Audit Improvement Plan Activities

KEY FOR RECOMMENDATION PRIORITY

Fundamental (F)	-	The organisation is subject to levels of fundamental risk where immediate action should be taken to implement an agreed action plan.
Significant (S)	-	Attention to be given to resolving the position as the organisation may be subject to significant risks.
Merits Attention (MA)	-	Desirable improvements to be made to improve the control, risk management or governance framework or strengthen its effectiveness.

Risk Management

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1. Risk reporting to board – risk appetite The Service should consider redefining risk appetite as 'unacceptable risks which cannot be allowed to happen" as they threaten achievement of corporate objectives this is in line with definitions within the Business Continuity Plan. As a consequence, Board level attention would then be focused on those risks reflecting a score of 16 or above.	S	The risk appetite has been agreed for the Service for 2016 by SLT and the shadow Fire Authority. As part of the risk management procedure we will review this annually. The definitions used within the assessment of activities for business continuity is already aligned to the current risk appetite, taking account of the impact to the Service.	**Responsibility:** Head of Democratic Services & Corporate Assurance **Target date:** 31 March 2017	A review of the risk appetite is planned for January 2017 in line with the Services procedure.	On target
2. Completion of response plans The development of emergency response plans and department business continuity plans should be programmed on a risk basis to conclude within 2016/17 as planned.	S	This is planned for within the business continuity work programme and will be programmed in line with the work programme	**Responsibility:** Head of Democratic Services & Corporate Assurance **Target date:** 31 March 2017	This has now been programmed within the business continuity work programme.	Complete
3. Testing of Recovery Plans Annual testing of emergency response and business continuity plans in accordance with an agreed programme should be coordinated by the Assurance and Business Continuity team throughout each calendar year in order to avoid peak workloads developing and provide continuous assurance.	S	This work is highlighted within the work programme and will be discussed with heads of departments	**Responsibility:** Head of Democratic Services & Corporate Assurance **Target date:** 31 March 2017	A programme of exercises will be developed as part of the business continuity work programme and procedure.	On target

ICT Migration

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1. Scheduling and Reporting ICT Activities A number of activities remain to be undertaken from the combination, and additional scopes of work are emerging e.g. the penetration testing outcomes. Scheduling, tracking and reporting on these works are required to ensure priorities are assigned and deliveries are occurring to schedule.	S	All of this work will be within the ICT Roadmap and be managed and documented through the ICT Job Management System. Overall progress will be reported through Sycle against the relevant Roadmap Themes	**Responsibility:** ICT Management Team **Target date:** Full development of the Roadmap by September. For other work on-going as work is requested and scheduled	This work is being planned within the ICT roadmap which will include a capital plan information. All other work is being managed through the ICT Job Management System	On target

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
2. ICT Infrastructure Configuration Control To control and protect IT, service formal configuration controls are required along with supporting policies and procedures covering testing and approval for changes	S	This falls within the remit of the new Business Relationship Manager (BRM) post, which commences on the 4th July. This post will manage the ICT Service Catalogue and deliver the ICT Change Management Process	**Responsibility:** ICT BRM **Target date:** October 2016	BRM now in post and Change Management Policies and Procedures are under development.	On target

Procurement

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1. **Implementation of Policies and Procedures** We recommend that all staff are reminded of the importance of adhering to the Policy and Procedures in respect of procurement, ensuring that quotes and procurement forms are copied to the procurement team. It is acknowledged that the links within the new policies have only just "gone live" so access to the forms will become easier and assist in this respect.	S	Weekly notices are to be introduced to be sent to all staff to remind them of the required actions to be taken for procurement. A request has been put forward for an e-learning tool to be introduced for at least the procurement managers to receive training in the process. Currently awaiting a response to see if funding will be granted.	**Responsibility:** Clare McCallum **Target date:** 31 August 2016	Funding has now been granted and Cordie have now been engaged. A project initiation Meeting has been held and a project plan with milestones/targets is now in place. A project team has also been identified to manage this. The first milestone between 19th August and 2nd September 2016 is to review and submit the feedback on the Cordie script.	On target
2. **Blue Light Procurement Exemption list** We recommend that with the BLPD contracts list still requiring work to fix the issues within it, by Cheshire Police, staff fully understand the importance of populating the DWFRS spreadsheet as quickly and accurately as possible.	MA	The procurement team will continue to control and monitor the DWFRS spreadsheet while Cheshire Police address the issues. It is hoped that additional notes on the "Cycle" system highlighting the need to use the spreadsheet will be introduced to inform and remind all staff of their responsibilities.	**Responsibility:** Clare McCallum **Target date:** Dependant on Cheshire Police administration. DWFRS review 31 August 2016.	Contact has been made with Cheshire Police who are still in the progress of migrating the server over from another Police Force. The Procurement Manager will maintain contact with Cheshire Police to progress with this work. At present the Service are continuing to accurately update the spreadsheet.	On target

Human Resources – Workforce Planning

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1. Workforce Planning Solution The combined organisations workforce planning tools require inherent knowledge to be operated and are spreadsheet based. DWFRS could consider reducing reliance on inherent knowledge and consider sourcing a strategic workforce planning application.	MA	The Workforce planning arrangements meet the needs for the organisation and therefore this would not be a priority to the organisation.	**Responsibility:** No action required **Target date:** Not applicable	No further action will be taken by the Service.	n/a

Information Governance

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1. Scheduling Development of Policies & Procedures To schedule, resource, monitor and report progress on the development and approval of the remaining combined organisation policies and procures, in more detail than the existing Excel spreadsheet. It is recommended that the scope of works activities also covers their embedding within the organisation to ensure adoption.	MA	a) Agreed to review priorities and consider the work required for each activity to ensure achievable timescales and adjust if needed. b) Focus on IAO's and Information Governance Group (IGG0 for embedding changes and continue to monitor at monthly department meetings and quarterly meetings (IGG).	**Responsibility:** Information Manager **Target date:** a) 31July 2016 b) 31 October2016	a) Detailed resources and timescales have been considered against the wider plan and the documentation for this was completed by the end of August. This will be monitored by the team on a monthly basis and high level actions will remain in Sycle for monthly departmental monitoring. b) Information Asset Owners have received training on their responsibilities and tasked with further work to contribute to the development of the joint Information Asset Register. This will include the identification of classification and retention. A date has been scheduled for the first quarterly Information Governance Group in October 2016 where this register will be approved and subsequently monitored.	Complete On target