

**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
<b>WORKSHOPS 2007/08 – now called Fleet Maintenance Centre</b>								
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	Assistant Chief Officer Community Safety/FMC IT System Project Team	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 ongoing	
<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 14<sup>th</sup> 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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<b>COMMUNITY FIRE RISK MANAGEMENT INFORMATION SYSTEM (CFRMIS) 2007/08</b>								
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 31/03/2011	20/02/2009 28/10/2009 28/07/2010	
<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, with full implementation and testing complete by the end of quarter four of the current year. Further updates will be provided nearer to that date.</p>								

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<b>OVERTIME SYSTEM 2008/09</b>								
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 Manager	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	16/04/2010 08/05/2010	
<b>PARTNERSHIPS 2008/09</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 discussed during the year and agree an action plan to further develop partnership working.	Medium	Director of Corporate Services	Director of Corporate Services	Agreed	Quarter 4 2010/11		

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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		
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		

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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		
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		

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<b>SECURITY AND PASSWORD CONTROLS 2009/10</b>								
3.13	We recommend that all staff receive training on information security, even if they are on a temporary contract, to ensure that individuals are aware of their responsibilities.	Medium	Head of Training and Development	Head of Training and Development	This training will be included in the staff induction training.	30/09/2010	28/07/2010	
<b>DATA QUALITY 2008/09</b>								
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	Area Manager Service Delivery	The Data Quality Strategy, once approved, will be made available to staff, and reviewed on an annually basis.	31/12/2009 extended to 30/09/2010	28/07/2010	

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<b>DATA QUALITY (follow up) 2009/10</b>								
3.3	We recommend that the Data Management Strategy 2010 should be finalised and issued to all staff and reviewed annually as intended to ensure it remains up to date and includes current national standards.	Medium	Community Risk Intelligence	Area Manager Service Delivery	Agreed	31/05/2010 extended to 30/09/2010	28/07/2010	
<b>TRAINING CENTRE 2009/10</b>								
3.5	The current actions, responsibilities and timelines for the Medium Term Plan should be published on the Intranet and regularly updated as the working document changes.	Low	Training and Development Manager	Area Manager Training and Development	Agreed in part: The Training & Development Medium Term Plan is part of a wider combined Human Resources plan which is frequently reviewed. We will discuss publication and circulation with the Director.	Medium Term Plan quarterly review meeting	28/07/2010	

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3.8	The Training Needs Assessment should be updated to be sufficiently comprehensive, and reviewed annually to ensure it remains an effective planning tool.	Medium	Programming and Resources Manager	Area Manager Training and Development	Agreed: At present this information is held in SAP, currently we are considering reviewing the annual Training Needs Analysis process with a 3 or 6 monthly refresh during the year, this would mean that as a Department we have a greater response to the business needs.	December 2010		
3.10	Consideration should be given to planning and allocating resources as a whole rather than splitting effort across the training functions. A review should be undertaken to assess whether joining the functions would achieve potential efficiency savings by eliminating duplicated effort and surplus resources.	Medium	Programming and Resources Manager	Area Manager Training and Development	Agreed: a team re-structure is underway and an interim solution of allocating a Programming and Resource manager role has already started which has led towards an integrated programme. As this is still in its infancy, fine tuning and review of the role, process will be carried out.	December 2011		

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3.11	Consideration should be given to bringing both the planning and delivery cycle forward to reduce the potential delay between the identification of need and specific course provision. Alternatively increased dynamism with planning, scheduling and delivery of courses could help the training function be more responsive to needs.	Medium	Programming and Resources Manager	Area Manager Training and Development	Agreed: This has now been superseded by the move of the grey book leave year, so the Training Needs Analysis (TNA) will be affected and planning brought further forward, as mentioned in the response to 3.8 above, we are considering the benefits of carrying out reviews and refresh during the annual Training Needs Analysis.	December 2010		
3.12	Consideration should be given to using a simplified model for forward planning with the detailed model retained for individual course planning incorporating all elements and costs for each of the specific courses.	Medium	Programming and Resources Manager	Area Manager Training and Development	Agreed: This has now been completed, but will be reviewed to ensure that it is fit for purpose.	December 2010		

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3.13	Options should be investigated into developing or obtaining an integrated planning tool. This could range from developing a simple in-house spreadsheet solution to the procurement of a specialist computer package.	Medium	Programming and Resources Manager	Area Manager Training and Development	Agreed	December 2010		
3.14	The course planning process should be reviewed, approved and formalised to ensure that sufficient feedback is obtained from the appropriate management level.	Low	Programming and Resources Manager	Area Manager Training and Development	Agreed	December 2010		

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3.16	Steps should be taken to improve management information on the reasons for cancellations and non-attendance with the potential causes investigated in order to reduce the number of cancellations and non-attendances. We acknowledge and support that this is already underway.	Medium	Quality Review Manager	Area Manager Training and Development	Agreed: A three monthly report is completed by the Quality Review Manager, however the extraction, recording and analysis need more refinements to capture more meaningful data and this is very much work in progress.	December 2010		
3.17	Consideration should be given to replacing the annually published course brochure with a web based version on the intranet so that potential delegates are more aware of the current course offerings and availability. Publication of last minute availability on the intranet and reference to a reserve list of potential delegates from	Medium	Quality Review Manager	Area Manager Training and Development	Agreed in part: Most courses already have a reserve list and we endeavour to backfill any cancellations from this list as soon as they are aware of spare places.  We are improving analysis of course data which will mean that we can identify and improve the allocation of students to courses. The course programme will be made	December 2011		

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	the training database may also help to fill vacancies due to cancellations etc.				available for training and development opportunities to be visible so that individuals can seek to access opportunities pro-actively.			
3.19	All training should be arranged via the Training Department to help ensure quality standards are maintained. All training costs should be via the Training Department to ensure all relevant expenditure is identified. A single central system should be used to support the selection of external providers, ensure the training database remains up to date and learning outcomes are monitored.	Medium	Training Manager	Area Manager Training and Development	Agreed: This work will require significant understanding of the training needs and current delivery across Service Departments.  Clear communications to the service will be required at senior level to understand the training needs and how that can be captured and managed through one department.	December 2011		

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3.22	All arrangements regarding the offering out and purchase of courses and facilities with external partners should be formally recorded in an appropriate Service Level Agreement or equivalent. (SLA)	Low	Programming and Resources Manager	Area Manager Training and Development	<p>Agreed in part: This is not realistic for all, some are a simple customer / provider issue and as long as legitimate invoices are raised this is not an issue.</p> <p>SLA's are required for long term partnership arrangements such as purchase and joint use of new firehouse, examples such as these will be confirmed or established.</p>	December 2010		

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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 regional and 'family group' authorities as appropriate in order to identify inefficiencies and potential cost savings. Budgets should be re-assessed accordingly once complete.	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 steps will be to agree the Regional course costing model which has been shared with the region	December 2010		

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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.	December 2010		

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3.29	A clear policy on the monitoring of courses, quality and outcomes should be devised including the follow-up by managers of agreed actions. The use of electronic questionnaires could be considered in order to streamline the evaluation of courses with follow-up questionnaires issued to assess outcomes.	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.	April 2011		
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.	April 2011		

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<b>RED BOOK COMPLIANCE – 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	Director of Human Resources	Agreed	March 2011		
Q22	In order to further enhance a real anti-fraud and corruption culture within the Authority, consideration should be given to raising its profile by for example, incorporating this area	Low	Human Resources Business Manager	Director of Human Resources	Agreed	April 2011		

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	into the corporate induction process, producing an annual staff survey, posters and running fraud awareness workshops.							
<b>ASSET MANAGEMENT &amp; INVENTORIES 2009/10</b>								
3.10	Old inventories should be kept to provide an audit trail of past items and any items which have been transferred or disposed of.	Medium	Marketing & Communications.	Head of Marketing & Communications.	Agreed	30/09/2010	28/07/2010 03/09/2010	
3.12	Departments outside of Service Delivery should develop a system of uniquely labelling and identifying an inventory item.	Medium	Fleet Maintenance Centre Manager	Assistant Chief Officer Community Safety	Agreed	30/09/2010	03/09/2010	

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3.14	Annual checks should be evidenced, and the person creating the inventory should not be the person checking the inventory. The check of the inventory should be carried out by an independent person.	Medium	Fleet Maintenance Centre Manager	Assistant Chief Officer Community Safety	Agreed.	31/03/2011		
			Marketing & Communications	Head of Marketing & Communications	Agreed.	30/09/2010	28/07/2010 03/09/2010	
3.4	Departments should refer to Service Order 2/4 – Inventories, which gives guidance and policy for the creation and maintenance of an inventory.	Medium	Marketing & Communications	Head of Marketing & Communications	This will be put on the agenda for a future team meeting to ensure that all team members are aware.	30/09/2010	28/07/2010 03/09/2010	

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<b>DATABASES 2009/10</b>								
3.2	The larger and strategic databases, such as CFRMIS, should be monitored for availability and response and reviewed by the application owners and Information Services.	Low	ICT manager	Director of Corporate Services	Agreed. This will be raised with application owners.	December 2010		
3.6	We recommend the procedures for adding, deleting and amending users for access to Information systems and management are documented.	Low	IT Service Desk Manager	Director of Corporate Services	Agreed	December 2010		
3.7	The HFRS IS Help Desk should notify the CFRMIS Database Administrator when requests for the deletion of users are sent to the Hampshire County Council IT Security Team to enable any access to CFRMIS to be removed.	Low	IT Service Desk Manager	Director of Corporate Services	Agreed	December 2010		

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<b>BASINGSTOKE FIRE STATION 2010/11</b>								
3.29	To provide segregation of duties, annual checks of the inventory should be signed off by an independent person.	Low	Station Administrator	Area Manager Community Safety	Agreed	April 2011 for next check		
<b>ANIMAL RESCUE 2010/11</b>								
3.5	All job descriptions and role profiles of Animal Rescue personnel should be reviewed and formalised, to ensure staff are aware of all areas of responsibility.	Medium	Group Manager, Command Strategy and Specialist Response.	Area Manager Response Support	Job descriptions will be formalised, approved by line manager and forwarded to HR for retention.	30/11/2010		
3.6	Summary office processes and procedures should be formalised at the earliest opportunity in conjunction with Service Delivery management, ensuring they are consistent with procedures.	Medium	Animal Rescue Specialist	Area Manager Response Support	Key business processes will be mapped and documented, and compiled into a process map. Links will be made to key organisational policies and procedures.	30/11/2010		

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3.11	We recommend that a formal budget deficit recovery plan should be compiled for the Animal Rescue Service, highlighting how and when potential budget deficits may be recovered.	Medium	Group Manager, Command Strategy and Specialist Response	Area Manager Response Support	A comprehensive evaluation of Animal Rescue activity is being produced for submission to SMT in October. The evaluation will contain a breakdown of costs and produce a sustainable costing model for the future including a budget and forecast which will enable funding pressures to be identified and resolved.	31/10/2010		
3.12	A structured costing model/guidance for the Animal Rescue specialism should be developed to ensure that all operational costs are covered. The Animal Rescue Specialist should engage support from the Finance Department, as required.	Medium	Group Manager, Command Strategy and Specialist Response	Area Manager Response Support	Agreed as per 3.11	31/10/2010		

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3.13	A summary of all sponsorship deals with Animal Rescue should be developed and held on the file containing supporting documentation for all sponsors, in order to clarify financial and operational details of the deals and also to provide an adequate audit information trail. In addition, all sponsorship deals should be independently authorised in order to protect the role of the Service and the Animal Rescue Specialist.	Medium	Marketing and Communications Department  Animal Rescue Specialist	Head of Marketing and Communications  Area Manager Response Support	A robust sponsorship policy is being developed to format HFRS policy and to create an audit trail for all existing and future sponsorship opportunities.  All existing information will be collated and held on file in the Lyndhurst office until the full policy is in place.	30/11/2010  31/10/2010		

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3.14	To ensure an adequate audit trail, the Animal Rescue Administrator should be issued with official receipts with which to receipt all donations. Also, to forward a copy receipt with cheques to Headquarters Finance Section and retain a copy of the receipt with the acknowledgement letter.	Medium	Animal Rescue Specialist	Area Manager Response Support	Receipt processes are being formalised with HFRS finance dept to ensure all donations are receipted on official documentation	31/10/2010		
3.26	As an interim measure prior to the introduction of the Garton system, a basic chart should be produced to facilitate checks on staff availability within an appropriate time scale and to ensure that staff are not scheduled as unavailable yet are shown on retained claim forms as attending.	Medium	Animal Rescue Specialist  Head of Service Delivery Admin	Area Manager Response Support  Area Manager Community Safety	A basic non availability system will be introduced in the interim which will be available electronically with the team managing it through the outlook calendar.  Request submitted to Maureen Matthews for development of electronic RMS.	31/10/2010  31/12/2010		

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3.27	The contractual arrangements for the Animal Rescue Specialist should be reviewed to ensure that he is paid in accordance with the contracted hours and time off In lieu is kept to a minimum.	Medium	Group Manager, Command Strategy and Specialist Response	Area Manager Response Support	The line manager will ensure that hours are reduced to within agreed limits as soon as practicable and time is better managed in future. No further claims for payment will be authorised.	30/09/2010		
3.28	A crew or watch manager should approve claims.	Medium	Group Manager, Command Strategy and Specialist Response	Area Manager Response Support	Procedures will be reviewed to ensure supervisory managers approve on all occasions.	30/09/2010		
3.29	Exception records should be maintained with exceptional levels being reported.	Medium	Station Manager, Civil Resilience.	Area Manager Response Support	Exception records will be maintained with the introduction of a procedure where any exceptional claims are authorised by the next line manager.	31/10/2010		

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3.34	A current inventory should be created for Animal Rescue's portable and attractive equipment.	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010		
3.35	Responsibility for an inventory which is up to date and accurate should be assigned to an appropriate staff member	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010		
3.36	Furniture should be removed from the inventory.	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010		
3.37	The inventory should be updated and should comply with Service Order 2/4 - Inventories.	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010		
3.38	If an item is disposed of the date of disposal should be written/typed on the inventory, with the name of the person who approved the disposal.	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010		

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3.39	All pieces of equipment located in the Lecture room and owned by Animal Rescue should be listed on an inventory.	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010		
3.40	When new purchases are made these items should be immediately listed on an inventory	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010		
3.41	Portable and attractive items should be securely held in locked offices or cupboards.	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010		
3.42	Inventory checks should be carried out annually and by an independent person to the person responsible for creating and maintaining the inventory. When these checks have occurred they should be evidenced and initialled on the inventory.	Medium	Animal Rescue Specialist	Area Manager Response Support	Agreed	31/10/2010		