Audit Improvement Plan Activities

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.

Cyber Security (Data Backup) – Head of Corporate Support

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1. The ICT team maintain a system backup and recovery spreadsheet which captures key information regarding what is backed up, where it is backed up, who is responsible, backup frequency, retention period and recovery details. The document lists four systems which are maintained by third-party contractors, however none of these contained any information in relation to the areas listed above. Two of the four systems were identified by the Network & Security Manager as critical, with the other two non-critical.

The critical systems were discussed in further detail with the Head of ICT, who was able to evidence that backup requirements and expectations are outlined within contractual documentation between the parties. They also stated that they work closely with the Network Fire Service | 3 | Action agreed and steps already in place to obtain the back-up data for the critical control systems (BOSS and Vision). Other third-party systems will also be added to the data we hold on internal systems. | **Recommendation/Corrective Action:**
To receive periodic updates from third-party contractors and partners on backup and recovery results.

To ensure that the system backup and recovery spreadsheet is updated in relation to the third-party back-up arrangements in place, supporting the oversight and awareness within the ICT team.

Responsibility:
Head of ICT

Target Date:
30 September 2023 | We now have in place a process to request quarterly system backup updates from the NFSP.

Additionally, a recovery log is in place to record completed backups. | Completed |

Partnership (NFSP), who provide these critical systems. It was, however, agreed that the Service should be more proactive in seeking periodic evidence of the backups performed by the NFSP, as per the requirements within the contracts. It should also be ensured that the system backup and recovery spreadsheet is updated to include complete information on the third-party arrangements in place.					

Secondary Contracts – Director – People Services

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
1. Monitoring of Secondary Contracts Whilst speaking with our sampled line managers, none of them were aware of any formal reporting or monitoring requirements for secondary contracts. There were instances of line managers performing local monthly wellbeing check-ins with employees, however, also instances of no monitoring. There is an expectation that the individual with the secondary contract will manage their hours and ensure safe working, with employees required to sign a declaration when applying for a secondary contract, confirming they are aware of their responsibilities with monitoring their working hours and rest	3	The observations and associated recommendations of the audit are accepted and there is a recognition that monitoring arrangements would benefit from further strengthening, including the introduction of wellbeing support. In relation to the suggestions: - • Monthly wellbeing calls with their line managers – the Area Leadership Team are planning to introduce quarterly on-call contract reviews. Whilst not monthly, this	**Recommendation/Corrective Action:** To introduce more formal monitoring requirements, to provide assurance that working time regulations are being adhered to. **Responsibility:** Director - Community Safety **Target Date:** 31 December 2023	As part of the response restructure, we will strengthen current procedural guidance regarding secondary employment requirements, and we will embed a quarterly working time directive compliance check.	On Track

breaks. However, it would be beneficial for the Service to introduce more formal monitoring requirements, to provide assurance that working time regulations are being adhered to. Whilst determining the exact means of monitoring resides with the Service, some ideas which were discussed during the course of the review are provided below: • Requiring those with secondary contracts to have monthly wellbeing calls with their line managers, rather than the current annual 1:1 requirement. • Requiring the substantive line manager to have a periodic discussion with the secondary line manager, to enable considerations of hours worked. • Introduction of central monitoring of secondary contracts, such as checks on timesheets and/or rotating systems. Any changes to current arrangements should be reflected within the Service's procedure document, which is currently due for review, and also formally rolled out to applicable employees and line managers.		new arrangement will ensure that a structured meeting is set in place that will include a wellbeing check. • Line manager discussions – the Area Leadership Team can also ensure that line manager discussions take place following the quarterly meetings. • Introduction of central monitoring of secondary contracts – the procedure is owned by Response Support who will ensure that monitoring arrangements are strengthened, to include audits of working hours.			

Grievance Arrangements – Director – People Services

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress

1. Training and Overall Awareness	2				Off Track

1. Training and Overall Awareness During our audit we spoke with 12 employees (who are also line managers) and found that the majority of these felt confident with raising and managing a grievance. However, some did raise that there is a lack of formal training around grievance arrangements and raising a grievance. Staff are provided with initial induction training which briefly touches on the subject however there is nothing in depth specifically around grievances. Line managers are not provided with additional training when moving into a role of seniority. There were also some minor inconsistencies with regards to the monitoring of grievances across line managers which could be as a result of lack of training. We are aware of ongoing work from the Area Manager - Response to create guidelines for different roles. We would suggest that grievance awareness is incorporated into these. Additionally, only two of the sampled members of staff were aware of the poster to signpost the raising of grievances, therefore this may require a further rollout.	2	The observations and associated recommendations of the audit are accepted. In response to the action highlighted:- • We are in the process of reviewing our grievance procedure and will incorporate the Training and Awareness recommendations of this audit along with any recommendations from our Independent Review. • We are already in the process of strengthening the arrangements for how the Service manages performance issues such as grievance and discipline and this includes the need to refresh our management training and awareness. This will be achieved through refreshing the HR modules of our Leadership Development Programme and ensuring our Role Induction process covers this area in more detail. HR Business Partners already provide support to line managers and assist with monitoring, but we will ensure Managers are clear of the grievance handling	**Recommendation/Corrective Action:** The Service should introduce further training and awareness over grievance processes, both for employees raising grievances and managers handling them. **Responsibility:** Director – People Services **Target Date:** 31 October 2023 **Revised Target date:** 31 March 2024	The target date has been reviewed due to the delay in delivery of the Independent Cultural Review. Work is now underway to develop a single cultural action plan and review the Leadership Development Programme which will address this recommendation.	Off Track

		processes, particularly when a manager is new in role. • The workplace concerns poster is displayed at every workplace and is on CONNECT, we will however, publicise this further to ensure increased awareness. In addition to this we are developing a portal which will increase the accessibility so that staff can raise concerns without the need to read through a more detailed procedure. The portal will be launched in September.			
2. Oversight and Lessons Learned from Grievances There is an awareness within management at the Service that improvements are required around the sharing of lessons learned following grievances. This supports the findings of our sampling. The Assistant Chief Officer – Director of People Services advised that they are currently producing a culture dashboard, which will include this shared learning, with the aim to implement this from September 2023. With plans already in place to address this gap, only a low level action has been raised, to ensure that this is produced and implemented as proposed	**3**	This area was captured within the Terms of Reference of our Independent Review, which will be published on 20 September. In addition to this the HMICFRS Spotlight report into values and culture includes similar recommendations, particularly in relation to how staff are supported. The strengthening of managerial arrangements will include ensuring that organisational learning is captured and fed into	**Recommendation/Corrective Action:** The Service should ensure that the culture dashboard is produced and implemented as planned, to assist with the oversight and reporting of lessons learned from grievances. **Responsibility:** Director – People Services **Target Date:** 31 October 2023	The Culture Dashboard was launched on the 16th of October which provides transparent information on HR performance indicators.	<mark>Complete</mark>

		procedure reviews and training and awareness modules. A culture dashboard is being developed which will provide transparent data in relation to performance management outcomes. The culture dashboard will be launched in September.			