

Appendix A
SWAP Quality Assessment Improvement Plan (QAIP)

Final Action Plan

Finding	Recommendation	Priority Rating	Management Response	Responsible Officer	Implementation Date
SWAP has no formal process for benchmarking its costs or performance.	I recommended that the SWAP Management Team devise a process for benchmarking SWAP against other service providers.	3	Through this process we have engaged with like Partnerships and are currently looking at the option of comparing data with them. A Benchmarking exercise has been conducted and reported to the Management Board at their meeting on the 11 th December 2012.	Group Audit Manager, Quality and Delivery	December 2012, Complete
Periodic Reviews of SWAP to be regularly completed.	I recommend that the SWAP Management Team agree a time period for regular reviews, currently recommend every five years minimum, with an interim review part way through the agreed period.	3	This Action Plan will be kept under constant review. We envisage completing a full review every three years.	Head of Internal Audit Partnership	On-Going March 2015

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The Registers for Declaring Interests and Gifts or Hospitality are not reviewed by the SWAP Management Team.	I recommend that the SWAP Management Team periodically review the Gifts and Hospitality Register and sign the document off as an accurate record.	3	The current Register has been reviewed and signed off. This will form part of a quarterly review by the SWAP Management Team.	Head of Internal Audit Partnership	Completed and On-Going
	I also recommend that the SWAP Management Team review the Declaration of Interest Register at least annually to approve all declarations as acceptable and ensuring that adequate processes are in place to manage any potential conflicts.	3	The current Register has been reviewed and we are currently in the process of informing staff of our response to their declaration.	Group Audit Manager, Quality and Delivery	Completed and On-Going
A Register capturing Declarations of Interest is maintained by the PA to the HoIAP. However, there are no annual reminders sent out and as a result the Register is out of date.	I recommend that the SWAP Management Team ensure that annual reminders are sent out to all staff with specific reference to any items individuals may have on the Register to ensure it is current.	3	This has been completed as agreed.	PA to HoIAP	Completed
The Audit Manual has not been regularly reviewed. The process for updating and adding new procedures has become disjointed and	I recommend that the content page of the existing Manual is revisited by the SWAP Management Team to ensure it is relevant, accurate, current	3	Agreed. A Revised date has been agreed for this as we plan to incorporate the Manual into our new web-site and	Head of Internal Audit Partnership	March 2013 September 2013

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staff do not have access to the whole Manual, only the documents held on the MKi Library	and complete.		Intranet area for staff.		
	I also recommend that the SWAP Management Team ensure that each documented procedure is reviewed for accuracy and currency and that where gaps are identified, a plan is put in place to develop the Manual further.	3	Agreed. As above.	Head of Internal Audit Partnership	March 2013 September 2013
	Whilst waiting for an MKi solution, I recommend that the Head of Internal Audit Partnership ensures that the Audit Procedure Manual is made available to all staff on the shared drive via a shortcut link from their pc desktop.	3	We need some help with the technical solution and will pursue this with or IT Support at SDC. As above.	Head of Internal Audit Partnership	October 2012 September 2013
SWAPs Mission, Vision and Objectives are all captured in the Partnership Business Plan. However, these are not regularly reviewed or presented to staff for	I recommend that the Head of Internal Audit Partnership ensures that awareness of the Mission, Vision and Objectives of SWAP is periodically raised with staff.	3	Promotion of this to staff is now included in the SWAP Communication Strategy . This will also be promoted by HoIAP at staff Away Day 24 th April 2012 – See Agenda	Group Audit Manager, Quality and Delivery Head of Internal Audit Partnership	Completed Completed

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refreshment.					
Staff Suggestions whilst discussed at Management Team Meetings there is not always evidence to support that they have been 'formally' responded to.	Reported Verbally	2	Staff Suggestions, where agreed, are now included in Management Key Messages and individuals responded to immediately after the Management Team Meeting.	Head of Internal Audit Partnership	Completed
Somerset Waste Partnership and possibly SPTC who do not have agreed IA Charters should at least have a document that outlines External Client Engagements.	I recommend that the Head of Internal Audit Partnership engages with external bodies where an annual opinion is offered to ensure an External Clients Engagement document is introduced and agreed.	3	There are currently two clients this applies to. We have started to draft a suitable document for agreement by these clients. Severn Park Training Centre adopted an Internal Audit Charter some time ago. The Somerset Waste Partnership are just in the process of adopting one.	Group Audit Manager, Quality and Delivery	One Completed and One In Progress October 2012, Complete
While SWAP has a good process for Training, including a Strategy, it does not have a formal process for effectively measuring CPD.	I recommend that the Group Audit Manager, Resources introduces a framework whereby CPD can be demonstrated and monitored.	4	Agreed - Initial enquiries have been made with the IIA.	Group Audit Manager, Resource Management	Completed and On-Going
	I recommend that when devising in-house training courses that	4	Agreed – as and when internal courses are devised.	Group Audit Manager, Resource Management	Completed and On-Going

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	the Group Audit Manager, Resources ensures that they are assessed for CPD value.				
	I recommend that the Group Audit Manager, Resources gives consideration to identifying suitable training for audit staff in relation to technical areas they may be required to audit as this could improve the quality and credibility of the audit service to clients.	3	At the moment we rely on staff carrying out adequate desk review of a service before commencing an audit. We have completed specific training in the past such as SAP. However, we will consider this need further.	Group Audit Manager, Resource Management	December 2012
SWAP does not have a Document Retention Policy.	I recommend that the Head of Internal Audit Partnership ensures that a Document Retention Policy is developed with SWAP which includes the secure disposal of information no longer required.	3	Auditors obtain data securely and electronically. Such data is held within MKi and we will explore with MKi the best options for cleansing this data at regular intervals. A Policy will be developed to reflect this and to comply with regulations and operational need.	Group Audit Manager, Planning and Performance.	December 2012
It is not explicit within the Data Sharing Policy that SWAP will only share data with outside bodies if they receive consent from the	I recommend that the Group Audit Manager, Resources includes a more definite statement within the Data Sharing Policy which confirms	2	These documents have only just been signed. However, changes have already been suggested by the SCC Client Officer and we will incorporate this and the	GAM, Resource Management	28/11/2012

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relevant Partner.	that SWAP will never share a Partners data without first receiving their consent.		recommended change in the next revision of the document.		
The Staff Questionnaire Returns have highlighted a number of matters that need consideration by the Management Team and a plan devised as to how SWAP will respond to improve some of the issues raised.	I recommend that the SWAP Management Team review the results of the staff questionnaire and focus priority on the four areas identified above.	3	Agreed.	SWAP Management Team	Completed and reflected in actions below
	I also recommend that the SWAP Management Team review the comments made by staff and prepare a response plan for each theme, where appropriate. <i>(One method maybe for Group Audit Managers to be assigned a theme and work with groups of staff to address the points raised).</i>	3	Agreed.	SWAP Management Team	Completed and reflected in actions below
The Client Questionnaire Returns have highlighted a number of matters that	I recommend that the SWAP Management Team review the results of the client	4	Agreed. Meetings have taken place with	SWAP Management Team	October 2012 In Progress

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need consideration by the Management Team and a plan devised as to how SWAP will respond to improve some of the issues raised.	questionnaire and focus priority on the three areas identified above.		some of the clients who scored lower than a three on their assessment to establish whether there are any underlying issues. Comments will be fed back to Management Team to discuss further.		
	I also recommend that the Head of Internal Audit Partnership ensures that Group Audit Managers follow up all scores assessed below 3 (Good) with individual Client Officers.	4	Agreed. As above.	SWAP Management Team	October 2012 In Progress
	In line conjunction with following up on scores assessed below 3 (Good), I recommend that the Head of Internal Audit Partnership ensures that Group Audit Managers follow up on all comments made with individual Client Officers.	4	Agreed. As above.	SWAP Management Team	October 2012 In Progress
The desk review section of the Initial Meeting Template could be enhanced by including Physical Properties.	Reported Verbally	2	This will be considered at the next review/update of the IMT.	GAM, Quality and Delivery	Completed

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The HoIAP does not have a Job Description.	I recommend that the Chair of the Management Board, in liaison with the HoIAP draws up a Job Description and Personal Specification for the HoIAP outlining the role and requirements of the post holder; both documents should be formally agreed by the Management Board.	3	TBA	Chair of the SWAP Management Board	TBA
<p>External assessments must be carried out at least once every five years by a qualified independent reviewer or team from outside the organisation. The chief audit executive must discuss with the board:</p> <p>The need for more frequent external assessments; and</p> <p>The qualifications and independence of the external reviewer or review team, including any potential conflict of</p>	<p>I would therefore recommend the following:</p> <p>The Head of Internal Audit Partnership (HoIAP) should use the results of this review to determine whether there is a need for more frequent external assessment.</p>	3	<p>The results of this Assessment have been favourable identifying no failings with regards to the Standards.</p> <p>However, as referred to above we will endeavour to carry out a full Quality Review Assessment every three years.</p>	Head of Internal Audit Partnership	March 2015

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interest.”					
	As a very minimum it is essential that the HoIAP ensure that the observations and issues arising from this Assessment form the basis of a Quality Assessment Improvement Plan (QAIP).	4	Agreed – this document becomes SWAP’s QAIP.	GAM, Quality and Delivery	Completed
	The HoIAP in conjunction with the Management Board should ensure that the QAIP is developed and reviewed at least annually to ensure continuous improvement.	3	Agreed.	Head of Internal Audit Partnership / SWAP Management Board	On-going
ACTIONS IN RESPONSE TO STAFF FEEDBACK:					
Managing Plans across all Audit Managers seems to be becoming unwieldy. Lack of structure and difficulties in working for a number of AM’s in each quarter.	The Group Audit Manager, Planning and Performance will revisit the planning process and consider the benefits of geographical planning in three areas. Provide quarterly plans as far in advance as possible.	3	The Plan has now been allocated on a geographical basis but will continue to remain flexible to meet the needs of our Partners.	Group Audit Manager, Planning and Performance	Completed and in Progress

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The increase in internal procedures appears to be leading to inefficiencies.	Group Audit Managers to produce an outline process chart of SWAP procedures to be analysed in detail by Audit Managers to identify areas for potential efficiency.	3		Group Audit Managers and Audit Managers	March 2013
Lack of clarity of strategic direction of SWAP.	Management Team to raise awareness of SWAP's vision, strategy and priorities (see above). MT to provide an overview of Strategy and Budget to Audit Managers Meeting.	4		Head of Internal Audit Partnership	Completed in Progress
Whilst communication has improved there is a perceived lack of understanding of the why decisions have been taken.	Management Team to ensure that when decisions are communicated, an explanation as to the why should be included.	3		SWAP Management Team	Immediate and on-going
General Lack of Awareness of Planning Process.	Group Audit Manager, Resource Management to ensure Induction Programme is updated to include an overview of the Audit Planning Process.	3		Group Audit Manager, Resource Management	Immediate and on-going

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	Group Audit Manager, Planning and Performance to provide an overview of SWAP's Planning Process at the next Away Day.	3		Group Audit Manager, Planning and Performance	October 2012
Perceived Poor IT Performance	Group Audit Manager, Planning and Performance to move the hosting of MKi to Morgan Kai to increase resilience and limit disruption to service.	4		Group Audit Manager, Planning and Performance	Completed
	Group Audit Manager, Quality and Delivery in liaison with the current service host (SDC) to investigate options and solutions for the poor performance of the PANDA Server.	4		GAM, Quality and Delivery	In Progress
New PSIAS to be released by January 2013.	Management Team to provide an overview and make necessary updates to SWAP Charters etc to ensure on-going compliance.	3	This action is in progress; however it has been agreed to revise the target date to June /July to coincide with the Annual Opinion reports.	Management Team	April 2013 June / July 2013