

Mersey Internal Audit Agency

Internal Audit Follow Up Report

Performance and Overview Committee (November 2016)

Cheshire Fire Authority



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1. Introduction and Background

In making recommendations and agreeing action plans, it is intended that improvements may be made to both internal controls and operational effectiveness. However, in order to verify that the benefits of the process are achieved, it is necessary to subsequently follow up on the implementation of agreed actions, in order to fully assess:

- Whether implementation has occurred or been superseded by further events; and
- Whether the actions have produced the intended effect.

Follow-up is, therefore, a vital aspect of the internal audit process and it is our policy, in accordance with the Fire Authority's Internal Audit plan, to revisit previous assignments.

This paper sets out the completion of the most recent phase of follow-up reviews where we have been informed that action plans have been completed.

2. Objective

The objective of this follow up review is to provide the Policy Approval Group (PAG) and Performance & Overview Committee with independent assurance that actions flagged as closed by responsible officers have indeed been completed and can be evidenced as such.

3. Summary of Outstanding Actions

Section 4 provides a summary of all agreed Internal Audit actions due for implementation which were followed up during October 2016. Of the 60 actions due for implementation: -

- 27 were evidenced as implemented including all high risk actions;
- 12 actions have been superseded, relating to reviews of Management of ICT Assets, Stores and Vehicle Fleet and the majority linked to ongoing work with the Blue Light Collaboration project;
- 10 actions were noted that whilst not complete, progress towards implementation was evidenced; and
- 11 actions were not implemented. However, of these 7 relate to the review of Unitary Performance Groups in which the actions have been agreed by management to be deferred pending final approval from Members.



A summary of these recommendations, including their statuses at October 2016, and revised dates for implementation are detailed in section 5. This will be followed up by MIAA and a further update provided to the Performance and Overview Committee.



4. Summary of Internal Audit Recommendations Followed-Up

The following table summarises all Internal Audit recommendations that have been agreed and which have been followed up during October 2016:

Audit Report	Year	Total Number of Agreed Actions Outstanding	Total No of Agreed Actions Ready for Review	Not Implemented	Not Implemented but Action Progressing	Implemented	Superseded
Community Safety	2013/14	1	1	-	-	-	1
Management of ICT Assets	2013/14	2	2	-	-	-	2
Key Financial Controls	2013/14	1	1	-	-	1	-
New Staffing System- On-Call Availability	2013/14	1	1	-	-	1	-
Stores Review	2014/15	2	2	-	-	-	2
Vehicle Fleet	2014/15	9	9	-	-	2	7 *
Financial Systems	2014/15	5	5	-	-	5	-
Pension Payments Review	2014/15	3	3	-	-	3	-
IT Core Infrastructure	2014/15	6	6	1	2	3	-
Capital Programmes	2015/16	1	0	-	-	-	-

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Audit Report	Year	Total Number of Agreed Actions Outstanding	Total No of Agreed Actions Ready for Review	Not Implemented	Not Implemented but Action Progressing	Implemented	Superseded
Financial Systems	2015/16	3	3	-	-	3	-
Fire Cadets	2015/16	6	6	-	5	1	-
NW Control Centre	2015/16	5	4	2	-	2	-
Operational Training	2015/16	6	6	-	2	4	-
Princes Trust	2015/16	4	4	1	1	2	-
UPG's	2015/16	7	7	7**	-	-	-
Insurance Arrangements	2016/17	5	0	-	-	-	-
Total		67	60	11	10	27	12

* Superseded due to work with Blue Light Collaboration. However, recommendations to be considered as part of developing new processes.

** Full implementation of recommendations are on hold pending final approval from Members.

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5. Detailed Recommendations

The following table provides full details of those recommendations which are still outstanding following our review, along with the original agreed management responses and timescales.

I.T Core Infrastructure

Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
3	Medium	<p>The following areas require action:</p> <p>The issues associated with non-Microsoft software patching should be formally assessed and opportunities to reduce the risks identified.</p> <p>The reported gaps in malware protection need to be clearly understood and more proactively monitored and managed to minimise any exposure.</p> <p>Broader vulnerability management should be investigated to ensure all</p>	<p>The ICT Operations Manager has now scheduled a bi annual patching schedule & audit of high use non Microsoft products such as Adobe Reader and if required, the software will be patched, however, this is dependent on resource availability.</p> <p>A more detailed monthly audit of endpoint protection has now been planned.</p> <p>Resources and budget would make this difficult to achieve and we believe the actions being carried out in regard to points 1 and 2 above will</p>	<p>April 2016</p> <p>October 2015</p> <p>N/A</p> <p>July 2015</p>	<p>ICT Operations Manager.</p> <p>Head of ICT.</p> <p>Not required.</p> <p>ICT Operations Manager.</p>	<p>Not Implemented</p> <p>Once the joint IT services department is matured as part of the Bluelight Collaboration project, the implementation of third party software patching and port locking will be carried out.</p> <p>The new proxy and mail appliances are also scanning for malware.</p>	<p>31st March 2017</p>

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Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
		<p>risks and Live exploits are understood in a timely fashion and mitigations implemented. One approach to this may be to register with a trusted independent third party security monitoring service.</p> <p>Port locking should be switched into active mode with the objective of only allowing staff to use and write to specifically authorised and encrypted external storage devices in the first instance. Looking into preventing unauthorised reading capability would also be recommended.</p> <p>Any residual risk should be appropriately</p>	<p>address this issue.</p> <p>ICT Operations Manager has now created the necessary policies to implement the port locking element of BeCrypt Connect Protect and is being implemented across the service.</p>				

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Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
		registered and managed through Corporate risk processes.					
5	Medium	Management should ensure that: Documentation covering contingency priorities, maximum recovery times and data loss in different outage scenarios, particularly computer room or widespread infrastructure outages, should be enhanced and approved by management to ensure arrangements align to operational expectations and local continuity arrangements.	This is already been addressed by a wider Business Impact Analysis being carried out by Operational, Planning & Assurance.	April 2016	Operational Planning and Assurance	Action Progressing Quarterly updates of departmental Business Continuity Plans is now complete. Joint meeting with the Police Business Continuity lead has now taken place with a follow up meeting to discuss the IT infrastructure BC plan and the move of our main server provision to Clemmonds Hey in November 2016.	31 st March 2017
6	Medium	Management should consider the security protecting the various	The Service is in the process of refreshing its SQL Server installations and will take the	Logging and monitoring enhancements	ICT Operations Manager and	Action Progressing A number of 3rd party and core services have been	31 st March 2017

November 2016

Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
		<p>SQL databases using the 'Mixed Mode' authentication and on a priority basis evaluate and implement mitigating controls such as:</p> <p>Ensuring strong passwords for all internal SQL accounts.</p> <p>Switching to native Windows authentication where possible.</p> <p>Switching on internal SQL logging to support threshold based alerting on excessive failed logons.</p> <p>Activating internal account protection controls using the local server security settings assuming the version of SQL server supports it</p>	<p>above into account as part of that process and any new developments. Native Windows authentication will be looked into and existing warning messages relating to failed logins will be changed to generate service desk tickets.</p>	<p>ts by July 2015 and refresh by April 2016.</p>	<p>ICT Software Development Manager</p>	<p>implemented using SQL authentication and not mixed mode which CFRS cannot change. A new data centre is being built at Cheshire Constabulary HQ and as part of the move it will be investigated if systems can be moved to mixed mode authentication.</p>	

Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
		<p>and that suitable local Windows security settings are in effect.</p> <p>Ensuring guest accounts and test databases are removed or disabled, and other powerful default functionality and public access is appropriately restricted.</p> <p>Constraining ODBC access to specific IP ranges using Firewall rules.</p>					



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Fire Cadets

Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
2	Medium	The Health, Safety and Wellbeing Manager in conjunction with the Fire Cadet Manager should undertake a risk assessment audit on the Cadets groups to ensure that the groups are operating safely and in compliance with the Health and Safety Management Policy.	All the cadet activities are individually risk assessed and reviewed when required. The introduction of the Cadet Area Advisor role recently introduced should support the unit on H & S matters. A meeting with the Fire Cadet and H & S Manager has been arranged and is the platform to discuss the current activities and levels of risks. Work is ongoing to produce a H & S checklist to support the delivery of activities.	June 2016	Fire Cadet Manager, H & S Manager	Action Progressing A review with Health and Safety has been completed and a generic risk assessment has been drafted that all cadet activities and further risk assessment will fall out of. This will be finalised shortly and other risk assessments that require updating will be completed.	31st December 2016
3	Medium	The Authority should produce a Corporate Fundraising Policy that should be supplemented by comprehensive guidance for those	CFRS fund raise for a number of charitable organisations, the majority of CFRS fundraising is for the Fire Fighters Charity. There is no specific fundraising policy and I believe this should be a	July 2016	DCFO, Head of Legal and Democratic Services, Head of Finance and Head of	Action Progressing A new policy has been drafted and this is with Heads of Finance and Legal for review and approval.	31st December 2016

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Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
		involved in fundraising activities. The policy and procedures should identify the responsibilities of individuals, the Authority and require the implementation of adequate controls during fundraising including the security, recording and banking of funds collected.	service wide policy not just for youth engagement programmes. A discussion needs to take place with the DCFO, Head of Legal and Democratic Services, Head of Finance and Head of Prevention to agree the policy.		Prevention.		
4b	Medium	The Authority should review the process for the management of the Cadets funds held locally including agreement on the records to be maintained locally and reporting arrangements to the Finance Department. The	With regards bank account work is in progress to set up individual account for each unit. Due to the fact all the cadet leaders are volunteers and not employed by the Service and only meet once a week this is taking a bit longer than originally estimated. The Fire Cadet Manger and Finance Officer	April 2016	Finance Manager	Action Progressing Finance are in the process of implementing a monitoring spreadsheet which is to be completed by the Cadet units.	31 st December 2016

November 2016

Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
		imprest and banking procedures established for the Prince's Trust groups could be adapted for the Fire Cadet Units for this purpose.	have completed all the necessary paperwork which has been sent to each unit. These are in the process of being returned along with current banking information and totals.				
4c	Medium	The Authority should also ensure regular compliance with the Fire Cadet's Policy by undertaking a periodic audit of cadet unit accounts and arranging regular spot checks.		April 2016	Fire Cadet manager, Finance Department	Action Progressing A programme of audits has been developed and all audits should be completed in early 2017.	31 st March 2017
5	Low	The Authority should identify suitable opportunities to use the individual units as per the original mandate for these funds.	Regular finance meetings are held to discuss the current budget levels. Third party funds are a standing item on the agenda. A financial plan is in place to spend the third party funds on equipment and services which will	September 2016	Fire Cadet Manager, Finance Department	Action Progressing CFRS have spent from third party funds since the audit and is in the process of drafting a further spending programme.	31 st March 2017

Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
			benefit all the cadet units. For example a replacement kit plan for D of E equipment is now in place and third party funds will be used to purchase these items.				
6	Low	The Authority should consider the introduction of an annual report summarising the activities of the year and benefits realised for the Authority in relation to promotion of the Fire Service's brand, reduction in anti-social behavior, reduction in fires and the development of future fire fighters.	Fire Cadets do amazing things all year round and this is promoted through internal and external press releases along with social media. Also to celebrate this CFRS have an annual cadet day. This day gives the opportunity for cadets from all around the county to get together, have competitions, fun and celebrate their achievements with a review of the year. The review highlights all the activities the cadets have been involved in and celebrates their success. Fire Authority Members, Principal	December 2016	Fire Cadet manager	Action Progressing The summary report is in the process of being developed.	31 st March 2017

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Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
			Officers and local dignitaries such as the Lord Lieutenant. If the Authority would like a written annual report this could be done.				

NW Control Centre

Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
4	Medium	The Authority should liaise with NWFC Ltd and ensure that the reporting of performance data provided by them reflects the standards and targets set by the Authority. The Authority should liaise with NWFC Ltd to ensure that all reporting functions are operating	Agreed. Some recent anomalies have caused difficulties and officers are attempting to find permanent solutions. Given the reporting that takes place to the company Board (as well as the Authority) there is little doubt that this will be resolved.	August 2016	Phil Usher	Awaiting Evidence At the time of the follow up MIAA were awaiting evidence to confirm if the recommendation has been implemented.	31 st March 2017

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Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
		correctly and all data reported is correct.					
5	Medium	<p>An annual audit process should be agreed upon by the stakeholders and implemented at the earliest opportunity to provide assurance that the performance information provided by NWFC Ltd is accurate.</p> <p>Within the annual audit process assurances should be provided on the quality of services and training of staff.</p>	Agreed.	August 2016	Gus O'Rourke.	<p>Awaiting Evidence</p> <p>Annual audit process was raised and discussed on the 21st July at the regular Operations Group meeting with colleagues from GMFRS, LFRS & CFRS. This was discussed further and there is a work stream now in progress with GMFRS to produce an audit template.</p> <p>NWFC have recently completed an internal departmental peer review process the results of which are being shared with the NWFC board, and then further shared with the regional FRS's.</p>	31st March 2017

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Operational Training

Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
1	Medium	<p>Each Watch/Station should review the Gartan system and perform local checks of the skills held by their staff and to confirm whether this reflects the current position. Each Station should complete a return highlighting any discrepancies to the OPA Admin Hub. Alternatively this task could be carried out by OPA Admin Hub.</p> <p>A summary of the discrepancies should then be reported through to the Head of Operational Policy and Assurance.</p>	<p>OPA to re issue guidance regarding the completion of Green attendance forms and the requirement to indicate whether or not individuals have reached the required benchmark in all cases.</p> <p>OPA to check the set-up of new training courses for 2016/2017 training year to ensure the correct set up in terms of Skill ID's that will ultimately update Gartan via the overnight changes file. Consideration also needs to be given as to utilising expiry dates for whole time staff.</p> <p>Discuss with staff co-ordinating training the importance of prioritising staff for available courses in order to minimise / prevent</p>	April 2016	Debbie Quaile / Alexia Drew	<p>Action Progressing</p> <p>An email was reissued to staff reminding them of the importance of submitting green attendance sheets. Procedures have also been incorporated into a business process document</p> <p>Staff have introduced conditional formatting on training trackers in order to assist the prioritising process. The process of reviewing skill sets has also been incorporated into business processes. Reports from the Gartan system can also be obtained, along with skills turning colour to remind users that a refresher course is required. The colour change reflects a 90</p>	31 st March 2017

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Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
			<p>chances of skills exceeding the recommended expiry date.</p> <p>Operational crews to be advised to review skill sets on Gartan and advise OPA of any discrepancies. Consideration to be given of completing a new bulk upload into Gartan from HRPRO to refresh all skill sets.</p>			<p>day notice period.</p> <p><u>Areas requiring full implementation</u></p> <p>Processes for operational crews to be advised to review skill sets on Gartan and advise OPA of any discrepancies are being developed as part of a bigger project involving a transitional plan and movement of staff.</p> <p>Completion of a new bulk upload into Gartan from HRPRO to refresh all skill sets will be completed once staff have moved into new locations in January 2017 if required.</p>	
4	Medium	To develop an overarching performance framework for operational training	The development of PDR pro should address the recording of all aspects of training; however, we will need to	March 2017	Lynsey McVay	<p>Action Progressing</p> <p>A Training Management Group has been formed to identify and work on the</p>	31 st March 2017

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		<p>which brings together aspects of operational training, station management framework and incident commander training.</p>	<p>look at a method of pulling reports for the system as currently we do not have the capability to do this.</p>			<p>actions contained in the report. The terms of reference have been agreed for the group to examine the wider corporate training issues and not just those associated with PDRPro for operational and command training. The group will also investigate the likely effect on training structures resulting from the future restructuring of the service arising from the joining of departments of the Service with the Police and the growth in the number of On Call Fire Fighters in the future.</p>	



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Princes Trust

Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
3	Medium	The Authority should undertake a comprehensive review of all policies due for review including those mentioned above to ensure that the policies fully reflect the current organisational and statutory requirements.	All CFRS policy documents are held electronically on the Edocs system. All documents have a review date and it is the duty of the individual Head of Department to ensure all documents are reviewed within that date and any relevant or necessary changes made. CFRS Volunteer programme is currently under review and the review due to be completed January 2016. The Volunteer policy has been reviewed and the necessary amendments made. With regards the Convictions policy I am unable to comment on the review dates for these policies.	June 2016	Youth and Community Cohesion Manager, Head of People and Development	Awaiting Evidence At the time of the follow up MIAA were awaiting evidence to confirm if the recommendation has been implemented.	31 st March 2017

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Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
4	Low	<p>Prince's Trust Teams should regularly update the PT Project Co-Ordinator on local events and recruitment campaigns which should then be publicised through the Communications Department in order to raise the profile of the Programme and activities being undertaken.</p> <p>Furthermore, the Authority needs to actively promote the successful outcomes of the courses and achievements of the attendees in gaining employment, education and training.</p> <p>The Authority should also identify and analyse</p>	<p>The activities and work carried out by Prince's Trust Teams is both internal and external promoted by press releases and social media. Each Prince's Trust Team produces an end of team report if the Authority would like these compiling into on annual report this can be done.</p>	August 2016	PT Programme Managers, Pt Project Co-ordinator, Comms Department	<p>Action Progressing</p> <p>A review of when is the best time to present to PO's and the CFA is being completed The intention is to develop the report in January, as the current teams will not finish until December.</p>	31 st March 2017

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Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
		how existing attendees were informed of the Prince's Trust Programme and publicise the courses and outcomes through these channels.					

Unitary Performance Groups

Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
1	Medium	Unitary Performance Groups could significantly benefit from producing annual UPG Plans that effectively respond to the objectives and priorities included in CFRs IRMP as well as their respective UPA	The Service acknowledges the need to improve the consistency in how local intelligence feeds into the development of projects and supports the delivery of corporate objectives. Proposals to address the issue will be considered by the Performance	January 2016	Heads of Planning, Performance and Communications and Service Delivery	Not Implemented Full implementation of recommendations are on hold pending final approval from Members. The 2016/17 budget remains in place and new arrangements proposed to be in place 2017/18.	31 st March 2017

Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
		<p>Plans and Community Action Plans. UPG Plans should also acknowledge local issues as highlighted by performance indicators and incident trends and proactively propose specific projects/schemes aimed at improving performance, reducing deliberate incidents and addressing local community issues. The UPG Plans should also state the method and frequency of evaluating the outcomes and benefits of proposed projects.</p> <p>It is imperative that Watch Managers, Station Managers and Members have</p>	<p>Management Group in conjunction with Service Delivery Managers.</p>				



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		adequate input in the production of UPG plans to ensure that their knowledge, experience and local intelligence is adequately featured in setting priorities.					
2	Medium	Due to the historical nature of the Financial Framework and issues identified above, there is now a requirement to formally review the criteria with the aim of defining the purpose of UPG funds and specifically stating the conditions attached to their use. The revised criteria should also make adequate reference to schemes and campaigns being delivered corporately or	The service accepts that the use of the UPG budgets has expanded beyond its original remit and will develop guidance and proposals to clarify the issue. The proposals will be presented to the Fire Authority for approval.	February 2016	Heads of Finance and Planning, Performance and Communications.	Not Implemented Full implementation of recommendations are on hold pending final approval from Members. The 2016/17 budget remains in place and new arrangements proposed to be in place 2017/18.	31 st March 2017

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Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
		<p>by other UPGs and aim to ensure that UPG projects/schemes do not overlap with such initiatives.</p> <p>Including the revised criteria on the 'Business Case Templates' may also benefit potential bidders and subsequent approves to ensure that UPG schemes are used in accordance with the mandate.</p>					
3	Medium	The Authority should consider the level of reserves and annual revenue budget for the Unitary Performance Groups taking into consideration the average annual spend, current reserves and crucially UPG plans and	The Service proposes to ensure the UPG budgets are available solely to support locally-developed safety initiatives. Bids for generic road and community safety campaigns will be directed through the corporate campaigns group which will use the unallocated UPG	February 2016	Heads of Finance and Planning, Performance and Communications.	Not Implemented Full implementation of recommendations are on hold pending final approval from Members. The 2016/17 budget remains in place and new arrangements proposed to be in place 2017/18.	31 st March 2017

November 2016

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		priorities for the forthcoming year. This exercise should then be repeated on an annual basis.	reserve in the first instance. As a result the revenue budget for each UPG budget will be reduced to £15,000 per year				
4a	Medium	There is a clear requirement for Unitary Performance Groups to enhance their processes of recognising, recording and managing project benefits to realisation. Enhanced links to corporate objectives and local priorities included in UPA Plans would also significantly improve this process.	The issue will be raised at the Performance Management Group with the aim of providing improved guidance and monitoring through the Corporate Programme Office.	January 2016	Heads of Planning, Performance and Communication and Service Delivery.	Not Implemented Full implementation of recommendations are on hold pending final approval from Members. The 2016/17 budget remains in place and new arrangements proposed to be in place 2017/18.	31 st March 2017
4b	Medium	Officers preparing project bids should clearly link project outputs to adequately		January 2016	Heads of Planning, Performance and	Not Implemented Full implementation of recommendations are on hold pending final	31 st March 2017

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		defined benefits that may be quantitative and/or qualitative in nature to enable effective monitoring and subsequent evaluation. Examples of measurable benefits can be found in Appendix C.			Communication and Service Delivery.	approval from Members. The 2016/17 budget remains in place and new arrangements proposed to be in place 2017/18.	
4c	Medium	Meetings of the Unitary Performance Groups should be a key forum for the monitoring of benefits included in business cases approved for implementation. In order to facilitate the forum, Service Delivery Managers may benefit from maintaining a 'Benefits Tracker' to record benefits included in approved business		January 2016	Heads of Planning, Performance and Communication and Service Delivery.	Not Implemented Full implementation of recommendations are on hold pending final approval from Members. The 2016/17 budget remains in place and new arrangements proposed to be in place 2017/18.	31 st March 2017

Rec No	Risk Rating	Recommendation(s)	Management Response	Action Deadline	Person(s) Responsible	Status as at October 2016	Revised Deadline
		<p>cases and manage the transition to benefits realisation.</p> <p>It is acknowledged that following project implementation, true outcomes and benefits of a project may not accrue or be realised immediately. However, it is imperative that Unitary Performance Groups undertake a 'Post-Implementation Impact Evaluation' of all projects/schemes in an attempt to assess the extent to which desired outcomes and benefits have been achieved. This process will be more efficient if smaller schemes of a similar nature and desired outcome are grouped</p>					



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		into programmes. A separate recommendation to this effect has been made in this report.					
5	Medium	<p>UPGs may benefit from initiating, managing and implementing similar projects/schemes collectively in the form of a Programme*, based on the set of activities such as Station Open Days Programme, Cycle Safety Programme, Local Arson Reduction Programme etc. This could mean that:</p> <p>A programme level business case/bid (including funding, deliverables and outcomes) are approved</p>	This will be addressed primarily through the Corporate Campaigns Group which will work with relevant managers to differentiate between local projects and corporate campaigns and programmes.	March 2016	Head of Planning, Performance and Communications.	Not Implemented Full implementation of recommendations are on hold pending final approval from Members. The 2016/17 budget remains in place and new arrangements proposed to be in place 2017/18.	31 st March 2017

November 2016

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		<p>annually;</p> <p>Quarterly reporting on programme performance can be established to meetings of the UPG and PMG;</p> <p>Programme level benefits can be monitored to realisation by the relevant Unitary Performance Group.</p>					
6	Low	The Service may benefit from reminding all Officers and Members (when preparing and approving bids) to consider and highlight any risks that the Cheshire Fire and Rescue Service may be exposed to as part of implementing the	Training and guidance sessions will be developed by the Corporate Programme Office in conjunction with local Service Delivery Managers.	March 2016	Head of Planning, Performance and Communications.	Not Implemented Full implementation of recommendations are on hold pending final approval from Members. The 2016/17 budget remains in place and new arrangements proposed to be in place 2017/18.	31 st March 2017

November 2016

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		particular project/scheme. Risks included in successful bids should then be adequately captured and regularly managed in accordance with CFRS's Risk Management Strategy/Framework and monitored by UPGs as part of their role of monitoring effective project implementation.					
7	Low	Unitary Performance Groups may benefit from producing and formally approving terms of reference for their operation. This should be followed by an annual self-assessed effectiveness reviews to	While comparison of unitary performance is carried out by the Performance Management Group, it is acknowledged that the sharing of best practice could be improved. Options to address this while minimising the impact on management time will be	February 2016	Heads of Service Delivery and Planning, Performance and Communications.	Not Implemented Full implementation of recommendations are on hold pending final approval from Members. The 2016/17 budget remains in place and new arrangements proposed to be in place 2017/18.	31 st March 2017

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		<p>determine whether the groups have consistently and effectively discharged their duties as determined by the terms of reference. The groups may also wish to consider the preparation of minutes of quarterly meetings to ensure that an accurate record of discussions, key decisions and attendance is maintained.</p> <p>Furthermore, Unitary Performance Groups may benefit from undertaking joint sessions on a periodic basis, especially prior to the production of individual UPG Plans and a mechanism to</p>	<p>discussed at PMG, as will the TOR and opportunities to improve the recording of actions while minimising bureaucracy.</p>				



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		<p>allow sharing of unitary data, performance and key projects/schemes that may be beneficial to implement across the four Unitary Performance Areas. Furthermore, the Unitary Performance Groups should aim to centralise the procurement of safety awareness products/services to achieve value for money and introduce uniformity in the specification and branding of all such material.</p>					



Appendix A: Assurance Definitions and Risk Classifications

Level of Assurance	Description
High	Our work found some low impact control weaknesses which, if addressed would improve overall control. However, these weaknesses do not affect key controls and are unlikely to impair the achievement of the objectives of the system. Therefore we can conclude that the key controls have been adequately designed and are operating effectively to deliver the objectives of the system, function or process.
Significant	There are some weaknesses in the design and/or operation of controls which could impair the achievement of the objectives of the system, function or process. However, either their impact would be minimal or they would be unlikely to occur.
Limited	There are weaknesses in the design and / or operation of controls which could have a significant impact on the achievement of the key system, function or process objectives but should not have a significant impact on the achievement of organisational objectives.
No	There are weaknesses in the design and/or operation of controls which [in aggregate] have a significant impact on the achievement of key system, function or process objectives and may put at risk the achievement of organisational objectives.

Risk Rating	Assessment Rationale
Critical	Control weakness that could have a significant impact upon, not only the system, function or process objectives but also the achievement of the organisation's objectives in relation to: <ul style="list-style-type: none"> • the efficient and effective use of resources • the safeguarding of assets • the preparation of reliable financial and operational information • compliance with laws and regulations.
High	Control weakness that has or is likely to have a significant impact upon the achievement of key system, function or process objectives. This weakness, whilst high impact for the system, function or process does not have a significant impact on the achievement of the overall organisation objectives.
Medium	Control weakness that: <ul style="list-style-type: none"> • has a low impact on the achievement of the key system, function or process objectives; • has exposed the system, function or process to a key risk, however the likelihood of this risk occurring is low.
Low	Control weakness that does not impact upon the achievement of key system, function or process objectives; however implementation of the recommendation would improve overall control.

Appendix B: Follow-Up Distribution and Contacts

Follow-Up Report Distribution

Name	Title	Report Distribution
Performance & Overview Committee		PDF

Review prepared on behalf of MIAA by

Name: Michael Nulty

Title: Audit Manager

Telephone: 0161 743 2028

Email: michael.nulty@miaa.nhs.uk

Name: Kevin Lloyd

Title: Assistant Director

Telephone: 0161 743 2029

Email: kevin.lloyd@miaa.nhs.uk

Acknowledgement and Further Information

MIAA would like to thank all staff for their co-operation and assistance in completing this follow-up review.

This report has been prepared as commissioned by the organisation, and is for your sole use. If you have any queries regarding this review please contact the Audit Manager. To discuss any other issues then please contact the Director.