

INTERNAL AUDIT MANAGEMENT ACTIONS – THOSE AGREED SINCE JULY 2013, COMPLETED SINCE JULY 2013, AND THOSE IN PROGRESS

Action plan 2		Revenue Contracts 2011/12			
Objectives	The organisation has a clear procurement strategy and contracts are let in accordance with procedures and legislation.				
Observations	Testing found instances of the long term use of specific suppliers where there is insufficient information to support whether their on-going use is adequately considered. Testing also identified a long standing relationship where the contract was let using the single tender option however insufficient evidence was available to demonstrate that established Service Orders were followed. Without regular market testing, HFRA may not be obtaining value for money with their long standing arrangements. Unless documented tender processes are followed, there is a risk that HFRA are letting contracts which are inconsistent with established procurement practice.				
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
Contract Standing Orders will be amended and re circulated to all managers and this amendment will expand on the current process to document single tender requests.	Medium	Procurement & Contracts Manager	Head of Facilities	01/03/2012 extended to 30/04/2013, extended to 01/12/2014	
Performance Review Team note: due to the work being progressed for joint working, it has been agreed that there will be a requirement to align Standing Orders for the three organisations. For this reason, the target date for the amendment of Standing Orders has been extended.					

Action plan 6		Taxation – benefits in kind 2011/12				
Objectives	Processes and procedures are in place to ensure that all benefits in kind are identified, collated and the correct annual returns made on time to HMRC for all relevant HFRS employees.					
Observations	<p>The Service Order SO/10/2 – HM Revenue and Customs (HMRC) tax rules in relation to Benefits in Kind (BIK) for the private use of ‘company’ cars and vans – included reference to personal/private use of company vehicles which could be approved and signed off by individual managers.</p> <p>This is contrary to HMRC rules unless the individuals involved are taxed for the benefit in kind. It was established that even though individuals would be charged a casual mileage rate this did not negate the annual tax liability but would merely reduce it by the amount paid.</p> <p>There is a risk that if personal/private use is allowable, the correct taxable benefits may not be picked up and declared for individuals who use the vehicles privately and the relevant Class 1 NIC not paid.</p>					
Management actions		Priority	Responsible Officer	SMT	Target date	Date signed off as complete
Further work is needed generally to clarify policies and ensure compliance with the (complex) rules around travel payments (including Flexible Duty system arrangements and the interpretation of emergency vehicles). This will also link to work in relation to provided cars being undertaken by the Head of Facilities.		Medium	Fleet Manager and Director of Corporate Services	Director of Corporate Services	31/12/2012 Extended to 30/06/2013	
Performance Review team note: the rules have now been clarified and will be validated using a specialist tax advisor. A further internal audit has been commissioned.						
Action plan 7		Taxation – benefits in kind 2011/12				
Objectives	Processes and procedures are in place to ensure that all benefits in kind are identified, collated and the correct annual returns made on time to HMRC for all relevant HFRS employees.					
Observations	To be able to satisfy HMRC that all reasonable steps have been taken to ‘prohibit private use of a vehicle’ and ensure that either ‘no private mileage is undertaken’ or where it is undertaken, that it is correctly declared, each HFRS vehicle has a log book in which each journey is recorded with a description and the number of miles covered. These log books					

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	<p>are required to be checked and authorised by a line manager on a regular basis to ensure that the journeys are appropriate, and the vehicles are not used by staff for personal use.</p> <p>During testing we found that only three of the 20 log books reviewed during the audit had been checked and approved on a regular basis, with a further two having been reviewed once between April and August 2011.</p> <p>To provide further evidence to HMRC that allocated vans are not used privately by staff, HFRS have a staff agreement form in place to be completed and signed by individuals who are allocated company vans. This is a declaration which states that they do not use the vehicle for personal use. We found that only 10 of the 41 vehicles recorded as vans and allocated to individuals had a declaration held by HCC.</p> <p>There is a risk that, if it can not be evidenced that all reasonable steps have been taken by HFRS to ensure that private mileage is not undertaken in HFRS vehicles, HMRC may question the accuracy of returns being made.</p>				
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
<p>We will seek to introduce arrangements and checking procedures which ensure:</p> <p>Systematic and regular review of log books to ensure compliance with the private mileage requirements.</p> <p>Agreements (declarations) completed for all vehicles recorded as vans and allocated to individuals.</p>	Medium	Fleet Manager	Head of Facilities	30/11/ 2012 Extended to 30/06/2013	
<p>Performance Review Team note: Work has been undertaken to review a sample of travel and subsistence claims to identify the areas which need further attention, either revising policies or ensuring compliance with the relevant service orders. This has identified that the main areas to focus on are the use of 'emergency vehicles' (as defined by the HMRC) and the definitions of private and commuting mileage for staff who are on call. A letter will be sent to all staff reinforcing the procedures and the need to disclose private mileage.</p>					

Action plan 2		Budgetary Control 2012/13			
Objectives	Management and operational responsibilities are clearly defined and communicated.				
Observations	The current Scheme of Delegation has not been reviewed and formally signed off by the HFRA since February 2008. In addition the 2008 review was only in respect of the Authority's Estate and was not an overall review. The scheme of delegation is a high level document but does not detail the powers of the Service's Directors and senior managers. There is substantial guidance available to staff via, for example, service orders. Whilst this gives good guidance to staff for procedural requirements on individual issues, there is no summary of the delegated powers by role which cuts across all activities. There is a risk that inappropriate action may be taken or guidance is not followed if the available information is not user-friendly and relies on the user knowing which of a large number of documents they need to refer to. Due to the level of current and likely future organisational change, there is an opportunity to review the scheme and associated documentation for currency and ease of use. The available documentation could be enhanced by publishing local schemes of delegation (for example by Directorate or by management tier).				
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
The scheme of delegation would benefit from revision whilst keeping it in line with Financial Regulations and contract standing orders. This is not a small task to complete.	Medium	Director of Corporate Services / Treasurer	Director of Corporate Services	30/05/2013 extended to 31/12/2014	
Arrangements for delegation to officers from the Chief Officer will be clarified in line with the above action so that managers are clear about their financial / procurement delegations.	Medium	Director of Corporate Services	Director of Corporate Services	31/03/2014	
Performance Review team note: the date for these actions have been extended due to the work required and the opportunity to explore developing a common set of schemes with our joint working partners at Hampshire County Council and Hampshire Constabulary.					

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Action plan 2		Programme and Project management 2012/13			
Objectives	Programmes and projects are appropriately authorised and assessed prior to committing resources.				
Observations	We could not see any reference to the resource cost of carrying out a project in any of the project documentation viewed. Whilst some projects are expected to be carried out on top of normal day jobs there are still opportunity costs, where staff could be working on other tasks. Therefore projects are being mandated or signed off without a formal review of the cost against benefits of carrying them out. Nor is there any review of how much resource a completed project has taken.				
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
Resource cost is defined by the project manager in the business case and budget management of the project. It can also be calculated in more detail in Microsoft Project project plans if required. The PMO is currently developing a Microsoft Project template that will aid managers with the definition of detailed resource cost. We will assess whether this is necessary at all – and will develop a scheme to determine this. The PMO will review the information currently on the web pages to ensure the cost of project management is taken into account.	Medium	Programme Management Office (PMO) Manager	Director of Human Resources	01/07/2013	31/07/2013
The proposed tool will be assessed to see if it delivers this functionality.	Low	Programme Management Office Manager	Director of Human Resources	01/12/2013 extended to 30/06/2014	

Action plan 4	Programme and Project management 2012/13				
Objectives	Programmes and projects are appropriately authorised and assessed prior to committing resources.				
Observations	The PPM framework does not currently contain any guidance on change management; however, we understand that this is something the PPM Office Manager is working on. This should provide guidance on what is considered a "change", what changes need to go to the project board or SMT for approval, and how these need to be documented.				
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
<p>Change Management in the larger sense is only just being formally introduced into the Service and integrated with project management.</p> <p>The PPM and organisational development managers are looking at how the two may best be integrated and communicated.</p> <p>SMT and HoST are looking at the use of change management tools to enhance leadership awareness and decision-making prior to project/programme initiation. This approach is a focus of the Safer and Stronger Board (SSB).</p> <p>Once any new or updated HFRS framework has been agreed it will be published on the intranet and will contain information on, or a link to, the change management approach and tools for the future.</p>	Medium	PMO Manager and Organisational Development Manager	Director of Human Resources	01/07/2013	31/07/2013
An appropriate communications plan will be implemented to ensure awareness.	Medium	Programme Management Office Manager	Director of Human Resources	01/07/2013	31/07/2013

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Action plan 5		Programme and Project management 2012/13			
Objectives	Programmes and projects are appropriately authorised and assessed prior to committing resources.				
Observations	<p>Whilst we were able to evidence that certain documentation had been provided to project boards or SMT we were unable to evidence that much quality assurance had taken place. Some business cases might go through the PPM Office Manager in which case she will have a look through it, but in most cases it will go straight to the project board or SMT. In these cases it is up to the board to provide robust challenge and review of the information it contains.</p> <p>Some larger projects do have a member with quality assurance responsibility, however smaller projects do not warrant the resource. With or without a Quality Assurance (QA) person there should be evidence of appropriate review of the content of project documentation, so that boards can be confident that the information they are provided with is sound.</p>				
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
<p>The PMO has offered a course on Project Assurance (to be delivered by Local Partnerships and ex Deputy Chief of Avon Fire and Rescue Service) on 6 March 2013. This will enable a large group of staff to do project assurance according to government guidance via a gateway review process, and even to peer-assess others within and outside HFRS. This will provide improved clarity of the role.</p> <p>The course delivers accreditation and in future every project will have access to someone with the project assurance competence. The PMO can advise on this. (Staff skills are searchable on our FireWatch database, so the PMO has access to who is qualified).</p>	Low (due to plan in place)	Programme Management Office Manager	Director of Human Resources	6/03/2013	31/07/2013

Action plan 7	Programme and Project management 2012/13				
Objectives	Programmes and projects are subject to sufficient risk management processes.				
Observations	<p>Whilst there is a risk register template available on the PPM intranet site we found that some projects used their own format and with some the actual scoring mechanism differs. As high risks are reported up to SMT this variation in scoring may affect what is brought to their attention.</p> <p>We also found that some risks were not adequately defined, for example saying "uniform issues" rather than what the actual risk was. Whilst this may make sense to the Project Manager it may be misleading to other people and may not enable suitable challenge. One project did not have any risks on its risk register, which sounds unlikely to be a true picture of related risk in this area.</p>				
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
In the long term the PMO Manager is working with the Performance Review Manager to consider the introduction of Project Risk Management workshops (which will be owned and delivered by the PMO).	Medium	Programme Management Office Manager and Performance Review Manager	Director of Human Resources and Director of Corporate Services	01/11/2013	
In the short term, the PMO will undertake a review and assessment of current project risk registers to ensure they are fit for purpose, being managed appropriately and that the scoring aligns to the strategic risk register format (which the current template is designed to do).	High	Programme Management Office Manager and Performance Review Manager	Director of Human Resources and Director of Corporate Services	01/05/2013	31/07/2013

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Action plan 9		Programme and Project management 2012/13			
Objectives	Regular monitoring and reporting on programmes and projects occurs to ensure the effective delivery of change and to also provide mechanisms for senior management to carry-out their governance function.				
Observations	<p>The PMO Manager does not currently have access to all the project documentation held by each programme or project. Documents such as risk registers may be held on departmental drives to which the PMO Manager does not have access. The PMO Manager is therefore reliant on the Project Manager sending through updated documentation.</p> <p>We also found that the main portfolio of programmes and projects held on the intranet site was not up to date and did not include all the relevant information. In part this was due to the PMO Manager not having access to the information.</p>				
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
<p>Further consideration will be given to discuss with current project managers to transfer files to a central location.</p> <p>Our future project management tool will be where project documentation will be held (or linked to I Drive or Hantsfile) but we will consider if an interim move makes sense.</p>	Low	PMO Manager	Director of Human Resources	01/11/2013	
The PMO manager does schedule dates when highlight reports must be submitted. Given that the PMO manager has been working without support, it has not been possible to 'pull' all information from all projects, but was felt that the highlight reports should provide that information. Given the statement above, and referring to Action Plan 7, it is still an area that the PMO Manager and Performance Review Manager will scrutinise around risk and issue registers.	Medium	PMO Manager and Performance Review Manager	Director of Human Resources and Director of Corporate Services	01/08/2013	31/07/2013

Action plan 1		Pro-active/thematic review – Overtime and Travel & Subsistence 2012/13				
Objectives	Overtime is planned in line with the Services' policies and procedures and authorised prior to payment.					
Observations	<p>Audit testing of 19 members of staff overtime claim forms spanning June to October 2012 showed that different versions of the claim form are used. One version has a "total" column at the bottom of the form to prompt staff to enter the total number of hours worked for the claim period however the alternative version does not include the "total" column.</p> <p>We also identified that when changes are made to the number of hours on the overtime forms, in most instances these changes are not initialed or dated by the member of staff who made the change. It is therefore difficult to determine who made the changes and if the change occurred prior to or after management approval. This issue was also observed with travel claim forms.</p> <p>Risk: Additional and unauthorised entries or amendments to increase the value of both overtime and travel claims are made after they have been approved by the line manager.</p>					
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete	
We shall remind authorising managers and claimants through a series of Routine Notice entries that only claim forms with a total column should be used; that any changes must be clearly initialled or signed with a service number included.	Low	Human Resources Manager – Workforce Support	Director of Human Resources	31/07/2013	31/07/2013	

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Action plan 2		Pro-active/thematic review – Overtime and Travel & Subsistence 2012/13				
Objectives	All travel claims are authorised paid promptly, properly and in full.					
Observations	<p>Staff who claim subsistence are required to enter the times when they are out of the office in Section 2 of the form. This is to establish the hours the member of staff has been out on duty and support the subsistence claim. However, audit testing of 20 travel claims confirmed that there is inconsistency in completing the forms when staff are claiming subsistence for breakfast, lunch, dinner or any other expenses as from/to times are not always indicated..</p> <p>Risk: If there is no sufficient information on the form it is not possible to determine if the amount claimed is accurate.</p>					
Management actions		Priority	Responsible Officer	SMT	Target date	Date signed off as complete
We shall remind authorising managers and claimants through a series of Routine Notice entries that the time in and time out columns must be completed on all claim forms. This will enable entitlement to any subsistence claimed to be assessed by the authorising manager.		Low	Human Resources Manager – Workforce Support	Director of Human Resources	31/07/2013	31/07/2013
Action plan 3		Pro-active/thematic review – Overtime and Travel & Subsistence 2012/13				
Objectives	All travel claims are authorised paid promptly, properly and in full.					
Observations	<p>The guidance on claiming subsistence for non-uniformed staff states that staff may claim subsistence where they have incurred additional expense in the course of their work in respect of travel, meals or overnight accommodation (subject to appropriate evidence of expenditure being produced).</p> <p>Audit testing of 20 travel claims highlighted a regular subsistence claim when out on duty for a period of three to four hours which crosses into lunch periods. These claims were for week days as well as weekends when the member of staff is working pre-planned overtime hours. It is therefore arguable whether the expense is considered 'additional' or would have been incurred regardless of whether they were at their usual or an alternative workplace.</p>					

<p>Risk: Because the guidance is open to interpretation, staff may be claiming subsistence for expenses that may not be considered 'additional' when incurred in the course of work. Significant claims which are largely unsupported by receipts are open to potential abuse.</p>					
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
We shall clarify the guidance and remind authorising managers and claimants through a series of Routine Notice entries that the rules around claiming subsistence must be followed.	Medium	Human Resources Manager – Workforce Support	Director of Human Resources	31/07/2013	31/07/2013

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Action plan 2		Sustainability 2012/13			
Objective	Projects are appropriately identified, monitored, managed, and reported to achieve the objectives of the Carbon Management Programme (CMP).				
Observations	<p>Roles and responsibilities Although the Terms of Reference for both the CMP Board and the Carbon Management Team include monitoring, measurement and reporting requirements, the detailed processes of these functions are still to be established. This includes the role and responsibilities of the CMP Board, Carbon Management Team, and stakeholders.</p> <p>RAG report The Carbon Management Trust programme management tool is used to record the RAG status of the programme. To date the RAG status has not been reported to the CMP board.</p> <p>Change Management Action Plan – Embedding sustainability The CMP contains the Change Management Action Plan. This plan outlines actions agreed across the Directorates to embed the concept of sustainability within the Service's existing work and strategies. Each action has an owner and a timescale for completion. Monitoring of these actions is planned to be done through the Corporate Management Team meetings although process for measuring and monitoring progress of these actions and highlighting issues is still to be implemented. To ensure objectives are achieved, progress against achieving measurable outcomes needs to be monitored with accurate, timely progress reports that facilitate and inform management action.</p>				
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
The 'programme manager' at HCC tasked with survey and delivery of our energy efficiency projects has been requested to ensure their Gantt chart is kept updated so the board can more easily track progress on the delivery phase of the works.	Medium	Environmental Impact Project Coordinator	Head of Facilities	7/05/2013 extended to 30/06/2013	01/09/2013
The Carbon Management Project Register (tool provided by Carbon Trust) will be regularly updated to reflect the projects which are delivered. This will enable	Medium	Environmental Impact Project	Head of Facilities	7/05/2013 extended to 3/07/2013	01/09/2013

tracking of expected (energy/cost) savings and improved reporting to the board.			Coordinator			
Action plan 3		Sustainability 2012/13				
Objective	The concept of sustainability and CO ₂ reduction is embedded across the service					
Observations	<p>A group of volunteer environmental champions has recently been formed to share and communicate ideas and best practice.</p> <p>As well as the larger projects identified as part of the maintenance programmes and the efficiency projects a number of small initiatives have been identified as 'quick wins'. These have largely come from suggestions from the environmental champions on fire stations. It is not intended or often possible to measure the impact of these individual initiatives in reducing the Service's carbon footprint.</p> <p>At this stage a mechanism to share and communicate ideas and good practice, is to be developed.</p>					
Management actions		Priority	Responsible Officer	SMT	Target date	Date signed off as complete
The mechanism for sharing and communication of ideas and good practice is expected to be through planned development of the Moodle platform (the Service's Virtual Learning Environment - VLE). In the interim more traditional forms of communication will be used in addition to a Yammer group for Environmental Champions which has been set up to allow sharing and communication – Yammer is an internal social network tool being trialled by the Service		Medium	Environmental Impact Project Coordinator	Head of Facilities	Yammer group is already set up. Target date for Moodle - 31/03/2014 - depending upon VLE development timescales.	
Action plan 4		Sustainability 2012/13				
Objective	The concept of sustainability and CO ₂ reduction is embedded across the service					
Observations	<p>Smart meters have been rolled out across the service during the last 12 months. They allow for the identification of trends and high usage areas. The data can be used to identify anomalies and help to define future best practice and improve working practices to ensure energy usage is effective and efficient.</p> <p>A training programme on the interpretation of SMART meter data and how to apply it to improve efficiencies is still to be rolled out across the estate.</p>					

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The roll out of training for use of SMART meter data will be conducted in phases. Training in SMART meter systems will be provided on the completion of the delivery of energy efficiency works on each station.	Low	Environmental Impact Project Coordinator	Head of Facilities	31/03/2014	
A complete review and revision of our energy management approach will take place in 2013.	Low	Environmental Impact Project Coordinator	Head of Facilities	31/03/2014	
Action plan 5	Sustainability 2012/13				
Objective	There are policies and procedures in place for the prevention of pollution and effective waste management with clear lines of responsibility.				
Observations	<p>ISO 14001 The Service is committed to providing an environmental management system (EMS) and achieving the ISO 14001 standard although no date has been set to achieve this. There are currently no policies and procedures in place for an environmental management system, although work is in progress to produce them.</p> <p>Waste Management Examples of waste generated by the Service requiring disposal include electrical appliances, IT equipment, building materials, fire fighting foam and de-polluted cars. Items which are owned by HFRS are defined as non domestic waste whilst items owned by individuals are defined as domestic waste.</p> <p>If they are deemed to be non domestic waste they must be disposed of by appropriate registered companies with appropriate licences.</p> <p>Determining ownership and status of some items in use at fire stations is difficult as many of these items have been donated by staff and many are not recorded on an asset register.</p> <p>There are no policies, formal procedures, or guidance in place with regard to the definition, identification, storage, and disposal of non-domestic and domestic waste. Additionally there are implications regarding the insurance and</p>				

	<p>liabilities of personal items whilst stored and in use on HFRS premises and additional costs to the Service if domestic items are disposed of as non domestic waste.</p> <p>It was established at the close of audit meeting that responsibility for ensuring that the storage and disposal of waste products used by the Service meets legal and statutory requirements has been allocated to the Environmental Impact Project Coordinator.</p> <p>The roles and responsibilities of this role and those of all staff within the Service with regards to waste management have not currently been clearly defined and communicated. This may result in legal and statutory requirements not being met, environmental damage and in severe cases, prosecutions, and reputational damage to HFRS.</p>				
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
<p>Clarify the scope of the responsibility recently allocated to the Environmental Impact Project Coordinator for ensuring that the storage and disposal of waste products used by the Service meets legal and statutory requirements; and the responsibilities of all other staff. Communicate the information to all staff.</p>	High	Head of Facilities	Head of Facilities	13/11/2013	
<p>Increase the resource allocated to the implementation of the Environmental Management System (EMS) to ensure full implementation; including the setting of an audit plan for the system. The Service approved a proposal for an 11 month secondment of a temporary Crew Manager (who started in April 2013) to support the work on the implementation of the Service Environmental Management System.</p>	High	Environmental Impact Project Coordinator	Head of Facilities	31/03/2014	
<p>Prioritise a review of all waste management to allow the development of operational controls for waste management within the EMS. A review of the waste carriers' licences and transfer/consignment notes of all companies used to collect waste from the Service has begun to ensure legal compliance with Duty of Care. We will provide guidance to staff about the obligations</p>	High	Environmental Impact Project Coordinator	Head of Facilities	31/01/2014	

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of the disposal of items not owned by the Service.					
An investigation into the feasibility of incorporating some waste management activities into the Term Maintenance Contracts has begun. This information will be used with the review of waste management to prepare a specification for a single waste management contract for all remaining waste streams.	Medium	Environmental Impact Project Coordinator	Head of Facilities	31/03/2014	

Action plan 1		Mobile Data Terminals 2012/13			
Objective	Risk information provided by the mobile data terminals is up to date with the information available from headquarters.				
Observations	Version 2 of the mobile data terminal (MDT) software is currently being rolled out, this process began in 2012. At the time of audit, 37 had been updated on emergency vehicles. The 10 spares had also been updated. We were informed that approximately 100 MDTs in total need to have version 2 installed on them, so about 40% of the roll out is complete. Version 2 requests updates from the central database every 30 minutes instead of every 12 hours. It also has better reporting tools to identify problems with the update processes. MDTs on the previous version of software are no longer being monitored for how up to date they are. Both of these benefits reduce the risk of data being used at an incident which is different to that held at headquarters.				
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
Assign additional resource to the roll-out.	High	MDT and Data Manager	Area Manager – Service Delivery Response	31/03/2013 extended to 30/09/2013	01/09/2013
Performance Review team note: funding has been secured and arrangements made for an additional resource to help complete the roll out of Version 2 of the software.					

Enrol the version 2 roll out in Fleet workshops “Servicing Action List” thereby utilising availability opportunity and additional non-mobile workshop personnel.	High	MDT and Data Manager	Area Manager – Service Delivery Response	30/04/2013 extended to 31/07/2013	10/09/2013
Work with Software manufacture to support automated software updates.	Low	MDT and Data Manager	Area Manager – Service Delivery Response	31/12/2014	10/09/2013

Action plan 2

Mobile Data Terminals 2012/13

Objective	The mobile data terminals system is consistently available to firefighters
Observations	<p>There are a number of areas where the management of the MDT system is not currently following best practice for an IT system.</p> <p>The MDT data is on one piece of server hardware. This is a single point of failure for the central system. The MDTs in vehicles would still operate without the server but new data could not be added. The application software and database would need to be recovered to another piece of hardware. There are plans to use virtual servers for the system and provide more resilience once it is handed over to HFRS IT to manage.</p> <p>The disaster recovery process for the software, database, and hardware has not been formally documented. We were informed that this would need to be done before the system is handed over to HFRS IT to manage.</p> <p>There is no formal change control process for patches and upgrades to the system. Patches may be applied to the live system, with the back out plan that they can be rolled back if they cause problems. Once the system is handed over to HFRS IT to manage it will come under their change control processes.</p> <p>We do not believe these things individually create a significant risk to the system in the short term. It is a relatively simple system to recover, the hardware requirements are low, and we are assured that the data is being backed up adequately. The MDTs on the vehicles will continue to function if the central server has failed, but they will not be updated.</p> <p>However the fact that addressing these points is dependent on the version 2 roll out being completed does add to the benefits of completing the roll out soon.</p>

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Assign additional resource to the roll-out	High	MDT and Data Manager	Area Manager – Service Delivery Response	31/03/2013 extended to 30/09/2013	01/09/2013
Performance Review team note: funding has been secured and arrangements made for an additional resource to help complete the roll out of Version 2 of the software.					
Enrol the V2 roll out in Fleet workshops “Servicing Action List” thereby utilising availability opportunity and additional non-mobile workshop personnel	High	MDT and Data Manager	Area Manager – Service Delivery Response	31/03/2013 extended to 31/07/2013	10/09/2013

Action plan 7		FireWatch System Integrity 2012/2013				
Objective	Effective plans are in place to recover the system in the event of it becoming unavailable to the service.					
Observations	<p>We requested the disaster recovery plans for the server hardware which Firewatch uses. This is HCC's responsibility. When we were provided with the plans it was noted that there were written on 7/12/2012, at version 0.1 and had no test history.</p> <p>They should have been documented since the hardware was built. We were informed that they would be tested when the disaster recovery solution to reflect Firewatch being on the Critical Applications Register is implemented.</p> <p>Currently it is not known if Firewatch could be successfully recovered using the plans as there has been no test rehearsal of them.</p>					
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete	
Liaise with HCC to ensure that a test is planned and executed with the outcome provided (sent email 30.01.13). Awaiting response.	High	Head of ICT	Head of ICT	01/03/2013	31/07/2013	
Performance Review note: An alternative approach is now being taken with Hampshire County Council to mitigate this risk.						

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Action plan 1		Training Centre 2012/13			
Objective	Training needs of the organisation and individuals are understood.				
Observations	<p>The Maintenance of Competencies (MOC) scheme works on a two year rolling calendar. Our audit testing identified that this is a comprehensive scheme which is clear and understood at the stations visited. We discussed the practicalities of delivering the MOC with two Watch Managers and note that staff are working to a very tight timescale with little room for flexibility and slippage. At present, if staff miss a training session, the Watch Manager makes an assessment on an individual firefighter's competency, taking into account actual attendance at incidents. The MOC tracker may therefore show a 100% competency however this may be based on only 85% of performance criteria achieved.</p> <p>At present, comprehensive, management information isn't readily available centrally to identify areas which may require management attention or additional support.</p> <p>We note that the Service intends to ensure that staff are 100% competent and this is based upon 100% formative or summative assessments. It is intended that FireWatch will provide the information to help facilitate this. We are aware that there are plans to develop a self-serve area of Firewatch which will include individual training plans and provide on-line materials for self-study prior to course attendance.</p> <p>To help flexibility with the MOC scheme delivery, it could be considered whether some training is suitable for on-line/self-study, or if this method could be used by staff to help underpin their existing skills.</p>				
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
We will launch of the next version of Moodle, with functional enhancements, as our operating platform for on-line training, refreshers, knowledge checks and general training development information. We will transfer existing materials and all staff will have trackable individual training access.	Low	Learning, Inclusion and Development Manager	Head of Human Resources and Training	31/10/2013	

The latest materials have now been created and filmed. These will now be updated on existing version of Moodle and transposed in October 2013.	Low	All Training station managers	Head of Human Resources and Training	31/10/2013	
On-line training already features in appropriate training delivery packages. We await the functionality of webinars.	Low	Learning, Inclusion and Development Manager	Head of Human Resources and Training	28/02/2014	
Action plan 2 Training Centre 2012/13					
Objective	Training needs of the organisation and individuals is understood.				
Observations	<p>At the present time a training support site is being developed on Moodle to include training material, video clips, and photos. This will support staff training and awareness.</p> <p>However a prospectus of all of the training and development facilitated courses available (even those provided through an external provider) does not exist.</p> <p>It is recognised by Training and Development staff that a course booklet needs to be updated and placed on the intranet in order to publicise all training provision. This should include course criteria and course dates for the year.</p>				
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
The annual course portfolio will be launched with the new version of Moodle.	Low	Training Support Supervisor	Head of Human Resources and Training	31/12/2013	
The annual training plan is currently in the Training outlook calendar for all staff to view.	Low	Training Support Supervisor	Head of Human Resources and Training	Available online March to April every year	Immediate
The Retained Duty System training planner is on the shared drive, launched every six months.	Low	Training and Development Resource Supervisor	Head of Human Resources and Training	As above, launched every six months	Immediate

INTERNAL AUDIT MANAGEMENT ACTIONS – THOSE AGREED SINCE JULY 2013, COMPLETED SINCE JULY 2013, AND THOSE IN PROGRESS

To move this forward the solution would be for Firewatch to combine both of these aspects. Offering a “real time” self-service and organisational view of all training events, learning materials and learning opportunities. If this functionality is not readily available, we will look to resource it from another supplier – Moodle would be our first choice, as we are using the platform already.	Low	Programme and Resource Manager/Fire watch Programme Manager	Head of Human Resources and Training	31/12/2014	
Action plan 3 Training Centre 2012/13					
Objective	Course planning and delivery meets the needs of the organisation.				
Observations	The introduction of Firewatch has enabled training and development staff to review course attendance details more easily and to highlight those staff who are persistently not attending safety critical training. Previously, the records of individual staff competencies has been spread over a number of local and centrally maintained systems therefore it has been difficult to centrally identify where there are gaps in training competencies. Training staff are aware of the risks of non-attendance for safety critical training and the need to ensure these staff are not attending duties until their skills base is at the required level. Operationally the accountability for individual skills lies with the Watch/Station Manager and it is their responsibility to ensure that the staff attending incidents are competent to undertake their duties. Training has limited recourse over Watch/Station Managers who have not ensured that their staff have attended all required training. The Firewatch system, if populated correctly, will make it easier to identify instances of non-attendance, skills gaps and the expiry of time based competencies. Routine reporting of training requirements to ensure staff are fully competent is considered essential.				
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
The rota management team will report to the watch/station manager at the start of each rota, to ensure Firewatch training records are compliant with ‘availability’, until the two modules are robust and connected.	High	Firewatch Programme Manager	Area Manager Business Fire Safety	Twice a day, started May 2013	

INTERNAL AUDIT MANAGEMENT ACTIONS – THOSE AGREED SINCE JULY 2013, COMPLETED SINCE JULY 2013, AND THOSE IN PROGRESS

Firewatch implementation team have a lessons learnt log.	Low	Firewatch Programme Manager	Area Manager Business Fire Safety	Started and published 2012 onwards	30/06/2013
Firewatch have implemented Frequently Asked Questions for users.	Low	Firewatch Programme Manager	Area Manager Business Fire Safety	Started and published 2012 onwards	30/06/2013
Action plan 5 Training Centre 2012/13					
Objective	Course delivery meets the requirements of service users.				
Observations	<p>The success of the centrally provided courses is measured with evaluation forms.</p> <p>At present these evaluation forms are frequently used to comment on the location and refreshments and are not phrased in such a way as to obtain an opinion on whether the course and its content has met the requirement of the service user. Evaluation forms therefore require alignment with the type and content of courses provided in order to obtain a true and fair opinion as to whether it has meet the requirements of the participant. They should also be cascaded to the managers to identify if they consider that training needs and outcomes have been met. This form should also cover whether information received prior to the start of the course, at the time of the joining instructions, is sufficient.</p>				
Management actions	Priority	Responsible Officer	SMT	Target date	Date signed off as complete
We will review and define what the service need is for validation and evaluation and benchmark what exists to identify areas of best practice and risk.	Low	Station Manager Research and Development	Head of Human Resources and Training	31/03/2014	
When we have Identified the need, we will produce a suite of validation and evaluation tools, with agreed standardisation of content and use.	Low	Station Manager Research and Development	Head of Human Resources and Training	30/09/2014	

<p>To move this forward, the Firewatch development phase will be a key element. All validation and evaluation will become reportable elements for management information, continuous improvement, and success stories to promote Training & Development, through Firewatch development of training centre management tool.</p>	<p>Low</p>	<p>Firewatch Implementation team/ Firewatch Programme Manager/ Programme and Resource Manager/ Station Manager Research and Development</p>	<p>Head of Human Resources and Training</p>	<p>30/09/2015</p>	
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INTERNAL AUDIT MANAGEMENT ACTIONS – THOSE AGREED SINCE JULY 2013, COMPLETED SINCE JULY 2013, AND THOSE IN PROGRESS

Hampshire Safeguarding Children Board (HSCB): Outcome of audit of HFRS arrangements to safeguard and protect the welfare of children (Section 11) Integrated working practices (CAF processes)				
Management actions	Responsible Officer	SMT	Target date	Date signed off as complete
Continue to invest in the common assessment framework (CAF) process	Area Manager Service Delivery Prevention	Area Manager Service Delivery Prevention	Ongoing	
Staff responsibilities and competencies				
<p>Inclusion of responsibilities relating to early help (CAF process) within job descriptions for those staff working with children and families.</p> <p>The panel recognised where Hampshire is at with the CAF process. It was considered that the inclusion of responsibilities relating to early help should be included in job descriptions for those relevant staff, once the early help process has been agreed in Hampshire. The panel recognised that the review of, and any changes to, job descriptions need to be compatible with agency's HR processes. Support from the HSCB may be required to assist agencies in articulating responsibilities and roles.</p> <p>Within this process Firesetter Intervention Manager job specification to be made more specific regarding:</p> <ul style="list-style-type: none"> (i) responsibilities to conduct a CAF assessment to identify child and family strengths; and ability to act as Lead Professional. (ii) ability to act as Lead Professional. 	Service Delivery Prevention team will review the job description and provide a copy to the Human Resources Department	Area Manager Service Delivery Prevention	30/09/2013	

**Hampshire Safeguarding Children Board (HSCB):
Outcome of audit of HFRS arrangements to safeguard and protect the welfare of children (Section 11)
Staff Recruitment and Selection**

Management actions	Responsible Officer	SMT	Target date	Date signed off as complete
Completion of basic criminal record checks for all operational staff and new entrants.	Human Resources Department	Head of Human Resources	30/09/2013	
Strengthen safer recruitment training. The panel considered that, as a minimum requirement, the chair of a recruitment panel should have completed safer recruitment training. Free e-learning on safer recruitment is offered by the Department for Education on their website: Online training - Safer Recruitment	Service Delivery – Prevention team will liaise with support teams to find the best solution.	Area Manager Service Delivery Prevention	31/12/2013	

**Hampshire Safeguarding Children Board (HSCB):
Outcome of audit of HFRS arrangements to safeguard and protect the welfare of children (Section 11)
Staff Induction, Training and Appraisal**

Management actions	Responsible Officer	SMT	Target date	Date signed off as complete
Complete review of training for staff involved in Young Firefighters Associations and implement any improvements.	Area Manager Service Delivery Prevention	Area Manager Service Delivery Prevention	31/12/2013	
Line manager of Schools education team to ensure that skills, competencies, and knowledge around child protection issues and processes are included in next year's personal development reviews (PDR).	Area Manager Service Delivery Prevention	Area Manager Service Delivery Prevention	30/09/2013	

INTERNAL AUDIT MANAGEMENT ACTIONS – THOSE AGREED SINCE JULY 2013, COMPLETED SINCE JULY 2013, AND THOSE IN PROGRESS

Hampshire Safeguarding Children Board (HSCB): Outcome of audit of HFRS arrangements to safeguard and protect the welfare of children (Section 11) Staff Recruitment and Selection				
Management actions	Responsible Officer	SMT	Target date	Date signed off as complete
Line manager of Firesetters intervention team to ensure that primary line managers of Firesetter intervention staff include skills, competencies, and knowledge around child protection issues and processes in next year's PDRs.	Area Manager Service Delivery Prevention	Area Manager Service Delivery Prevention	30/09/2013	
Hampshire Safeguarding Children Board (HSCB): Outcome of audit of HFRS arrangements to safeguard and protect the welfare of children (Section 11) Staff Supervision and Accountability				
Management actions	Responsible Officer	SMT	Target date	Date signed off as complete
Introduction of work impact assessment process.	Service Delivery – Prevention team will liaise with Occupational Health team	Area Manager Service Delivery Prevention	30/09/2013	

**Hampshire Safeguarding Children Board (HSCB):
Outcome of audit of HFRS arrangements to safeguard and protect the welfare of children (Section 11)**

Safe Working Practices

Management actions	Responsible Officer	SMT	Target date	Date signed off as complete
Our overall information management project will examine Service Orders and Policies to ensure that staff are aware of those key to their role.	Responsibility currently being defined		31/03/2014	

**Hampshire Safeguarding Children Board (HSCB):
Outcome of audit of HFRS arrangements to safeguard and protect the welfare of children (Section 11)**

Client Confidentiality and Information Sharing

Management actions	Responsible Officer	SMT	Target date	Date signed off as complete
Improve alignment of work across teams to make our approach consistent and make use of key tools such as Safetynet.	Area Manager Service Delivery Prevention	Area Manager Service Delivery Prevention	31/03/2014	