1. Update fuel card procedures We recommend that the Fleet and Equipment Manager ensures that the 'Management and Use of Service Vehicles' procedure is reviewed and approved following consultation. The approved version should then be sent specifically to the locations from where fuel card vehicles are operating. Consideration should be given to positive confirmation from station managers that staff have read and understood this procedure.	3	The vehicle procedure has been reviewed and issued for consultation in line with the recommendation. The approved version will be communicated to all appropriate staff using established Service mechanisms.	Recommendation/Corrective Action: Update fuel card procedure. Responsibility: Fleet and Equipment Manager Target Date: 31 March 2020	Following consultation, the revised procedure, including audit process, has been communicated via managers to the locations where 'fuel card vehicles' are operating and published across the Service.	Complete
2. Card holder limit review We recommend that the Financial Services team reviews the cardholder limits following the procurement process for cards. Limits for individual and monthly transactions should be consistently applied across the Service in line with agreed authorised signatory amounts.	3	A review of cardholder limits will be undertaken in line with the recommendation.	Recommendation/Corrective Action: Review procurement card limits Responsibility: Chief Accountant Target Date: 30 June 2020 Revised Date: 31 October 2020	This has been delayed due to the coronavirus pandemic and to allow for a full procedural review. A review of procurement card limits has taken place. Limits will now be standardised, based on role. Individual card limits need to be updated with our card provider.	Off Track

3. Procurement Card Process and segregation of duties We recommend that the Head of Financial Services ensures the Procurement Card procedures are updated to include requirement of authorisation on monthly transaction logs. Cardholders should be reminded of this requirement and non-compliances should be followed up by Financial Services.	2	The Procurement Card procedure will be reviewed and updated to reflect the recommendations	Recommendation/Corrective Action: Undertake a review of procurement card process and segregation of duties. Responsibility: Chief Accountant Target Date: 30 June 2020 Revised Date: 31 October 2020	This has been delayed due to the coronavirus pandemic and to allow for a full procedural review. The Procurement Card procedure is being reviewed and now includes a specific requirement for procurement card logs to be authorised by line managers or another senior officer.	Off Track
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Risk Critical Information

Director of Service Support

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1. Overdue Risk information reviews We recommend that the Head of Response Support follows up the overdue inspections for the two new sites and two existing sites. These should be escalated where necessary to senior management.	3	Outstanding inspections will be undertaken, reviewed and published. Area Management teams monitor expiry dates of the remaining risk inspection programme to ensure all are addressed prior to the expiry date. Existing governance structures will be utilised to escalate where appropriate.	Recommendation/Corrective Action: Review and complete outstanding risk information reviews. Responsibility: Area Manager South Target Date: 30 April 2020	The outstanding risk information has been reviewed and updated.	Complete

Asset Management Strategy

Director of Service Support

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
<p>1. Integrated Property Asset Management Plan – Document Management</p> <p>We recommend that the Head of Assets includes document control information within the Integrated Property Asset Management Plan (IPAMP) 2018-22 which identifies the document's version and issue numbers, the dates of its creation and review, to identify the Policy Owner and which stakeholders were consulted during the plan's development and reviews. It should also be reworded to remove reference to an overarching Asset Management Plan.</p>	3	<p>The revised IPAMP will be revised to include the latest agreed budgets, full document control and reference the Asset Management Policy Statement as the overarching document.</p>	<p>Recommendation/Corrective Action: Include document control information within the IPAMP 2018-22 which identifies the document's version and issue numbers, creation and review date and the document owner.</p> <p>Responsibility: Head of Assets</p> <p>Target Date: 30 September 2020</p>	<p>The IPAMP has been reviewed and updated to include the audit recommendations.</p>	Complete

Malpractice Management Controls

Deputy Chief Fire Officer

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1. Review the Members Code of Conduct We recommend that the Head of Strategic Planning and Corporate Assurance ensures that a review is undertaken with regards to the Member Code of Conduct, upon the completion of the Local Government Association (LGA) model code consultation and from this point a review cycle is added to the code.	3	Upon completion and publication of the report from the LGA and following consultation with Members, the Service will review the Member Code of Conduct and provide recommendations to the Authority.	Recommendation/Corrective Action: Upon the completion of the LGA model code consultation, review the Member Code of Conduct. Responsibility: Head of Strategic Planning and Corporate Assurance Target Date: 28 February 2021	The Local Government Association have recently issued a model code which is currently out on consultation until mid-August. A Service review will follow.	On Track
2. Raise awareness of the Anti-Fraud, Corruption and Anti-Bribery Procedure We recommend that the Head of Financial Services and Treasurer periodically promotes the Anti-Fraud, Corruption and Bribery procedure as an effective deterrent to malpractice. This could include use of e-learning for targeted members of staff, examples of fraud related activity and controls that are in place to monitor and detect fraud at the Authority.	3	We will further promote the Anti-Fraud, Corruption and Anti-Bribery procedure. In addition, the annual Budget Manager Agreement, which is signed by all budget managers at the start of each financial year, will be amended to include a specific reference to the Anti-Fraud, Corruption and Anti-Bribery Procedure.	Recommendation/Corrective Action: Periodically promote the Anti-Fraud, Corruption and Bribery procedure as an effective deterrent to malpractice. Responsibility: Head of Financial Services Target Date: 30 September 2020	An article will be published in a forthcoming edition of the Weekly Update to remind staff of their responsibilities in relation to fraud, bribery and corruption. Our Budget Manager Agreement form is being amended to include a specific reference to the Anti-Fraud, Bribery and Corruption procedure.	On Track