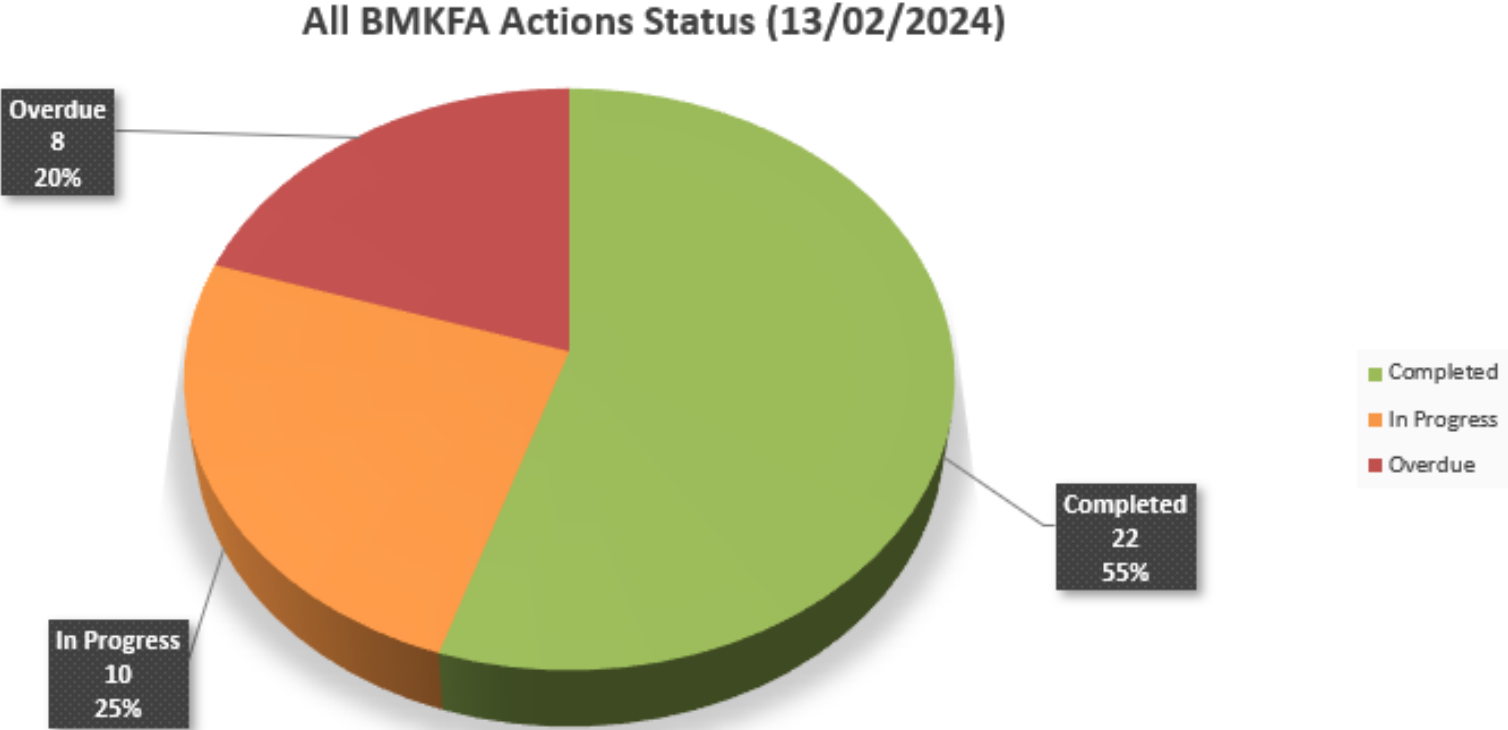


BMKFA Audit Management Actions Summary Pie

Generated on: 13 February 2024



BMKFA Overdue Audit Management Actions

Medium Priority

Audit Title & Management Action	Description	Due Date	Priority	Action Owner	Action Progress	Latest Note
Blue Light Hub Post Project Evaluation (03) Project Implementation Process	<p>Finding: Examination of the BMKFA Delivery Plan found that it included:</p> <ul style="list-style-type: none"> • an initial project plan; • use of resources; • project management; • a design release schedule and • an Indicative Procurement Timetable. <p>However, from a review of the design release schedule, we found that there were 18 activities that did not have the actual release dates recorded, of which 12 activities did not have a supplementary note to give a clear indication as to why the target design release date was not met and what the related construction issue may be.</p> <p>Action: The design release schedule was the responsibility of the main contractor, and due to the nature of the project, target deadlines for some activities were added as the project progressed.</p> <p>The “learning points” document produced by the previous Director of Finance and Assets highlighted that there may be more suitable methods of engaging a main contractor (e.g., design and build) in the future. This will be considered within a formal “lessons learned” report (see also findings 7 and 8).</p>	30-Nov-2023	Medium Priority	Mark Hemming	Action Started	<p>Update from Director of Finance 17/02/2024</p> <p>Now that remaining issues have been resolved a final project evaluation report will be prepared and presented through the internal governance structure and to Members.</p> <p>Updated due date 30 November 2024</p>
Blue Light Hub Post Project Evaluation (08) Lessons Learnt	<p>Finding: Examination of documentation found that the former Director of Finance and Assets produced a ‘Blue Light Hub – Learning Points’ document. This details project learning points from its initiation to February 2020.</p> <p>Following the completion of the Blue Light Hub build and transition of BMKFA, SCAS and TVP staff members, no formal lessons learned activity has occurred at the time of testing.</p> <p>Action: Following publication of this audit report, a formal “lessons learned” report will be</p>	30-Nov-2023	Medium Priority	Mark Hemming	Action Started	<p>Update from Director of Finance 17/02/2024</p> <p>Now that remaining issues have been resolved a final project evaluation report will be prepared and presented through the internal governance</p>

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	presented to the Portfolio Management Office, Senior Management Board and the appropriate Member Committee.					structure and to Members. Updated due date 30 November 2024
PMO Assurance (03) Projects Over Budget/Time Request Approval	<p>Finding: 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>Action: Refresh and relaunch the change control process relating to projects.</p>	31-Jul-2023	Medium Priority	Anne-Marie Carter	Agreed with Management	Update from Head of Technology, Transformation & PM 27/02/2024 The Change control process has been highlighted in the Project Management eLearning Package. Compliance will be reviewed at each Business Transformation Board.
PMO Assurance (02) The PMO's Standardisation of Project Processes	<p>Finding: 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"> • 1/3 projects is without a completed project mandate; • 2/3 projects are without a completed business case; • 1/3 project is without a completed PID; • 3/3 projects are without a completed risk register which is key to reviewing the risks and controls in place within a project; • 3/3 projects are without a completed project plan, resulting in a lack of progress monitoring during the life of a project; • 3/3 projects are without a highlight report that updates management on key 	31-Jul-2023	Medium Priority	Anne-Marie Carter	Action Started	Update from Head of Technology, Transformation & PM 27/02/2024 Action 1: Project Management eLearning package is ready to roll out and will be rolled out as part of the Project Management system launch in Q1. Action 2: Property Capital process has been agreed and will be incorporated into the next Property Strategy (Closed)

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	<p>areas such as managing risks and their impact; and</p> <ul style="list-style-type: none"> • 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. <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>Action:</p> <ol style="list-style-type: none"> 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 1. 					<p>Action 3: A KPI showing the projects that have the correct documentation is now part of BMKFA 2122 2228 (Closed)</p>
<p>GDPR (04) Retention and Destruction</p>	<p>Finding: 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>Action: Agreed. A mechanism to review data disposals inline with the retention schedules will be formalised and monitored.</p>	<p>31-Jul-2023</p>	<p>Medium Priority</p>	<p>Graham Britten</p>	<p>Action Started</p>	<p>Update from Director of Legal & Governance 19/02/2024: Training package to be delivered by nominees Q1. Not yet done.</p>

Low Priority

Audit Title & Management Action	Description	Due Date	Priority	Action Owner	Action Progress	Latest Note
Blue Light Hub Post Project Evaluation (07) Monitoring of Project Benefits	<p>Finding: The Director of Finance and Assets and the Property Manager established that there are no formal processes to monitor the continued benefits of the project since the transition of the three services. The Director of Finance and Assets informed us that the Portfolio Management Office will assess strategic level views.</p> <p>Action: This will be included within a formal “lessons learned” report (see also findings 3 and 8).</p>	30-Nov-2023	Low Priority	Mark Hemming	Action Started	<p>Update from Director of Finance & Assets 17/02/2024:</p> <p>Now that remaining issues have been resolved a final project evaluation report will be prepared and presented through the internal governance structure and to Members.</p> <p>Updated due date 30 November 2024</p>
PMO Assurance (05) Centralised System	<p>Finding: 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>Action: Review the options available and launch a centralised system to store/review/access project documentation.</p>	31-Jul-2023	Low Priority	Anne-Marie Carter	Agreed with Management	<p>Update from Head of Technology, Transformation & PM 27/02/2024</p> <p>A supplier and system have been identified. A project Plan has been built, with a go live planned for Q1(24/25).</p>
Pension Fund	<p>Finding: There were issues in July 2022 where Pension Set Up/Payment of Lump Sum,</p>	31-Dec-12-2023	Low Priority	Emma Hamilton	Agreed with	Requested update on 14/09/2023 & 26/09/2023.

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Administration (01) Performance /KPIs	<p>Retirement Actual and Deferred Benefits Set Up on Leaving did not reach their targets. This was highlighted in the following Pension Board meeting. However, there is a lack of evidence concerning scrutiny and challenge within minutes. In addition, no review of whether KPIs are still fit for purpose or whether they should be amended has taken place.</p> <p>If KPIs are not scrutinised in detail, and this is documented in minutes, there is a risk that any underperformance is not being rectified in time. This could lead to continuous poor performance, which could impact the Authority's reputation and/or create financial loss.</p> <p>Action: A review of the current KPI's with WYPF at the Pension Board to ensure they are fit for purpose. These KPI's will be scrutinised and challenged by the board and minutes documented.</p>				Management	No response received.