

**IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS  
Completed Actions**

<b>Audit Ref No</b>	<b>Recommendation</b>	<b>Priority 1=Low 2=Med 3=High</b>	<b>Post responsible</b>	<b>SMT</b>	<b>Response</b>	<b>Action Date</b>	<b>Follow up Memo(s)</b>	<b>Date Closed</b>
<b>PROPERTY MANAGEMENT 2010/11</b>								
3.3	The Property Services Strategy and Business Plan should be reviewed annually and be consolidated into a single document to reflect current initiatives and practices, in line with the Service Plan.	Medium	Property Services Manager	Director of Corporate Services	Agreed	30/11/2010 extended to 31/07/2011	12/11/2010 07/01/2011 26/01/2011 18/02/2011 03/03/2011 04/05/2011 19/05/2011 01/08/2011	01/08/2011
3.26	We support the intended use of value for money indicators and benchmarking against other organisations. We recommend consideration is given to utilising other local Performance Indicators as appropriate to ensure that performance is sufficiently monitored across the Property Services function and any poor performance is detected and corrected, as appropriate.	Medium	Property Services Manager.	Director of Corporate Services	Benchmarking exists within the CIPFA exercises and SMT visits to stations provide valuable feedback on performance and direction.	Quarter 4 2010/11 extended to Quarter 2 2011/12	19/05/2011	01/08/2011

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3.27	We recommend that efficiency savings performance indicator targets should be considered, to ensure that opportunities for efficiency savings are not missed and the monitoring of efficiency achieved.	Medium	Property Services Manager	Director of Corporate Services	We will consider efficiency performance indicators.	Quarter 2 2011/12	19/05/2011	01/08/2011
<b>SAP ACCESS 2010/11</b>								
3.7	The access request form and the process for requesting finance or procurement access should be reviewed. The review should include the consideration of devising SAP role templates for HFRA posts. We were informed that there is a lot of staff movement, so role templates could make the process more accurate and efficient.	Medium	Financial Services Manager	Head of Financial & Office Services	Agreed	30/06/2011	01/06/2011	30/06/2011

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3.10	The documentation for finance and procurement roles should be improved to record what a role does and when it is or should be assigned. The format of the documentation for the Human Resource roles could be used as a guide and the Hampshire County Council IT Security team may be able to help with information on what a role is for and when it would be assigned by them.	Low	Financial Services Manager	Head of Financial & Office Services	Agreed	30/06/2011	01/06/2011	30/06/2011
3.12	The purpose and requirement for the entries in the ZNOVAL table should be discussed with the Financial Services Manager / Accountant and HCC IT Security to determine the correct configuration for the members of the team. We are not recommending that it is used for users outside the team to bypass organisational unit restrictions.	Medium	Financial Services Manager	Head of Financial & Office Services	Agreed	30/06/2011	01/06/2011	30/06/2011

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3.15	Appropriate training or guidance for the Financial Services Supervisor and subsequent post holders should be identified and given.	Low	Financial Services Manager	Head of Financial & Office Services	Agreed	30/06/2011	01/06/2011	30/06/2011
3.5	The Human Resources Information Systems Manager's job description should be reviewed and updated to reflect the SAP access responsibilities.	Low	Human Resources Manager Workforce Planning	Director of Human Resources	The job description will be updated.	30/06/2011 extended to 31/11/2011	01/08/2011 01/10/2011	01/11/2011
<b>TRAVEL AND SUBSISTENCE 2010/11</b>								
3.6	HFRS should ensure that the travel and subsistence service order is updated to explain the need to request VAT receipts from leavers and approving officers should ensure that these receipts are retained by the authority.	Medium	Human Resources Manager Workforce Support	Director of Human Resources	Agreed	30/07/2011	05/08/2011	05/08/2011

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3.8	Claimants should ensure that an appropriate manager approves their claims and signatories on claim forms should receive an independent check from Workforce Support.	Medium	Human Resources Manager Workforce Support	Director of Human Resources	Agreed - we shall issue reminder communications and continue checking signatories.	30/07/2011	05/08/2011	05/08/11
3.10	Approving managers should ensure that claims are correctly calculated by checking the additions on a claim.	Medium	Human Resources Manager Workforce Support	Director of Human Resources	Agreed - we shall issue reminder	30/07/2011	05/08/2011	05/08/2011
3.12	Journey details on claims should be clear enabling approving managers to be sure of the journey made as they are signing to confirm accuracy.	Medium	Human Resources Manager Workforce Support	Director of Human Resources	Agreed - we shall issue reminder	30/07/2011	05/08/2011	05/08/2011

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<b>TREASURY MANAGEMENT ARRANGEMENTS 2010/11</b>								
3.5	With the Service Level Agreement between the County Council and HFRA due for review and renewal in March 2011, consideration should be given to expanding the document to fully reflect the services provided.	Medium	Financial Services Manager	Head of Financial & Office Services	The Service Level Agreement will be revised to ensure that it fully reflects all treasury management services, including roles and responsibilities as appropriate.	31/07/2011 Extended to 30/09/11	01/08/2011	07/10/2011
3.9	Although in terms of likelihood, fidelity risk may be considered minor, we recommend that the position for HFRA should be included within the Service Level Agreement when next updated.	Low	Financial Services Manager	Head of Financial & Office Services	Agreed	31/07/2011 Extended to 30/09/11	01/08/2011	07/10/2011
<b>TRAINING CENTRE 2009/10</b>								
3.26	Given the current economic climate we recommend that consideration should be given to extending benchmarking by comparing the cost of individual courses, and the training function as a whole, to other	Medium	Programming and Resources Manager	Area Manager Training and Development	Agreed: This is currently work in progress and the Training & Development Manager is working at regional level. However the first	* see note at end	16/12/2010 07/01/2011 25/01/2011 01/08/2011	* see note at end

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	regional and 'family group' authorities as appropriate in order to identify inefficiencies and potential cost savings. Budgets should be re-assessed accordingly once complete.				steps will be to agree the Regional course costing model which has been shared with the region  (Implementation of FireWatch will meet these requirements)			
3.28	A more structured assessment for all training staff should be initiated, such as direct observation of the quality of courses delivered, in order that training quality standards are maintained or enhanced, as appropriate. Personal Development Review targets should be developed related to the quality of training delivered by trainers to facilitate performance monitoring.	Medium	Quality Review Manager	Area Manager Training and Development	Agreed: An overarching assessment policy is in the process of being completed and will form part of the quality review process.  (Implementation of FireWatch will meet these requirements)	* see note at end	16/12/2010 07/01/2011 25/01/2011 01/08/2011	* see note at end
3.29	A clear policy on the monitoring of courses, quality and outcomes should be devised including the follow-up by	Medium	Quality Review Manager	Area Manager Training and	Agreed: This forms part of the quality review process and is work in progress. The use of	* see note at end	01/08/2011	* see note at end

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	managers of agreed actions. The use of electronic questionnaires could be considered to streamline the evaluation of courses with follow-up questionnaires issued to assess outcomes.			Development	local performance indicators will strengthen the process.  (Implementation of FireWatch will meet these requirements)			
3.30	We support the use of Local Performance Indicators (LPI's) for performance monitoring and recommend consideration should be given to producing LPIs reflecting the quality of courses provided.	Medium	Quality Review Manager	Area Manager Training and Development	Agreed: This forms part of the quality review process and is work in progress. The use of local performance indicators (LPI) will strengthen the process and will be fed into the corporate performance management system.  (Implementation of FireWatch will meet these requirements)	* see note at end	01/08/2011	* see note at end

3.26, 3.28, 3.29 & 3.30

\* This work will be completed as part of the Quality Review Process which will be a project commencing July 2011 and is expected to be completed within 2 years. These actions will be incorporated within the project terms of reference and managed within the 2011 - 2013 T&D improvement register. Internal Audit have agreed to undertake a follow up review in 2012/13.

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<b>RETAINED FIREFIGHTER CLAIMS 2009/10 – all the following recommendations are to be addressed by the implementation of Firewatch</b>								
3.8	The issue related to available days data should be pursued with the current software provider, and resolved if it is cost effective to do so. If another system is implemented this scenario should be tested before it goes live.	Medium	Human Resources Manager Workforce Support	Director of Human Resources	This will be covered in FireWatch.	Dependant upon Firewatch implementation		* see note at end
3.16	The risk of fraudulent claims should either be accepted by management or an alternative method for authorising officer in charge (OIC) claims where only they attended a task is implemented. By either the group manager monitoring the levels of claims made by OICs and benchmarking them with other stations, or a second member on the station given the rights to authorise an OICs claim. However, they would not always be able to verify the hours done for lone working.	Low	HR Manager Workforce Support	Director of Human Resources	This will be considered with Firewatch.	Dependant upon Firewatch implementation		* see note at end

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3.20	The current software or a subsequent system should enforce a PIN number or password change at first logon.	Medium	Head of Service Delivery Admin	Area Manager Community safety	This will be explored during the implementation of Firewall.	Dependant upon Firewall implementation		* see note at end
3.20	The current software or a subsequent system should allow all users to change their own PIN or password at any time.	Medium	Head of Service Delivery Admin	Area Manager Community safety	This will be explored during the implementation of Firewall.	Dependant upon Firewall implementation		* see note at end
3.25	The current software or a subsequent system should be configured to limit the number of attempts at a PIN or password to a maximum of three. A secure process to unlock accounts would also need to be implemented and resourced.	Medium	Head of Service Delivery Admin	Area Manager Community safety	This will be considered during the implementation of Firewall.	Dependant upon Firewall implementation		* see note at end
3.27	It is best practice to hide user access PINs from system administrators in the system to protect the administrators from accusations of unauthorised access and the integrity of data	Medium	Head of Service Delivery Admin	Area Manager Community safety	This will be considered during the implementation of Firewall.	Dependant upon Firewall implementation		* see note at end

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	and audit trails.							
3.38	If the option exists in the current software, the recording of unsuccessful log on attempts it should be turned on. If a new system is implemented the project team should determine if this security feature exists.	Low	Head of Service Delivery Admin	Area Manager Community safety	This will be considered during the implementation of Firewatch	Dependant upon Firewatch implementation		* see note at end
3.47	The current software or a subsequent system is configured to require authorisers to view a claim before it can be authorised.	Low	Head of Service Delivery Admin	Area Manager Community safety	This will be considered during the implementation of Firewatch.	Dependant upon Firewatch implementation		* see note at end
<p>The Firewatch project team who are currently implementing the replacement to the current system have a copy of these recommendations and will ensure that the relevant controls are implemented in order to mitigate the risks identified. Internal Audit are reviewing the Firewatch Project and will also keep this under review.</p>								

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<b>INCIDENT COMMAND TEAM 2010/11</b>								
3.31	To streamline the recording and verification of assets, a combined inventory should be initiated encompassing the seven separate inventories for the Incident Command Team.	Low	Incident Command Team Leader / Station Manager Incident Command Unit	Area Manager, Response Support	Agreed	31/01/2011 extended to 30/06/2011	17/02/2011 03/03/2011	26/10/2011
3.32	In order to satisfactorily identify inventory movements, the 'track changes' facility should be adopted in 'Word' for the electronically held inventories, or hard copies held, to complete an audit information trail.	Medium	Incident Command Team Leader	Area Manager, Response Support	Agreed	31/01/2011 extended to 30/06/2011	17/02/2011 03/03/2011	26/10/2011
3.33	Sufficient details should be recorded to identify each asset that is portable and attractive, e.g., make, model and serial numbers of electrical/other equipment, as appropriate in order that all items are	Medium	Incident Command Team Leader	Area Manager, Response Support	Agree	31/01/2011 extended to 30/06/2011	17/02/2011	26/10/2011

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	sufficiently accounted for. Where possible, the date of acquisition and disposal of the more significant items of electrical and other equipment should be recorded. We support the adoption of 1 standard inventory in place of the 7 current ICT inventories.							
3.34	A record of the quarterly verification of assets on the ICT inventories should be maintained, by an independent person to the officer who maintains the inventory, in order to complete the audit information trail.	Medium	Station Manager Incident Command Unit	Area Manager, Response Support	Agreed	31/12/2010 extended to 30/06/2011	17/02/2011 03/03/2011	26/10/2011
3.35	For the more significant items of electrical/other equipment a brief record should be maintained of their disposal or transfer, in order to complete the audit information trail.	Medium	Station Manager Incident Command Unit	Area Manager, Response Support	Agreed	31/12/2010 extended to 30/06/2011	17/02/2011 03/03/2011	26/10/2011

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<b>RED BOOK COMPLIANCE – The prevention of fraud and corruption 2010/11</b>								
Q1/50	The Anti Theft, Fraud and Corruption Policy and associated policies e.g. Reporting Concerns at Work, should be reviewed and updated where necessary and presented to the Governance Committee for their information and approval. The Authority should also develop a clear policy on the recovery of losses to ensure a consistent approach is followed on seeking financial recovery.	Medium	Human Resources Business Manager Performance Review Manager / Equality & Diversity Manager/ Head of Financial & Office Services	Director of Human Resources/ Head of Financial & Office Services	Agreed	March 2011  extended to November 2011		
<b>PARTNERSHIPS 2008/09 – see the note at the end</b>								
3.7	Once the system for managing partnerships has been fully developed, an annual review of all partnerships should be established. This will assist in assessing the performance of partnerships, raise issues not	Medium	Director of Corporate Services	Director of Corporate Services	Agreed	Quarter 4 2010/11		28/10/2011

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	discussed during the year and agree an action plan to further develop partnership working.							
3.8	A risk log should be maintained for partnerships to include information on the nature of risks, consequences if the risk materialises, risk impact and probability grading, control measures in place to mitigate risks and an action plan for any gaps in control.	Medium	Director of Corporate Services	Director of Corporate Services	Agreed	Quarter 4 2010/11		28/10/2011
3.9	Appropriate skills, experience and training should be formalised for management and partnership practitioners at Headquarters and in departments. Skills and training could include relationships, coalition, consensus building, communication, delegating, negotiating, managing conflict, problem solving, setting and monitoring performance measures and managing meetings.	Medium	Director of Corporate Services	Director of Corporate Services	Agreed	Quarter 4 2010/11		28/10/2011

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3.10	The following should be included on the partnerships database:- a) health and safety issues; b) exit strategy/notice periods; grants available/ contributions by partners; c) how it will achieve the Authority's partnership objectives.	Medium	Director of Corporate Services	Director of Corporate Services	Agreed	Quarter 4 2010/11		28/10/2011
3.11	All partnerships should be reported to the Fire Authority to complete the management information trail.	Medium	Director of Corporate Services	Director of Corporate Services	Agreed	Quarter 4 2010/11		28/10/2011

Service Management Team have taken the view that partnerships will be managed within directorates. Managers are expected to manage the partnerships they have with other organisations. However it has been agreed that the matter will be discussed further by Directors.