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 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 March 2018	The Service has business continuity arrangements in place that are aligned to British Standard, BS ISO 22301:2012 25999 "Business Continuity Management System" and the Business Continuity Institute (BCI) "Good Practice Guidelines 2013". The Service has a full suite of Station and Departmental plans along with all major incident response plans. The Service is undertaking a review of key suppliers to develop robust supply chain business continuity management, work is progressing well.	On Track

| | | | | With good provisions in place the Service is now focused on embedding these arrangements and have been undertaking an exercising, testing and training programme, which will continue to be progressed during 2018.

The Strategic Leadership Team continue to receive regular updates on progress and are confident that the Service will cope well with any disruption. | |

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 two-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	**Recommendation/Corrective Action:** Ensure PAS55.1 2008 Standard is implemented within the 3-year timeline **Responsibility:** Director - Support Services & Head of Assets **Target Date:** 31 March 2018	Since September 2017 significant progress has been made within the Assets Department that has ensured alignment to PAS 55 (Publicly Available Specification) - which provides a structured basis for coordinating our department into a common, business-prioritised direction. The Equipment Manager post has been advertised (January 2018) although there has been no lack of continuity as a uniformed officer has temporarily filled the post pending successful recruitment. We have recruited two Project Officers to help with the alignment of processes and procedures in the Equipment Team.	On Track

		18 new members of staff has been significant, as has the disruption caused by 18 vacancies in a 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.		There have been two unsuccessful attempts to recruit surveyors to the Service. A third attempt is now underway; however, the Head of Assets is looking at alternative arrangements should this attempt be unsuccessful. But this does not represent a risk to the delivery of the department. The new integrated Fleet management system and Purchasing system are on target to be implemented before the end of the current financial year with Service wide application available in the next financial year.	
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 Capitalisation limits to be introduced. **Responsibility:** Director - Support Services & Head of Assets **Target Date:** 31 March 2018	The specification of a new Asset management software system is underway and work with our Procurement Team continues so that we specify and procure the right product. The Assets Department and Finance Department have agreed to set financial limits and targets on what items are entered on the Assets Management system.	Complete

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 for all members of the accountancy function has now been drawn up and is in use.	Complete

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:** 31 March 2018	Work has commenced to review the structure of the media and communications procedures to decide if a stand-alone policy on media and communications is needed or if this can be incorporated into the existing information policy. The work is on track for completion at the end of this financial year.	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	The requirement for an external communications strategy is being considered against the existing procedures for communications and engagement.	On Track

				Existing procedures cover how we engage the public and our partners through traditional media and social media, as part of the communications policy work, a strategy is on target to be delivered by April 2018.	
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:** 01 April 2018	The Event procedure is in draft. It will be published as soon as the corporate events calendar within Office 365 is completed by our provider. For this reason there will be a short delay in meeting the target date.	Delayed
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	The Service now has a central contract database.	Complete

Information Systems Migration –
Bob Ford, Head of Strategic Planning & 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:** 30 March 2018	Projects are managed using a 'Prince 2' Lite (Projects in Controlled Environment) approach and workflows based on this methodology are built into the Corporate Performance Tool, Sycle. Training for project managers is through an e-learning package although this is being strengthened over the next two months. A draft procedure has been prepared which sets out the framework and approach. The support for project managers is being strengthened with the appointment of dedicated project advisors within the	On Track

				Communities Programme and Assets for a number of key projects.	
2. 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 so 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	The facility to enter System Go-Live dates is now within Sycle.	Complete

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 and 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	**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.	Complete

		would be a SIMM card where the comments indicate that the number has been ported to a new SIMM and the missing SIMM deactivated.			
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 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	Alien Vault purchased and installed. Reports are being developed	On Track

Business Case Management –
Bob Ford, Head of Strategic Planning & Knowledge Management

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1. Control of Business Case Submission The Service should introduce a control record of proposed and agreed business cases to inform future planning and analysis	**MA**	Director of Finance will establish this register	**Recommendation/Corrective Action:** The Service should introduce a control record of proposed and agreed business cases to inform future planning and analysis. **Responsibility:** Director of Finance **Target Date:** 31 January 2018	On initiation of a Business Case, a formal register has been created and will be maintained by Finance, which will record the Business Case through various stages of the process.	On Track
2. Financial Sign off A formal sign-off document is produced, which includes a pre-financial sign-off confirming the case is viable and within budget prior to full SLT sign-off	**S**	Director of Finance with establish this process	**Recommendation/Corrective Action:** A formal sign-off document to be produced, which includes a pre-financial sign off confirming the case is viable and within budget prior to full Strategic Leadership Team sign-off. **Responsibility:** Director of Finance **Target Date:** 31 January 2018	Having reviewed the Governance around the business case process, the process has been strengthened and aligned to limits within Financial Regulations and appropriate approvals through Service Delivery Teams (SDT), Strategic Leadership Team (SLT) and if required through Members.	On Track

				This process was considered at the SLT meeting on 5 February. This process initiates a Business Case, maps out the route for approval depending on the nature of the business case. The finance department will validate each Business Case prior to submission for approval.	
3. Delegation of approval We recommend that a de-minimus limit is set to smaller business case review and approved thus freeing up the time of the SLT to concentrate on the more significant business cases for the Service	**MA**	The Service is currently establishing cross-departmental delivery teams centered on the delivery of each of the corporate priorities. These are to be chaired by Directors.	**Recommendation/Corrective Action:** De-minimus limits to be set for smaller business case reviews **Responsibility:** Director of Finance **Target Date:** 30 April 2018	The de-minimis levels have yet to be set this is currently being discussed within the Service.	On Track

Strategic Planning –
Bob Ford, Head of Strategic Planning &
Knowledge Management

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1. Strategic Plan Training We recommend that all levels of management are engaged in the process of understanding the strategic planning process and their roles and responsibilities.	**MA**	Agreed. As part of the strengthening of the Service delivery plan, this is in hand. Cross departmental delivery teams are also being established to support this new way of working.	**Recommendation/Corrective Action:** Engagement of all levels of management regarding the strategic planning process and their roles and responsibilities **Responsibility:** Head of Strategic Planning and Knowledge Management **Target Date:** 30 April 2018	Awareness of the strategic planning process has been limited to Heads of Department and Directors and the strategic assessment for 2018/19 is underway. This will result in a revamp of the Community Safety Plan and Service Delivery Plan to strengthen the linkages with partner outcomes. Members of the Eyes and Ears Forum who act as a sounding board for team members has been briefed. A portal is being developed to bring the whole process to life and to spread the understanding of the strategic planning process.	On Track