

SWAP Quality Assessment Improvement Plan (QAIP)

Final Action Plan

Finding	Recommendation	Priority Rating	Management Response	Responsible Officer	Implementation Date
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.	Chief Executive	On-Going March 2015
The Audit Manual has not been regularly reviewed. The process for updating and adding new procedures has become disjointed and staff do not have access to the whole Manual, only the documents held on the MKi Library.	I recommend that the content page of the existing Manual is revisited by the SWAP Management Team to ensure it is relevant, accurate, current and complete.	3	Agreed. In Progress - Intranet has only just been completed and going through final testing – Manual and procedure documents will be refreshed and uploaded.	Chief Executive	September 2013 On-Going
	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. In Progress – focus has been on Financial and HR Processes – others will be reviewed in line with above.	Chief Executive	September 2013 On-Going

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	Whilst waiting for an MKi solution, I recommend that the Chief Executive 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. In Progress with above.	Chief Executive	October 2012 On-Going
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 Company Secretary introduces a framework whereby CPD can be demonstrated and monitored.	4	Agreed - Initial enquiries have been made with the IIA.	Company Secretary	Completed and On-Going
	I recommend that when devising in-house training courses that the Company Secretary ensures that they are assessed for CPD value.	4	Agreed – as and when internal courses are devised.	Company Secretary	Completed and On-Going
SWAP does not have a Document Retention Policy.	I recommend that the Chief Executive 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. As part of the development of the Intranet we are looking at the retention of documents.	Director of Planning and Performance.	December 2012 May 2014

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The Client 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 client questionnaire and focus priority on the three areas identified above.	4	Agreed. Some clients have been seen but we have failed to complete this action and in some respects it will have lost its relevance – I would suggest that the questionnaire is re-launched.	SWAP Management Team	October 2012 June 2014
	I also recommend that the Chief Executive ensures that Directors follow up all scores assessed below 3 (Good) with individual Client Officers.	4	Agreed. As Above	SWAP Management Team	October 2012 June 2014
	In line conjunction with following up on scores assessed below 3 (Good), I recommend that the Chief Executive ensures that Directors follow up on all comments made with individual Client Officers.	4	Agreed. As Above	SWAP Management Team	October 2012 June 2014
The CEO does not have a Job Description.	I recommend that the Chair of the Management Board, in liaison with the Chief Executive draws up a Job Description and Personal Specification for the Chief Executive 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 Board	TBA

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<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 interest.”</p>	<p>I would therefore recommend the following:</p> <p>The Chief Executive 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>	Chief Executive	March 2015
	<p>The Chief Executive in conjunction with the Management Board should ensure that the QAIP is developed and reviewed at least annually to ensure continuous improvement.</p>	3	Agreed.	Chief Executive / SWAP Board	On-going

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ACTIONS IN RESPONSE TO STAFF FEEDBACK:					
General Lack of Awareness of Planning Process.	The Company Secretary to ensure Induction Programme is updated to include an overview of the Audit Planning Process.	3		Company Secretary	Immediate and on-going May 2014
Quality and timeliness of reporting is not always adequate – (Source DCC Review, point 2, 3, 4, 5)	<p>There appears scope to improve the quality and timeliness of reporting, but raw performance figures need more detailed examination to assess where the problem lies and to bring greater clarity to the definitions used in reporting performance.</p> <p>Staff used to deliver the DCC internal audit plan should have suitable experience and skills relative to the degree of challenge posed by individual audit themes.</p> <p>The timing of delivery of audits within the plan is a factor that is crucial to getting the optimal benefits from audit work by providing information to the organisation on issues at points in the planning and delivery cycle when it is likely to be of greatest use.</p>	4	<p>We will continue to closely monitor SWAP performance through KPI's.</p> <p>The SDR and Performance process has been reviewed and refreshed. As part of this the IIA Competency Framework will be completed by each Member of staff to identify specific training needs. In addition in collaboration with DAP and SAG we are profiling staff skills and experience.</p> <p>A programme of Quality reviews are being completed by the GAM's and results fed back to staff, with individual performance issues being addressed.</p> <p>Review and maintenance of Audit Universe.</p>	SWAP Management Team/Board	On-going Immediate and on-going Immediate and on-going

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Partner Websites do not all have clear links to the SWAP website. (Source FFL Reviews)	Audit Managers have agreed to liaise with Client Officers to ensure there is a clear link from Partner Websites to SWAPs.	3	Agreed	SWAP Management Team/ Audit Managers	April 2014