

**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>WORKFORCE PLANNING AND UTILISATION 2009/10</b>								
3.4	We recommend that the Workforce Strategy for the period 2009-12 is formally published on the intranet, in order to ensure that current workforce strategy is known by appropriate personnel.	Medium	Human Resources Director	Human Resources Director	The document is currently being redrafted to meet 'Plain English' requirements. It will be published shortly and it is planned to revise the duration to coincide with the new Service Plan.	April 2010	16/04/2010	20/04/2010
3.5	We recommend that the 2009/10 Medium Term Plan timelines should now be included on the intranet to ensure the planning information accessed by staff remains current and the management information trail is complete.	Medium	Human Resources Director	Human Resources Director	The timelines can be included on the intranet. However, they are primarily internal working documents for Human Resources that aid performance management. It is therefore questioned as to the relevance and value of this recommendation.	March 2010	16/04/2010	20/04/2010

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3.8	Consideration should be given to the provision of an automatic interface between SAP and 'Views' for future sickness returns, in order to provide increased efficiency and avoid possible errors.	Low	Workforce Support Manager	Human Resources Director	Our plans for an integrated IT solution are under review. It is unlikely in current circumstances that the Service will be investing in an interface between SAP and Views in the immediate future.	July 2010	16/04/2010	20/04/2010
<b>HUMAN RESOURCES 2008/09</b>								
3.24	The retention and disposal of documents scheduling policy should include reference to the retention of electronic records and be issued as a Service Order following finalisation of the current draft version.	Medium	Central Services Officer	Director Financial and Office Services	Agreed	30/04/2010	03/02/2009 10/09/2009	30/03/2010

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<b>EMERGENCY CATERING 2009/10</b>								
3.3	A full costing exercise should be completed. This should take into account all related costs in order to establish a realistic yet competitive price per meal provided to each of the external agencies who use Hampshire Fire and Rescue Services for emergency catering.	High	Group Manager Response Delivery	Assistant Chief Officer (Service Delivery Response)	We agree that the completion of a full costing exercise utilising a zero based budget system would be a reasonable course of action. Full scope of costing exercise to be formalised and agreed prior to completion. Exercise to be completed prior to next financial year.	31/03/2010	06/01/2010 15/02/2010	30/03/2010

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3.5	We recommend that management consider whether the emergency catering facility can be maximised further in order to contribute towards the fixed cost of providing this service.	Low	Group Manager Response Delivery	Assistant Chief Officer (Service Delivery Response)	HFRS to carry out initial review of capacity and current team use. Outcome of review to identify future opportunities.	31/03/2010 Extended to 31/05/2010	06/01/2010 15/02/2010	31/05/2010
3.7	We recommend that, subsequent to the pricing review, new contracts are produced and signed by both parties in order to identify clearly responsibilities for each.	Medium	Group Manager Response Delivery	Assistant Chief Officer (Service Delivery Response)	Contracts and pricing will be reviewed and amended with a view to implementation for financial year 2010.	31/03/2010 Extended to 31/05/2010	06/01/2010 15/02/2010	31/05/2010

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<b>BUDGET MANAGEMENT AND FINANCIAL PLANNING 2009/10</b>								
3.13	The Training Department should consider using Statistical Internal Orders (SIOs) on the SAP financial system to assist them in producing more refined information to meet their budgetary control needs. Reference should be made to the SAP Learning Zone 'Finance Coding' section on the use of SIOs. In addition, further support should be provided to the Business Education Department in the use of SAP for budgetary control purposes.	Medium	Financial Services Manager	Financial Services Manager	Agreed	1/04/2010	20/04/2010	20/04/2010
3.14	In the Training	Medium	Training,	Area	Agreed.	1/04/2010	20/04/2010	20/04/2010

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	Department, virements should be initiated by the budget holder and should be separately authorised by the budget manager, to ensure an adequate separation of duties.		Learning & Development Manager	Manager Training and Development				
<b>PROCUREMENT 2008/09</b>								
3.8	Future revisions of the contract tested in the audit, or similar agreements, should specify the monitoring of performance to ensure that all elements of the operation are monitored, and the resultant outcomes examined and actioned.	Medium	Procurement Manager, and Service Delivery Directorate who will be involved in future contract arrangements	Head of Financial and Office Services	Agreed, this current contract is mature, and has been running since 2003. The contract expires in September 2010 and will be up for renewal or re-tender, and any future contracts will be subject to a more robust contractual document than the one currently inherited and operating.	January 2010 planning for contract for start up in September 2010	3/12/2009 04/05/2010	05/05/10
3.9	In respect to the contract tested, the	Low	Procurement	Head of Financial	Any future contracts will be subject to a	January 2010 planning for	03/12/2009	05/05/10

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	liaison meetings between the contractor and the Service are formalised, either through the taking of minutes or formal notes at all meetings, to ensure all actions are carried out.		Manager and the Service Delivery directorate who will be involved in future contract arrangements	and Office Services	more robust contractual document than the one currently inherited and operating.  The current quarterly meetings are reviews based on forward looking requirements of the Service and due to the maturity of this relationship very few actionable actions take place. Any future contracts will require a far more proactive management and this will be both actionable and documented.	contract for start up in September 2010	04/05/2010	
3.11	We recommend that the monitoring of performance should be	Medium	Procurement Manager and the Service	Head of Financial and Office	Any future contracts will require a far more proactive management	January 2010 planning for contract for	3/12/2009 04/05/2010	05/05/10

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	specified in the contract tested during the audit, to ensure that all elements of the operation are monitored as appropriate, and resultant outcomes examined and actioned.		Delivery directorate who will be involved in future contract arrangements.	Services	<p>review and this will be both actionable and documented in these contract review meetings as well as the review of any Key Performance Indicators (KPI's) required to manage the contract.</p> <p>A range of current KPI's have been developed to assist with this contract as it has developed, these include spend, garment status, condemned garments, number of garments processed by garment type etc.</p>	start up in September 2010		
<b>DATA QUALITY 2008/09</b>								
3.6	A process for the formal monitoring of	High	Group	Director of	In the case of Fire	31/12/2009	N/A	11/05/2010

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	internal controls for data input systems should be established and documented to include responsibilities.		Manager Community Risk Intelligence	Service Delivery	<p>Damage Reports (FDR's) which were the subject of this test, we have moved to an electronic system of reporting called the Incident Recording System. A formal quality assurance process has been implemented for this process.</p> <p>Principles for good practice for the monitoring and responsibility of internal controls for data input systems will be included in the Data Quality Policy and Strategy.</p>			
3.9	Procedures should be introduced to clearly document the approval required by senior	Medium	Group Manager Community Risk	Director of Service Delivery	The Data Quality Policy and Strategy will state the approval process required prior	31/12/2009	N/A	11/05/2010

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	management prior to the release of data reporting externally.		Intelligence		to the release of data this is to be reported externally.			
3.13	Formal processes should be put into place for the monitoring and reporting of compliance with data quality policies and procedures to ensure the Authority is working towards current legislation.	High	Group Manager Community Risk Intelligence	Director of Service Delivery	A Data Quality Policy and Strategy will be put in place to set standards required and monitor against them.	31/12/2009	N/A	11/05/2010
3.14	Procedures should be introduced to document the formal review of information systems processes,	Medium	Group Manager Community Risk	Director of Service Delivery	The Service has gained accreditation under ISO 27001 in terms of information security. We have	31/03/2010	27/11/2009 11/02/2010	11/05/2010

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	which should in turn be reported to Senior Management.		Intelligence		<p>systems in place that support this in terms of IT security. There is also an Information Security Forum in place that meets regularly to oversee the monitoring of information security issues.</p> <p>Consideration is being given to achieving ISO 27001 for the whole organisation.</p>			
<b>SECURITY AND PASSWORD CONTROLS 2009/10</b>								
3.7	We recommend that a review of the security of the Incident Recording	Medium	Community Risk Intelligence	Director of Service Delivery	The IRS system is owned and controlled by the CLG via contract	N/A	N/A	1/06/2010

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	system (IRS) is undertaken to ensure that the implication of being able to edit forms is properly assessed and to decide whether this is an action that should be available to all user access levels.		Manager, Service Delivery		with Wavetech Ltd. No access entry level control is available.			
<b>FUEL ISSUES 2008/09</b>								
3.9	We recommend that consideration is given to completing analysis of fuel usage on a	Medium	Fleet Manager	Area Manager	Agreed – Fuel management system will provide a long-term solution, until	new software system will satisfy requirements	02/02/2009 01/10/2009 15/03/2010	04/06/2010

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	quarterly basis with examination of unusual trends in usage being followed up where necessary.				such time a more rigid system of manual monitoring, including random sampling, will be introduced.	Provisional target date quarter 3 2009/10 Extended to Q1 2010/11	28/04/2010	
<p>Following a tendering exercise, a contract for the supply of a new fuel management system has been awarded. The new hardware installations on 12 of the 14 sites will be completed by 28-June-2010 (Lyndhurst is waiting planning on new over ground tank installation and size and New Winchester will be completed once station is nearer completion at the end of 2010).</p> <p>Training on the new equipment will be done site by site when hardware is installed and it is expected that credible usage info will be available for these first 12 sites by the end of July 2010.</p>								
<b>PAYROLL OPERATIONS 2009/10</b>								
3.11	We recommend that the monthly checking of payroll input should be extended to cover additional and recurring payments.	Medium	Human Resources Manager (Workforce Support)	Director of Human Resources	The monthly checking of payroll input has been extended to cover additional and recurring payments on a sample checking basis	Immediate	N/A	June 2010
<b>DATA QUALITY (follow up) 2009/10</b>								

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3.4	We recommend that the Data Quality policies and procedures should be fully and formally documented to ensure the Authority are working towards current legislation.	Medium	Data Manager and Acting Performance Review Manager.	Director of Corporate Services	Agreed.  A Data Management Strategy was approved by the Information and Physical Asset Security Forum on 11th May 2010.	31/05/2010.	N/A	11/05/2010
3.5	Procedures should be introduced as soon as possible to document the approval required prior to the release of data externally.	Medium	Data Manager and Acting Performance Review Manager.	Director of Corporate Services	Agreed, this has been included in the strategy.	31/05/2010.	N/A	11/05/2010
<b>PAYROLL 2007/08</b>								
3.2	We recommend that all job descriptions should be reviewed annually to ensure documented responsibilities are	Low	Human Resources Manager – Workforce Support	Director of Human Resources	Project is already underway to bring all green book job descriptions up to date and present in a new, clearer, standard	June 2008 extended to 31/08/2008  further extended to	06/06/2008 07/08/2008 03/02/2009 29/06/2009	1/07/2010

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	current.				format.	31/03/2010	28/08/2009 29/10/2009 12/02/2010 17/04/2010 08/05/2010	
Performance Review Team Note: This recommendations has been closed on the basis that the job description have are now being processed by the Word Processing Team.								
<b>STORES 2008/09</b>								
3.9	We recommend that an independent stock take should be arranged to protect the role of the Stores Supervisor in his provision of a	Medium	Procurement Manager to co-ordinate.	Head of Financial and Office Services	The Service has reviewed and agreed to using the services of operational support officers to assist with stock checks.	March 2010	20/04/2010	07/06/2010

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	continuous verification of stock.				Further to this, conversations have taken place and an option has been reviewed to use corporate services staff and possibly the personnel reserve to perform such checks.			
3.8	We recommend that the principle of stock valuation based on the latest procured price should be incorporated into Financial Regulations, to ensure that this policy continues in practice.	Medium	Procurement Manager Head of Financial and Office Services	Head of Financial and Office Services	Agreed, the stock value is based on latest purchase prices and there is an internal Supplies procedure for correcting and inputting the latest purchase prices on ISM and this is driven	July 2009	26/08/2009	29/08/ 2009

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					though training and this guidance. This principle is not documented within the finance regulations which are due to be reviewed.	March 2010		14/06/2010
Performance Review Team Note: Internal Audit have agreed that the basis of the stock valuation does not need to be included in Financial Regulations.								
<b>WORKFORCE PLANNING AND UTILISATION 2009/10</b>								
3.3	A systematic review of the Service Orders directly applicable to Human Resources should be carried out, in conjunction with Central Services staff, assigned to routinely check and update	Medium	Workforce Support Manager	Human Resources Director of	A revised process for the maintenance of Human Resource based Service Orders is currently being implemented. Specific responsibility for this process now rests with the Workforce Support	April 2010	20/04/2010 10/05/2010	14/06/2010

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	Service Orders, to ensure that they all remain current, Consideration should also be given to incorporate a further field to indicate that they have been reviewed for currency.				Manager, and this action is detailed within the Human Resources Medium Term Plan timeline.			