Audit Improvement Plan Activities

Dorset & Wiltshire Fire and Rescue Service

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 – Jill McCrae, Head of Democratic Services & Corporate Assurance

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1. Completion of response plans 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 has been planned for within the business continuity work programme, and will be programmed in line with the work programme.	**Recommendation/Corrective Action:** Delivery of incident response plans. **Responsibility:** Head of Democratic Services and Corporate Assurance & Watch Manager Business Continuity **Target Date:** 31 December 2017	All Departmental and Station plans are in place and are subject to a testing plan. Although there has been a slight delay in finalising all Incident Response plans, the major ones are in place and the Strategic Leadership Team are receiving regular updates on progress. There is good confidence that the Service will cope well with any disruption.	On Track

Fixed Assets and Inventories – Ian Thomas, Head of Assets

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1.Fixed Asset Policy Recommend that a detailed documented plan is introduced to ensure that the new PAS55.1 2008 Standard from the Institute of Management in respect of Fixed Assets is implemented within the 2-year timeline.	S	PAS 55-1:2008 contains a range of requirements and these have been used as the tasks to be completed to embed the Standard across all five Assets functions (Estates, Fleet, Equipment, Supplies and Foam & Water). The tasks have already been prioritised into a three year programme of work and have been allocated to appropriate management roles through Sycle. The next stage is to produce a more detailed project plan as described in the recommendation. This work has been delayed by the need to prioritise other risk critical work, in particular the need to maintain legal compliance. The Department has faced a significant challenge caused by the need to recruit and train staff to fill vacancies. the work required to recruit and train 18 new members of staff has been significant, as has the disruption caused by 18 vacancies in a	**Recommendation/Corrective Action:** Ensure PAS55.1 2008 Standard is implemented within the 3-year timeline **Responsibility:** Director of Service Support Head of Assets **Target Date:** 31 March 2018	A report has been discussed at this Committee in July and at the Authority in September. There has been progress with the development of the PAS 55 systems approach to asset management with the asset management strategy approximately 50% complete. All procedures from the former services have either been consolidated or new ones written. The Equipment manager role is now with HR for recruiting. The roles for 2 building surveyors is being advertised and interviews to take place in Nov '17 - the recruitment of these will significantly enhance the Estates team to deliver on all maintenance and build projects across the Service. A specification for the new software system for all Asset equipment has been created.	On Track

		Department of 50 staff.			
		The situation with regard to this recommendation is further complicated by the fact that two of the senior management roles required to develop the plan are currently, or will soon be, vacant. I hope the staff situation will be largely resolved by the end of the year and at this point a more detailed project plan will be developed.			
2.Capitalisation Limits Recommend that a minimum capitalisation limit is introduced to ensure that all significant value items are included within the asset registers, and not just relying on the requirement of an inspection. It is acknowledged that a number of lesser valued items do require inclusion on the registers due to the inspection requirement and these should override the capitalisation requirement.	**MA**	There has been an informal caplitalisation limit in place for a number of years. This will be firmed up in consultation with finance.	**Recommendation/Corrective Action:** Minimum Capitalisaiton limits to be introduced. **Responsibility:** Director of Service Support & Head of Assets **Target Date:** 31 March 2018	The former Dorset system "MiQuest" and the former Wiltshire system "RedKite" in the current form cannot combine to give one satisfactory solution. Therefore, a new specification requirement has been drawn up by the Assets Deportment (Equipment Team) that will now go forward to the Procurement Team for tendering for the new software that will combine the current 2 systems and bring more features and benefits than the current two have combined.	On Track

Health & Safety Migration – John Lincoln, Senior Health & Safety Advisor

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1.No issues were identified No issues were identified as a result of our audit fieldwork on this occasion which we consider of significance to warrant a formal recommendation. However further items may be identified within the Executive Summary for the specific area.	MA	None Required. Senior managers will continue to monitor and review the current performance and migration plans, reporting to Finance, Governance and Audit Committee on a quarterly basis.	**Recommendation/Corrective Action:** No issues were identified **Responsibility:** Senior Health and Safety Advisor **Target Date:** 31 March 2018	Good progress to date. Production has been aligned with the procedure planning register. The migration plan remains on track. Member champions continue to be engaged on progress.	On Track

Key Financial Controls – Ian Cotter, Head of Financial Services

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1.Accounting Timetable of Operational Activities We recommend that an accounting timetable is introduced which identifies what tasks need to be completed by whom and by when. This schedule should be available to all Finance staff to ensure the department are all working to the same objective.	**MA**	We already have in place an established timetable for the accounts close-down process. We will look to introduce a timetable covering other regular control processes.	**Recommendation/Corrective Action:** Production of accounting timetable **Responsibility:** Principal Financial Accountant **Target Date:** 31 December 2017	A list of tasks has been drawn up from the 'to-do' lists of the Principal Financial Accountants. This has now been widened to include other tasks within the finance team. Whilst this is a good starting point, the team would like to include further work tasks, to make this a comprehensive and useful checklist of work. Producing this document is having to be fitted around other key work pressures and is therefore not progressing as quickly as we would like. With this in mind the target date has been extended until 31 December 2017.	On Track

Cultural Alignment Review – Mick Stead, Director of Prevention & Protection

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1.Branding of digital communication It is recommended that areas which remain branded as the former Authority should be identified and re-branded as soon as possible in order to encourage the transition to a single recognised identity.	**MA**	Agreed and will be actioned as soon as possible.	**Recommendation/Corrective Action:** Areas that remain branded as former Authority to be re-branded as soon as possible **Responsibility:** Head of Information & Communications **Target Date:** 31 October 2017	All stations have new DWFRS branded signage. The corporate style guidelines provide consistent templates for corporate communications such as email signatures, letters and business cards.	Completed

Communications – Vikki Shearing, Head of Information & Communications

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1.Combined Communication Policy We recommend that an overarching Communication policy is introduced collating all the individual communication documents and procedures into a single location.	MA	The internal communications strategy and supporting procedures will be reviewed to ensure clear procedural alignment. This will be incorporated into a wider review of policies that will be undertaken during the coming year.	**Recommendation/Corrective Action:** Introduce Communication policy to ensure all communication documents are in a single location **Responsibility:** Head of Information & Communications **Target Date:** 01 April 2018	There have been capacity issues which have restricted the ability to undertake this action. Work will now commence in January 2018 and the target date has been amended.	On Track
2.External Communication Policy The Service considers implementing a specific external communications strategy into the Combined Communication policy	S	We will consider the requirements of an external engagement strategy as part of ongoing work associated with our performance management and partnership arrangements	**Recommendation/Corrective Action:** Implementing an External Communications Strategy **Responsibility:** Head of Information & Communications **Target Date:** 01 April 2018	Work will commence in January 2018.	On Track

3.Events Handling Procedure The Service should establish a realistic target date for the completion of the 'Events Handling Procedure'	**MA**	The delivery of this procedure has already been prioritised for 2017/18 and will be completed at the end of the summer events period	**Recommendation/Corrective Action:** Target date to be set for completion of Events Handling Procedure **Responsibility:** Media and Communications Manager **Target Date:** 30 November 2017	Work around the calendar element of this has been delayed due to the roll-out of Office - work underway on the procedure and supporting information for car washes, open days etc.	On Track
4.Contact Database The Service should establish a target date for the completion of the contact database	**MA**	A media contact database exists within the department and the intention is to extend this database to include key stakeholders during the coming year	**Recommendation/Corrective Action:** Establish target date for completion of Contact Database **Responsibility:** Media and Communications Manager **Target Date:** 30 October 2017	Key stakeholders are included in the media contact database	Complete

Information Systems Migration – Bob Ford, Head of Strategic Planning and Knowledge Management

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1.Information Migration Procedure We acknowledge that the documentation of the procedure for managing projects is a work programme target for the Head of Strategic Planning and Knowledge Management, but believe that a formal target date should be established for completion as this represents a key aspect of control within the process.	MA	The draft project management procedure will be finalised and issued.	**Recommendation/Corrective Action:** Production of Project Management Procedure. **Responsibility:** Head of Strategic Planning and Knowledge Management **Target Date:** 31 December 2017	An initial draft of the procedure has been prepared for consideration by stakeholders. Publication will follow a meeting on 15 December 2017	On Track
2.RAG Indicator Guidance The progress monthly reports for SLT use RAG indicators as a mechanism for visually reporting on progress of projects across the programme. Guidelines should be introduced regarding definitions of progress, as the reports are not system generated within Sycle.	S	Guidelines to support an objective RAG status will be produced.	**Recommendation/Corrective Action:** Introduce RAG guidelines **Responsibility:** Head of Strategic Planning and Knowledge Management **Target Date:** 31 October 2017	The mechanism for linking the status within projects in Sycle and the progress report for the Systems Migration Plan have been changed. Project Managers are now required, through Sycle, to report progress within a project in the same way as within the progress report for the migration plan. The RAG status for each is now identical	Complete
3.Monthly Reporting We recommend that all 'Go Live' dates are checked on the monthly report and in Sycle to ensure that they all match correctly as to enable an effective post-implementation review timetable.	MA	Go live dates will be further checked against the project plans and a post implementation timetable agreed.	**Recommendation/Corrective Action:** Check all Go Live dates against project plans **Responsibility:** Head of Strategic Planning and Knowledge Management **Target Date:** 31 December 2017	Work is underway to ensure that project go live dates are correct in Sycle.	On Track

IT Health Check – Chris Donaldson, Head of ICT

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1.IT Asset Inventory Reconciliation of the assets inventory has identified that there are a small number of devices logged as 'lost'. These devices should be investigated further to identify the reason for the loss and any potential security threat. Once verified as 'lost', the devices should be written off by the IT Manager and reported to the SLT as an information item on an annual basis.	S	On reviewing the lost items within the inventory we (ICT) have identified that we do need to change our process in the following ways - 1. Ensure that the inventory record for the lost equipment is suitably documented with comments to indicate what we suspect has happened, what we have done to attempt to locate it, and when we last tried to locate it. 2. Review lost records on a regular basis, and where relevant, follow up ant comments, so that lost items are actively pursued - this is something that the ICT Service Desk could follow up on. 3. Review lost records to identify, if they are low risk, whether it would be appropriate to mark as disposed - an example would be a SIMM card where the comments indicate that the number has been ported to a new SIMM and the missing SIMM deactivated.	**Recommendation/Corrective Action:** Review of IT Asset Inventory to investigate lost items further and report to SLT **Responsibility:** Head of ICT **Target Date:** 31 March 2018	Inventory has been reviewed, and items which were marked as lost, but carried no risk to the service, have now been marked as disposed. Processes have been put in place to: - ensure that any item marked as lost (that has not been raised as a security breach) is fully commented to indicate the circumstances and next steps. - There is a regular review of items which have been marked as lost, to ensure that they are either found, or correctly marked as disposed.	On Track

2.Intrusion Attempts There is currently no reporting conducted on the intrusion attempts blocked by the Firewall. To provide a greater level of understanding for the senior management and to support continual investment needs, it is felt that an appropriate report detailing intrusion attempts blocked should be produced as an information item identifying the inherent risks being managed.	**MA**	ICT is currently purchasing and installing a product (Alien Vault) which, amongst other things, will monitor and report on logs from multiple devices. This will allow us to produce reports from the firewalls as well as the system which protects against spam e-mails and mail virus attacks.	**Recommendation/Corrective Action:** Reporting for intrusion attempts blocked by Firewall **Responsibility:** Head of ICT **Target Date:** 31 March 2018	Ongoing work is being undertaken to develop the reporting functionality of the firewalls. Once this has been done, reports will be developed for intrusion detection, mail anti-virus prevention, and spam protection	On Track