

---

# Audit Improvement Plan Activities



**DORSET & WILTSHIRE**  
**FIRE AND RESCUE**

## Audit Improvement Plan Activities

### KEY FOR RECOMMENDATION PRIORITY

<b>Priority 1</b>	- Findings that are fundamental to the integrity of the Service’s business processes and require the immediate attention of management.
<b>Priority 2</b>	- Important findings that need to be resolved by management.
<b>Priority 3</b>	- Findings that require attention.

### Access and Account Management & Control – Deputy ACO - Corporate Support and Clerk to the FRA

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
<p>The New Starter Creation guide is very comprehensive. It is a detailed “How To” guide for Administrators to set up new users for Microsoft 365.</p> <p>However, we were unable to carry out testing of employee’s access permissions due to the required permissions not being documented. There is no access/ permission matrix in place to assign permissions to accounts based on roles and setting up permissions is solely reliant on communication from Managers or Team Leaders. Therefore, without a matrix or documented requirement of permissions to test against, staff permissions could not be tested.</p> <p>It is recognised that many users carry out a number of different roles across the service, and therefore a matrix may be difficult to establish. However, basic administrator rights for each service and multi-role users’ access should be documented.</p>	3	A template for will be developed for relevant managers and this will be monitored for completion of this via the Digital, Data and Technology Board.	<p><b>Recommendation/Corrective Action:</b> The Information Governance Manager will produce an access checklist for Information Asset Owners (IAOs) to ensure that starters and organisational movers access permissions are created without delays, and officers’ access can be tested against for audit purposes</p> <p><b>Responsibility:</b> Head of ICT</p> <p><b>Target Date:</b> 30 April 2025</p>	A checklist was drafted and piloted by the Data & Analytics Team and sent to all IAO’s of systems for completion.	Complete

## Operational Risk Information – ACO – Director of Service Support

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
RE14 – Identification and Management of Operational Risk Information sets out the arrangements for identifying, communicating, and managing operational risk information within the Service. The last review of RE14 was November 2023 (i.e. reflecting the arrangements prior to the revised arrangements being approved) and should, along with other related procedures such as PR18 – Public Event Safety, be updated to reflect the revised structure for operational risk.	3	RE14 is constantly updated as/when processes are changed. It will be updated in early 2025, once the new Operational Risk team have been trained and embedded into ways of working.	<p><b>Recommendation/Corrective Action:</b> Review and update RE14 – Identification and Management of Operational Risk Information and other related procedures to reflect the revised operational risk structure.</p> <p><b>Responsibility:</b> Station Manager (SM) Resilience &amp; Risk</p> <p><b>Target Date:</b> 31 March 2025</p>	Procedure updated aligned to action.	Complete

## Planned and Reactive Fleet Maintenance – ACO – Director of Service Support

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
It was noted that some training courses are overdue, as highlighted in the 'F&E Staff Training (Aug 2024)' document. These courses relate to routine refresher training and specific technical updates. While training is generally up to date, the overdue training indicates that there is room for improvement in tracking and ensuring that all staff complete their mandatory or refresher courses on time. A more proactive system is needed to highlight overdue training and send reminders to relevant staff members to complete courses.	2	Fleet Workshop staff complete all statutory learning via the DWFRS Grow / Learning Hub portal which is recorded within Gartan Expert as competencies. All technical training including refresher training which is not a condition of trade competence is managed by the Fleet Maintenance Manager	<p><b>Recommendation/Corrective Action:</b> A formal system should be introduced within the fleet management software (or HR platform) to track training completion and automatically highlight overdue courses. Regular reminders should be sent to staff and their supervisors to ensure timely completion of mandatory training.</p> <p><b>Responsibility:</b></p>	Tracking of training completion is being incorporated into the training/competency module of the new Transend Fleet Management System. This new system is now in Service, with the Fleet team receiving training.	On Track

		and is currently monitored using a local excel spreadsheet. The Fleet Maintenance Manager is tasked to investigate whether an alternative training software solution can be adopted to both monitor and push training needs messages/reminders, we will aim to have this in place by September.	Head of Assets  <b>Target Date:</b> 30 September 2025		
--	--	---	--	--	--

## Succession Planning – ACO – Director of People Services

Main Recommendations	Priority	Management Response	Implementation Plan	Management Update	Progress
<p>Our review found that DWFRS includes within their operational development plans roles that are considered critical. However, it would be beneficial to consider from a corporate role standpoint the critical roles and associated risks if key corporate leaders leave.</p> <p>Additionally, contingency plans and arrangements are in place to manage temporary vacancies replacements in operational roles, but there are no contingency plans to cover corporate roles.</p> <p>Without contingency plans, the sudden vacancy of a critical role (e.g., senior leadership or a highly specialised position) can leave a significant gap in decision-making, leadership, and day-to-day operations. This can result in slow, reactive responses to critical role absences.</p>	3	<p>This can be addressed through a slight revision to our Department Succession Planning process. This process currently includes a review of critical activities and the completion of a risk matrix. The process can be further augmented by ensuring these two areas are more closely aligned to identify critical roles, enabling the creation of contingency plans.</p>	<p><b>Recommendation/Corrective Action:</b></p> <ul style="list-style-type: none"> <li>Identify corporate key roles and the risks of losing critical knowledge and experience.</li> <li>Implement cross-training, role redundancy, and structured knowledge transfer programs to reduce dependency on key individuals.</li> <li>Develop contingency plans for corporate key roles which include specific action plans for managing vacancies in critical roles, including temporary coverage, internal promotions, or external recruitment.</li> </ul>	<p>The Service Succession Plans have been updated to strengthen identification of critical roles and any follow up actions required if issues are identified.</p> <p>The HR People Partners guidance has been updated to include regularly updating and testing departmental business contingency plans.</p>	Complete

		<ul style="list-style-type: none"><li>• Regularly update and test contingency plans to ensure they remain effective, and stakeholders are prepared for quick implementation when needed.</li></ul> <p><b>Responsibility:</b> Head of People Support</p> <p><b>Target Date:</b> 31 May 2025</p>		
--	--	--	--	--