

Action Title	Management Ar	Required Action	Current Position	Responsible owner	RAG	Due Date	Status
Management of Assets (Airwave Radios)	AR (21/22) 1	The Authority will review the radios detailed on its Airwave Asset Register for which a vehicle registration and/or call sign are not recorded, with this information confirmed and documented in all cases. Please refer to action three below regarding the verification of the location and assigned vehicle/user of Airwave radios.	This is all recorded on the Airwave asset register spreadsheet on Teams- This is a closely monitored spreadsheet with restricted access and there is a process in place for any changes to take place, we also have to update the Home Office each year with these details and there is confirmation from this years audit that everything is in order.	Head of ICT & Programmes	Green - Low	31/12/22	Completed
Management of Assets (Airwave Radios)	AR (21/22) 2	The Authority will introduce a log of instances where new or spare radios are installed, radios are transferred between vehicles or locations and lost/stolen radios are killed off. Key information will be recorded for each instance including: <ul style="list-style-type: none"> • Whether this was an installation, transfer or killing off of the radio • The date of this. • The ISSI and serial number of the relevant radio • The previous and new location or vehicle registration that the radio is assigned to where necessary • Confirmation that the Airwave Asset Register has been updated to reflect the change Please refer to action three below regarding the verification of the location and assigned vehicle/user of Airwave radios.	There is no need for a log as all changes have to be updated to Motorola on a form, these forms are located in the Airwave folder so there is evidence of this happening, having a log would be duplicating the work, we also have an internal form that is provided by Fleet when any change takes place.	Head of ICT & Programmes	Green - Low	31/12/22	Completed

Management of Assets (Airwave Radios)	AR (21/22) 3	The Authority will introduce a systematic and periodic verification process for Airwave radios which have been deployed, with physical checks performed to verify the documented location or vehicle and user (where relevant) of all radios at an appropriate frequency. Documentation will be maintained to evidence that this process is being completed and that all radios have been checked, with similar evidence maintained for the periodic stock check process performed for spare radios. Where radios are found to not be in their documented location, this will be investigated and reported as required, with the Register updated to reflect the correct asset location. These revised processes will be documented within the Airwave Policy and Procedures.	Spreadsheet has been updated to document when a change has been made, column added to show date when this has occurred.	Head of ICT & Programmes	Amber - Medium	31/12/22	Completed
Debrief and Organisation Learning	DOL (21/22) 1	The draft Operational Debrief Schemes policy will be updated to include reference to the JOL SPoC and how incoming JOL and NOL information is reviewed and shared / implemented as appropriate, including the Operational Assurance Group responsibilities. Before approval Appendix A referring to the trigger points for formal incident debriefs will also be included. Once updated the policy will be approved by an appropriate forum and scheduled for regular review to ensure it remains up to date.	Formal independent review of operational assurance leading to an updated action plan.	Head of Strategic Support and Assurance	Green - Low	31/12/22	In Progress

Debrief and Organisation Learning	DOL (21/22) 2	The Station Commander – Organisation Assurance will reiterate the importance to management of identifying lessons learnt during Assurance Working Group meetings. Where lessons learnt are not applicable, this will be clearly stated within meeting minutes against the incident under review. Furthermore, the Station Commander will collate all incidents reported to facilitate the analysis of trends. Incident trends will be actively reported and discussed within meetings.	Included in actions and agenda of Health and Safety Steering Group and Health and Safety Consultation Group minutes	Head of Strategic Support and Assurance	Amber - Medium	31/07/22	Completed
Debrief and Organisation Learning	DOL (21/22) 3	The Service will consider implementing a method to track the occurrence of hot debriefs to ensure these are happening as required, and allowing trend analysis of the output of data. To allow this the addition of a 'Hot debrief conducted' filed to the stop message to Control will be considered.	Currently new format being designed by the health and safety advisor	Head of Strategic Support and Assurance	Amber - Medium	31/12/22	Completed
Debrief and Organisational Learning	DOL (21/22) 4	If actions on the AWG action plan are not completed by the initial target date this will be updated to reflect a new achievable target. Furthermore actions will be RAG rated to clearly show progress.	Included in the operational assurance action plan	Head of Strategic Support and Assurance	Green - Low	31/12/22	Completed
Data Quality to Support CRMP	DQ (21/22) 1	The Authority will ensure that all relevant nationally and locally identified risks are included with the CRMP or CRA, where risks are excluded the reasoning will be clearly documented.	Included in the Community Risk Analysis and PESTEL Analysis which feeds into the new CRMP	Head of Strategic Support and Assurance	Red - High	31/07/22	Completed
Data Quality to Support CRMP	DQ (21/22) 2	The Authority will ensure that it retains accurate supporting data for all figures reported to the Fire Authority. This will be aided by BMIS and will include maintaining a clear audit trail of the data used at the time of reporting.	This is being overseen by the DDaT Steering Group and the IRS Monitoring Group.	Head of Strategic Support and Assurance	Amber - Medium	30/04/2022 Extension requested to: 1st September 2022	Completed

Data Quality to Support CRMP	DQ (21/22) 3	The Authority will update the Service Assurance Framework to include the lifecycle of the CRMP, the responsibilities of key responsible personnel and the details of how the CRMP is approved.	New policy in place	Head of Strategic Support and Assurance	Amber - Medium	31/07/22	Completed
Data Quality to Support the CRMP	DQ (21/22) 4	The Authority will ensure that updates on the progress made against its five CRMP priorities are discussed through the governance structure.	New CRMP action plan for 2022-23 with 6 priorities in place	Head of Strategic Support and Assurance	Amber - Medium	01/04/22	Completed
Date Quality to Support CRMP	DQ (21/22) 5	The Service will review its CRMP related to KPIs to ensure that targets are achievable and realistic.	See FRS reports from March 2022	Head of Strategic Support and Assurance	Green - Low	31/07/22	Completed
Data Quality to Support CRMP	DQ (21/22) 6	The Authority will ensure that if clearly assigns implementation dates and owners for actions assigned to improve CRMP KPI performance at meetings such as the Fire Authority. Evidence will be retained to show the CMT quarterly review of KPIs.	See FRA reports including July 2022	Head of Strategic Support and Assurance	Green - Low	31/07/22	Completed
Human Resources - Grey Book Recruitment	GBR (21/22) 1	The Authority will review the current On-Call Recruitment Policy. Furthermore, the Authority will ensure that the Policy captures the requirement to be reviewed on a three-yearly basis and will state the date of next review.	The policy is in the process of being updated and should be completed by the end of Quarter 2. The On-Call Recruitment Policy is in draft, version 3, and has been circulated to members of the Recruitment Working Group for comments. As per the Audit Report a Policy Review Date has been added. Delay has occurred whilst reviewing the outcome of the NFCC Recruitment project. Responses due back by the end of September. Any amendments will be made prior to wider organizational review. 80% completed, so on track to achieve the Q3 deadline.	Resourcing Manager	Green - Low	30/06/2022 Extension requested to: Dec 2022	In Progress

Key Financial Controls - Accounts Payable and General Ledger	KFC (21/22) 1	<p>The Authority will review the guidance that it has in place for accounts payable and general ledger, and update this to ensure that the following key areas are covered in sufficient detail:</p> <ul style="list-style-type: none"> • Required verification checks for new suppliers. • Supplier detail amendments. • Instances where a purchase order is not required. • Chart of account changes. • Completion of monthly close-down timetables. <p>In addition, the date of last review will be added to all financial procedures at the point they are next updated, to provide assurance that these are up to date.</p>	Work is ongoing to update process as necessary, incorporate dates on the monthly timetable for completion and provide a “commentary” of when PO’s are not required. – We are on track to have these completed by End Dec 2022	Chief Accountant	Green - Low	31/12/2022	In progress
Key Financial Controls - Accounts Payable and General Ledger	KFC (21/22) 2	<p>The Authority will develop a scheme of delegation, for functions excluding the approval of requisitions and invoices, which clearly details the key responsibilities and financial authorisation limits which have been retained by the Authority, delegated to the Chief Fire Officer/Chief Executive and the Treasurer, and further delegated to key staff and Committees. If management determines that such a control is not necessary, this will be reported to and agreed by the Audit and Standards Committee.</p>	Work is taking place to identify the routes of all approvals to incorporate a list showing who can authorise and the limit of these authorisations. We are on target to have this completed by End of November.	Assistant Chief Officer / Chief Accountant	Green - Low	31/12/2022	In progress

Key Financial Controls - Accounts Payable and General Ledger	KFC (21/22) 3	Staff will be issued with a reminder of the need to ensure that purchase orders are raised and approved prior to being committed to expenditure, except for circumstances where non-PO invoices are appropriate. In addition, the Chief Accountant will investigate whether the Finance System can be used to generate a report of all retrospective purchase orders. If this is possible, then this report will be run periodically to analyse the proportion of retrospective purchase orders being raised, with action taken to address frequent use of inappropriate retrospective purchase orders by departments, such as additional training. Refresher training will also be held on why it is important to raise Purchase Orders (PO's), the system for raising them, the use of descriptions and documentation to support the PO.	The Chief Accountant has investigated and it is not possible for the finance system to provide a report of retrospective orders. The procurement team have sent a message to all staff via the internal Blue Bulletin asking them to raise orders in a timely fashion. With regards to refresher training this has not yet taken place due to a vacancy within the procurement team however this post has now been advertised and a training course will be delivered once the post has been filled.	Procurement Manager	Green - Low	31/07/2022	In progress
Key Financial Controls - Accounts Payable and General Ledger	KFC (21/22) 4	We will continue ongoing work to raise the profile of the prompt payment KPI, including adding this to the new corporate dashboard, and reporting this to the Corporate Management Team each month for additional scrutiny. In addition, actions will be developed to address the main causes of invoices being paid late and to improve performance of the prompt payment KPI, with these actions documented and monitored through to completion.	This is ongoing, communications with relevant managers continue to ensure that they approve invoices on a timely basis, as well as this work is currently underway to delegate the responsibility for lower value invoices in one of these areas to managers rather than the head of department which will mean that this also improves the response times for authorisation whilst keeping within the levels of approval limits. This action should be complete by End of Oct 2022.	Chief Accountant	Green - Low	31/10/2022	In progress

Key Financial Controls - Accounts Payable and General Ledger	KFC (21/22) 5	The process by which access to Great Plains is removed for leavers will be reviewed to identify any improvements which can be made to ensure that access is being revoked in a timely manner. In addition, the Great Plains user list will be reviewed periodically to ensure that all users are current staff members.	Discussions have taken place between the head of ICT and Chief Accountant to review this process, currently ICT are responsible for auctioning all leavers and starters on Great Plains however there is an intention to move the responsibility of this to Finance to action. This will improve the timeliness and of setting up and removal of employees however training will need to be provided which is currently not possible due to other work pressures both in ICT and finance. In the interim in order to mitigate this action the Chief Accountant now requests a list of GP users on a quarterly basis from ICT, then reviews and takes any necessary action to ensure that any employees who have left the organisation are removed.	Head of ICT / Chief Accountant	Green - Low	31/12/22	Completed
Key Financial Controls - Accounts Payable and General Ledger	KFC (21/22) 6	The Authority will liaise with the ICT Shared Services Team to implement a process whereby incremental back-ups of the finance system are completed daily, with full back-ups completed weekly and monthly. If daily back-ups are not implemented, this will be reported to the Audit and Standards Committee, and the associated risk will be formally accepted by the Committee. Once the revised frequency has been agreed, the finance system will then be periodically backed-up in line with this, with evidence of this clearly retained.	GP is now backed up daily.	Chief Accountant	Amber - Medium	30/09/2022	Completed
Key Financial Controls - Accounts Payable and General Ledger	KFC (21/22) 7	We will ensure that suspense account entries identified for clearing from these reconciliations are followed up and cleared in a timely manner.	Work is ongoing to ensure that transactions are cleared on a timely basis and that the Recs are signed off in a timely fashion.	Chief Accountant	Green - Low	30/09/2022	In progress

Key Financial Controls - Accounts Payable and General Ledger	KFC (21/22) 8	The need to include a description of the reason why overtime was performed as part of the comments section of the claim form will be made a mandatory requirement. This will be communicated to staff, along with a reminder of the correct rates to claim and the need for approvers to review claims in sufficient detail to ensure that rates are correct, and that reasoning has been recorded. The Payroll Team will periodically review all overtime claims made to ensure that the reason for the claim is being recorded, with action taken to address repeated instances where this is not recorded. Consideration will also be given as to whether data analysis can be used to identify claims paid at non-standard rates, with these investigated to ensure that this was appropriate.	Work is ongoing between ICT & Payroll to provide a solution to this, investigations are taking place to see if it is possible to make certain fields mandatory to enable this action however this has been unsuccessful to date. The ICT team will be liaising with the supplier of the iTrent system to see if it possible to do this however it may not possible to provide a solution.	Payroll Manager / ICT	Amber - Medium	31/12/22	In progress
Risk Management	RM (21/22) 1	The draft Corporate Risk Policy will be approved and made available to relevant staff. Further guidance on risk assessment, review, monitoring and reporting will be established. The organisation's risk appetite will be formally documented in the Corporate Risk Policy and be subject to regular review for appropriateness.	Approved but not yet shared with all staff. Risk appetite was reviewed by CMT in June but not yet Members. This will form further CMT and Member workshops	Head of Strategic Support and Assurance	Amber - Medium	31/07/22	In Progress
Risk Management	RM (21/22) 2	A formal training programme for risk management will be developed and delivered, including refresher training at appropriate intervals.	We are working with RSM and our training centre on this.	Head of Strategic Support and Assurance	Amber - Medium	31/12/22	In Progress

Risk Management	RM (21/22) 3	<p>We will develop the CRR held within BMIS to ensure:</p> <ul style="list-style-type: none"> • Risk descriptions clearly describe both the cause and impact of a risk • All risks have controls documented against them • Sources of assurance are recorded against each risk • All risks have future actions documented • All future actions are reviewed and updated if the due date is reached. 		Head of Strategic Support and Assurance	Amber - Medium	31/03/23	Completed
Risk Management	RM (21/22) 4	<p>We will develop functional risk registers and an escalation process for escalating operational risks to the Corporate Risk Register. We will also develop a process for the regular review of functional risks by an appropriate group/committee.</p>	Integrated within Station Planning Framework.	Head of Strategic Support and Assurance	Amber - Medium	31/03/23	Completed
Risk Management	RM (21/22) 5	<p>Risk owners will review their assigned risks on a monthly basis and ensure updates are recorded within BMIS.</p>	Now carried out monthly	Head of Strategic Support and Assurance	Amber - Medium	31/07/22	Completed