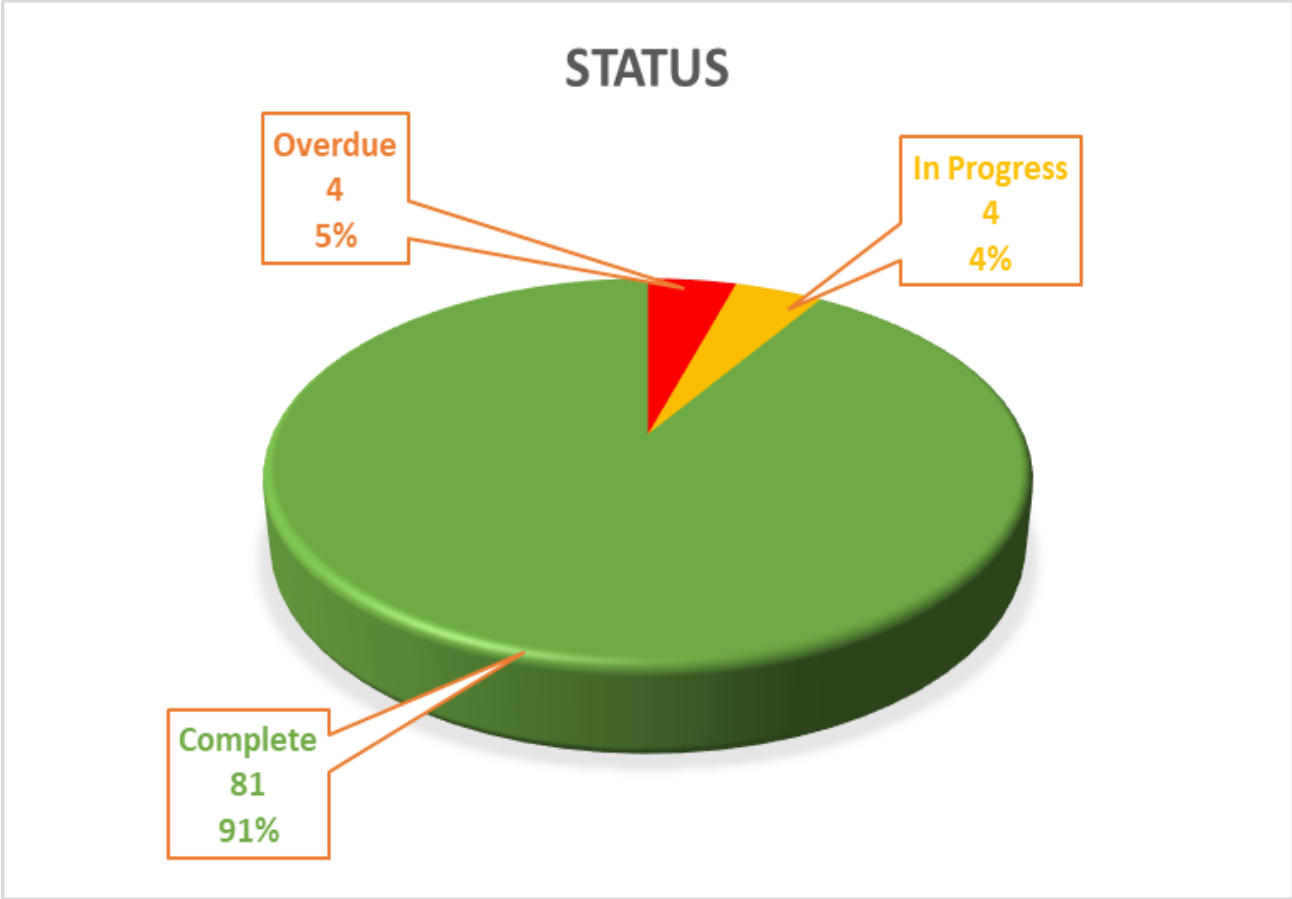


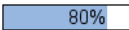
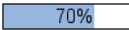
# BMKFA Audit Management Actions Summary Pie

Generated on: 24 October 2023



# BMKFA Overdue Audit Management Actions

## Medium Priority

Audit Title & Management Action	Description	Due Date	Priority	Action Owner	Action Progress	Latest Note
BMKFA 2021 2119 GDPR (4) Retention and Destruction	<p><b>Finding:</b>            The Records Retention and Disposal Information Asset Register procedure states that information stewards are responsible for ensuring the timely archiving and/or destruction of records and advising the Information Owners where it is believed a retention timescale should be amended following legislation or business needs. The Information Governance and Compliance Manager is responsible for maintaining and reviewing records management processes. The retention schedules for departments and stations are defined within the ROPA. The Authority relies on stewards to ensure that electronic data is disposed of per the retention schedule. However, there is no mechanism in place to ensure this takes place.</p> <p><b>Risk:</b>            If no adequate processes are in place to ensure lawful retention schedules and/or destruction of electronic records, there is a risk of accidental and/or unlawful alteration, destruction, or authorised personal data disclosure.</p> <p><b>Action:</b>            Agreed. A mechanism to review data disposals inline with the retention schedules will be formalised and monitored.</p>	31-Jul-2023	Medium Priority	Graham Britten		Update from Director of Legal & Governance 17/10/2023: Training package proposals submitted by Buckinghamshire Council approved.
BMKFA 2122 2228 PMO Assurance (2) The PMO's Standardisation of Project Processes	<p><b>Finding:</b>            The Head of Transformation, Technology, and PMO provided the Authority's guidelines around a project's process to ensure consistent and effective delivery. This included a detailed PMO presentation, a project life-cycle and various templated documents available for project managers. Furthermore, evidence was provided of an eLearning package and a page on the Fire Authority's intranet for PMs to review, explaining the process. In its design, the PMO's outlined a clear framework for consistency and successful delivery of projects. However, testing a sample of projects commencing after the PMO's creation outlined inconsistencies in the process they should follow and discrepancies regarding which documentation was completed for each project. The findings are as follows:</p> <ul style="list-style-type: none"> <li>• 1/3 projects is without a completed project mandate;</li> <li>• 2/3 projects are without a completed business case;</li> <li>• 1/3 project is without a completed PID;</li> <li>• 3/3 projects are without a completed risk register which is key to reviewing the</li> </ul>	31-Jul-2023	Medium Priority	Anne-Marie Carter		Update from Head of Transformation, Technology, and PMO 17/10/2023: Work is ongoing to address the risks identified across all remaining PMO assurance findings. Revised target date is now 31 March 2024.

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	<p>risks and controls in place within a project;</p> <ul style="list-style-type: none"> <li>• 3/3 projects are without a completed project plan, resulting in a lack of progress monitoring during the life of a project;</li> <li>• 3/3 projects are without a highlight report that updates management on key areas such as managing risks and their impact; and</li> <li>• 3/3 projects are without evidence of stakeholder communication for any of the projects that have commenced after creating the Authorities PMO function, despite stakeholders being outlined within the early project documentation.</li> </ul> <p>Furthermore, we were informed that Property capital projects do not follow the process outlined within the PMO's lifecycle document. Consequently, they did not have evidence of the key documentation such as mandates, PID, business case and risk registers. These are key documents for successful project delivery and should be evident across all types of projects.</p> <p><b>Risk</b> If project managers fail to follow the standardised process set out by the PMO and neglect certain documentation which should be completed, best practice will not be consistently followed throughout the Authority. This could result in the failure to deliver projects to the standard expected.</p> <p><b>Action</b> 1. Launch Project Management e-Learning package. 2. Document a Property capital project process. 3. Introduce a PMO KPI relating to following the project process as part of finding</p>					
<p>BMKFA 2122 2228 PMO Assurance (3) Projects Over Budget/Time Request Approval</p>	<p><b>Finding:</b> The Head of Transformation, Technology and PMO confirmed that the Authority does not currently have an official process for extensions and instead held informal conversations with project managers. They encourage RAG ratings for updates within a project regarding budgets and timescales. However, going beyond estimated figures does not require approval. We were informed that this was due to the PMO being in its infancy.</p> <p><b>Risk:</b> If there is no formal process to request additional budget requirements and timescale extensions, the budget may be exceeded without the Authority's notice and approval, putting unnecessary pressure on the Authority's overall budget.</p> <p><b>Action:</b> Refresh and relaunch the change control process relating to projects.</p>	<p>31-Jul-2023</p>	<p>Medium Priority</p>	<p>Anne-Marie Carter</p>	<p><input type="text" value="75%"/></p>	<p>Update from Head of Transformation, Technology, and PMO 17/10/2023: Work is ongoing to address the risks identified across all remaining PMO assurance findings. Revised target date is now 31 March 2024.</p>

## Low Priority

Audit Title & Management Action	Description	Due Date	Priority	Action Owner	Action Progress	Latest Note
BMKFA 2122 2228 PMO Assurance (5) Centralised System	<p><b>Finding</b> The Head of Transformation, Technology and PMO confirmed there was no centralised system for the storage of project documentation. There was evidence of a project dashboard, presented on an excel spreadsheet, which summarised the progress of all projects underway and in the review stage. This stated some key dates, the names of PMs and progress updates. However, there is no evidence of a system where documents can be accessed for each project. This would be beneficial from an audit trail perspective and allow PMs to follow previous projects' processes and learn from their mistakes.</p> <p><b>Risk</b> Without a centralised system to store and access project documentation, there are missed opportunities to share important lessons learned across the organisation and avoid re-occurrences.</p> <p><b>Action</b> Review the options available and launch a centralised system to store/review/access project documentation.</p>	31-Jul-2023	Low Priority	Anne-Marie Carter	0%	Update from Head of Transformation, Technology, and PMO 17/10/2023: Work is ongoing to address the risks identified across all remaining PMO assurance findings. Revised target date is now 31 March 2024.