

IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS
Agreed actions awaiting implementation

Audit Ref No	Recommendation	Priority	Post responsible	Service Management Team	Response	Action Date	Follow up Date	Date Closed
WORKSHOPS 2007/08 – now called Fleet Maintenance Centre								
3.33	We recommend that the Fleet Management system should be substituted for a more robust and suitable system at the earliest opportunity.	High	Fleet Maintenance Centre Manager – there is now a Fleet Management IT system Project Team responsible for this action	Area Manager	New Fleet Management system currently being sourced.	September 2008 extended to 01/04/2009 extended to quarter 3 2009/10 further extended to Q4 2010/11	12/08/2008 09/02/2008 27/09/2009	
<p>Performance Review Team comment: The requirement for a new Fleet Management system was included in a recent external review of the Fleet Maintenance Centre. A report on the outcomes of this review, including its conclusions in respect to the proposed IT system was made to the Performance Review and Scrutiny Committee on 14th September 2009. The consultants who undertook the external review have been engaged to help with the procurement and implementation of the new system. The current estimation of date of implementation is Q4 2010/11.</p> <p>Further updates will be provided to this Committee to ensure that Members are kept informed of progress.</p>								

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PAYROLL 2007/08								
3.2	We recommend that all job descriptions should be reviewed annually to ensure documented responsibilities are current.	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 format.	June 2008 extended to 31/08/2008 further extended to 31/03/2010	06/06/2008 07/08/2008 03/02/2009 29/06/2009 28/08/2009 29/10/2009 12/02/2010	
Performance Review Team comment: The Human Resources Manager has confirmed that the project is on target to be completed on time.								

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COMMUNITY FIRE RISK MANAGEMENT INFORMATION SYSTEM (CFRMIS) 2007/08								
3.2	A decision should be made as to how important logging of accessing individual records is to the Service. If the controls are complied with then only authorised users and IT staff should have access to the data. These should only be people with a business requirement to see the data.	Medium	CFRMIS Development Officer	Assistant Chief Officer – Service Delivery (Community Safety)	The software supplier is currently developing an auditable security system which will enable more effective control and monitoring of authorised/unauthorised access.	April 2009 Extended to April 2010 Extended to 31/10/2010	20/02/2009 28/10/2009	
<p>Performance Review Team comment: In the interim period, until an update to the system is available from the supplier, confirmation has been received that there is a robust procedure in place for the control of access to the system. Internal Audit undertook a follow up of this review in December 2008 and found that controls were working.</p> <p>The Service has lobbied for this improvement from the supplier of the system, which is used by a large number of Fire and Rescue Services. It should be noted that logging is expected to be provided in the next release of the software, Although we have tried to get an earlier date for this improvement, the need has been balanced with other priorities for the system. The current expected release date is October 2010. Further updates will be provided nearer to that date.</p>								

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PROCUREMENT 2008/09								
3.8	We recommend that 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, as appropriate, and the resultant outcomes examined and actioned.	Medium	Procurement Manager and the 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	
3.9	We recommend that, in respect to the contract tested, the 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.	Low	Procurement Manager and the Service Delivery directorate who will be involved in future contract arrangements	Head of Financial and Office Services	Any future contracts will be subject to a 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	January 2010 planning for contract for start up in September 2010	3/12/2009	

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					more proactive management and this will be both actionable and documented.			
3.11	We recommend that the monitoring of performance should be 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.	Medium	Procurement Manager and the Service Delivery directorate who will be involved in future contract arrangements.	Head of Financial and Office Services	<p>Any future contracts will require a far more proactive management 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>	January 2010 planning for contract for start up in September 2010	3/12/2009	

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FUEL ISSUES 2008/09								
3.9	We recommend that consideration is given to completing analysis of fuel usage on a quarterly basis with examination of unusual trends in usage being followed up where necessary.	Medium	Fleet Manager	Area Manager	Agreed – Fuel management system will provide a long-term solution, until such time a more rigid system of manual monitoring, including random sampling, will be introduced.	new software system will satisfy requirements Provisional target date quarter 3 2009/10 Extended to Q1 2010/11	02/02/2009 01/10/2009	
Performance Review Team comment - The system acquisition has been delayed due to the processes required for procurement. In the interim however, controls have been improved to address the recommendation, with the enhancement of extra manual monitoring since the audit.								

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HUMAN RESOURCES 2008/09								
3.3	We recommend that the Service Order reference SO/1/1/1, relating to the recruitment of firefighters should be updated, and care taken to ensure that relevant Human Resources service orders remain current at all times.	Low	Human Resources Manager (Workforce Planning)	Director of Human Resources	The whole Recruitment Service Order is currently being reviewed, which will encompass the elements covered for firefighter selection in SO/1/1/1. This particular service order has been superceded by the national guidance documents including procedures for the national firefighter selection tests.	June 2009 for completion extended to 31/03/2010	29/06/2009 21/08/2009 29/10/2009 18/01/2010	
Performance Review Team comment: The Human Resources Manager has confirmed that this service order is still under review and will take into account the national selection tests. It is anticipated that the work will be completed by the end of this financial year.								

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3.24	We recommend that 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	
<p>Performance Review Team comment: Work to update the retention of documents schedule is being overseen by the Information Management Group. The policy is currently in draft</p>								

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DATA QUALITY 2008/09								
3.6	A process for the formal monitoring of internal controls for data input systems should be established and documented to include responsibilities.	High	Community Risk Intelligence Manager	Director of Service Delivery	<p>In the case of Fire 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>	31/12/2009	27/11/2009 11/02/2010	

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3.9	Procedures should be introduced to clearly document the approval required by senior management prior to the release of data reporting externally.	Medium	Community Risk Intelligence Manager	Director of Service Delivery	The Data Quality Policy and Strategy will state the approval process required prior to the release of data this is to be reported externally.	31/12/2009	27/11/2009 11/02/2010	
3.12	The Data Quality statement should be made available to all staff once approved and should be reviewed on an annual basis to ensure that it remains up to date and includes reference to national standards.	High	Community Risk Intelligence Manager	Director of Service Delivery	The Data Quality Strategy, once approved will be made available to staff, and reviewed on an annually basis.	31/12/2009	27/11/2009 11/02/2010	
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	Community Risk Intelligence Manager	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	27/11/2009 11/02/2010	

Performance Review Team comment: A draft data quality policy has been written and is currently on circulation.

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3.14	Procedures should be introduced to document the formal review of information systems processes, which should in turn be reported to Senior Management.	Medium	ICT Manager	Director of Corporate Services	<p>The Service has gained accreditation under ISO 27001 in terms of information security. We have 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>	31/03/2010	27/11/2009 11/02/2010	

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STORES 2008/09								
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 through training and this guidance. This principle is not documented within the finance regulations which are due to be reviewed.	July-2009. March-2010	26/08/2009	29/08/2009
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 continuous verification of stock.	Medium	Procurement Manager to co-ordinate.	Head of Financial and Office Services	Not deemed to be necessary as the costs of using such a contracted / consultancy firm might outweigh the risks, but the Service has reviewed and agreed to the utilisation of the services of operational support officers to help and assist with the stock checks. This happened in March	March 2010.		

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					<p>2007 and will be pursued for following years but is dependent on operational workloads and availability of individuals.</p> <p>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.</p>			
UNOFFICIAL FUNDS 2009/10								
3.5	The Service Order should be amended to reflect that it applies to all types of funds so that staff become aware of the procedures to administer their fund.	Low	Financial Services Officer	Head of Financial and Office Services	Agreed.	31/10/2009 extended to 31/12/2009	14/10/2009 20/12/2009	
Performance Review Team comment: The Service Order is currently being amended. It is expected that the work will be complete by the end of March 2010.								

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OVERTIME SYSTEM 2008/09								
3.17	TOIL (time off in lieu) balances should not exceed thirty hours in line with HFRS policy.	Medium	All	Service Management Team	All areas are well under way working towards this as a priority.	Ongoing		
3.21	Consideration should be given to initiating a method to ensure that statutory rest is taken and monitored in accordance with working time regulations.	Medium	Workforce Support Manager - Human Resources/ Health and Safety Advisor	Director of Human Resources	This is being considered as part of the time management development in SAP and ongoing working time regulation compliance work.	Ongoing		
EMERGENCY CATERING 2009/10								
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	

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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	06/01/2010 15/02/2010	
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	06/01/2010 15/02/2010	

Performance Review Team comment: a costing exercise is currently underway, recommendation numbers 3.5 and 3.7 will then be completed.

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PARTNERSHIPS 2008/09								
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 fully discussed during the year and help agree an action plan to further develop partnership working throughout the Authority.	Medium	Director of Corporate Services	Director of Corporate Services	Agreed	Quarter 4 2010/11		
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 resolving any gaps in control.	Medium	Director of Corporate Services	Director of Corporate Services	Agreed	Quarter 4 2010/11		

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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		
3.10	We recommend that 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		

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3.11	We recommend that 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		
3.17	We recommend that the partnership agreement should include a protocol for the management of conflicts of interest to ensure that where they occur, an agreed procedure by both parties is followed.	Medium	Station Manager (Co-responders)	Assistant Chief Officer (Service Delivery - Response)	Agreed – this will be considered during any future addendums to the agreement, or during the drafting of the new agreement, whenever the opportunities arise first.	01//04/2012 – unless the opportunity to revise the agreement arises beforehand.		
BUDGET MANAGEMENT AND FINANCIAL PLANNING 2009/10								
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	Medium	Financial Services Manager	Financial Services Manager	We will discuss this with the Training Budget Manager.	1/04/2010		

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	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.							
3.14	We recommend that in the Training 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.	Medium	Training, Learning & Development Manager	Area Manager Training and Development	Agreed.	1/04/2010		

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WORKFORCE PLANNING AND UTILISATION 2009/10								
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 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.	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 Manager, and this action is detailed within the HR MTP timeline.	April 2010		
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		

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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 HR that aid performance management. It is therefore questioned as to the relevance and value of this recommendation.	March 2010		
3.8	We recommend that 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 in manual transposition of data.	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		

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STRATEGY & PLANNING 2009/10								
3.6	HFRS should consider the outcomes of comparisons to other Authorities' plans to assess whether they may wish to revise their approach for the contents of future service plans.	Low	Director of Corporate Services	Director of Corporate Services	We receive corporate plans from several other authorities during the course of the year. The content and format of them varies considerably. We do look for ideas and evidence of good practice amongst them. So far as we are aware, ours is the only fire and rescue authority corporate plan to have been awarded a Crystal Mark from the Plain English Campaign in 2009. We are pleased that our Plan for 2010 has also just been awarded a Crystal Mark. One improvement we intend to make - suggested in the recent Operational Assessment Peer Review (January 2010) is to include a section and map describing the principal risks we deal with.	December 2010		

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