

SUMMARY OF RECOMMENDATIONS

Name of Audit Report	Original Number of High & Medium Recs.	Recommendations – Current Status	Manager Responsible	Date of JIAC Meeting Recs. Presented To
Follow Up of Previous Internal Audit Recs. (7.12/13)	3	<p>Rec. 3.7.8b – <i>Governance – Compliance with Delegated Limits – Follow Up Restated recommendation. The Authority should implement a system that ensures staff have received, read and understood key policies such as Financial Regulations. Completion date 31.10.13, revised to 31.01.14</i></p> <p>Current position as of 14.11.14 - Training product has been reviewed by Procurement / Finance Leads (August – October 2014) and the training packages were approved. Whilst the Procurement Team has identified that some minor changes which have occurred since, the OPCC has confirmed this should not delay the roll-out of the training. Details of all budget managers and those who require the training is readily available and it has been confirmed that L & D are able to progress with the implementation of the training within the next 2 weeks.</p>	FCFO / CFO	03.09.14 27.11.14
t-Police Implementation (16.13/14)	3	<p>Rec. 1.11B – <i>Analysis of non-purchase order invoices should be undertaken by the Finance team regarding the volumes and values of these types of invoices; to identify the proportion of those with and without purchase orders and this should also include a review of the suppliers these invoices relate to. Completion Date 31.08.14. This has been transferred to t-Police Benefits Realisation Project.</i></p> <p>Please note – This recommendation has been left on this report for information only.</p>	Head of Finance	03.09.14 27.11.14
Income & Debtors (12.13/14)	2	<p>Rec. 1.2a – <i>All requisitions for sales invoices should be confirmed as authorised appropriately prior to the invoice being generated and issued to debtors. Completion Date 01.06.14. Further work is needed – a matrix is to be developed and agreed with the Force. Revised Completion Date 30.09.14. COMPLETE</i></p>	Exchequer Services Manager	03.09.14 27.11.14

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Asset Management (11.13/14)	2	<p>Rec. 1.2a - <i>The Police and Crime Commissioner should delegate an asset disposal limit to the Chief Constable which can be used for disposing of vehicles not on the replacement programme and accepting auction bids that are below the reserve price. The PCC may wish to consider an approved percentage variance from the auction reserve price which can be accepted by the Fleet Manager without the need to seek further approval. – Completion Date – Immediate Effect. COMPLETE</i></p> <p>Rec. 1.2c - <i>Once approval has been given to dispose of a vehicle, it should be recorded on the asset replacement programme to help monitor the fleet budget. – Completion Date – Immediate Effect. COMPLETE</i></p>	<p>CPT Manager / Head of G4S FM</p> <p>Head of Facilities Management / Fleet Manager</p>	<p>03.09.14 27.11.14</p>
t-Police Systems Review (1.14/15)	4	<p>Rec. 4 – <i>A report to identify bank account detail changes should be developed and utilised to ensure that all changes are appropriately authorised. Completion Date 01.07.14. A change request has been made to Capgemini to ascertain potential options for providing the necessary report. Capgemini are at present still working on the change request. Revised Completion Date 31.10.14. A standard t-Police report is currently being run on a daily basis to check all suppliers created and amended on t-Police. This report ensures that there are sufficient controls in place regarding the creation and amendment of supplier records on t-Police. In the longer term a change request has been raised with Capgemini to produce an audit report for this function which better fits the requirements of the Force. Capgemini have written a specification for the report which has been agreed. Capgemini are now working on the report which should be ready to test before the end of the calendar year. Revised Completion Date 31.12.14</i></p>	Exchequer Services Manager	<p>03.09.14 27.11.14</p>
Fleet Management		<p>Rec. 2 – <i>Responsibility for monitoring vehicle utilisation should be identified and regular utilisation reports produced with action taken if underutilised vehicles are identified. Completion Date 30.09.14. COMPLETE</i></p> <p>Rec. 3 – <i>All vehicles should be serviced in line to the required schedule, every 10,000 miles. Although a 26 week mandatory safety inspection is undertaken should this precede the 10k service frequency. Exceptions to the 10,000 miles internal include motorbikes (every 2,500 miles) and HGV's (13 week inspections). Completion Date 01.08.14. COMPLETE</i></p> <p>Rec. 3a – <i>An escalation procedure should be introduced to enable Fleet</i></p>	<p>Fleet Manager</p> <p>Fleet Manager</p>	<p>27.11.14</p>

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		<p><i>Management to ensure any vehicles not being released for servicing are addressed. Completion Date 30.09.14. COMPLETE</i></p>	Fleet Manager	
		<p><i>Rec. 3b – Consideration should be given to introducing a spot check of the work undertaken at locations where there is not a Supervisor present. Completion Date 01.08.14. COMPLETE</i></p>	Fleet Manager	
		<p><i>Rec. 3c – Officers should be reminded of the importance of entering the correct odometer reading and the reasons for this requirement. Routine order will be raised to remind Officers to enter the correct odometer reading. Completion Date 28.07.14. Non-compliance with procedures will be included in the new performance information package. Completion Date 30.09.14. COMPLETE</i></p>	Fleet Manager	
		<p><i>Rec. 3d. – EMSOU should be contracted and reminded of the requirement to submit mileage records and comply with servicing schedules. Completion Date 01.08.14. COMPLETE</i></p>	Fleet Manager	
		<p><i>Rec. 4 – Inspection sheets should be carried out every week and retained, including for all EMSOU and pool car vehicles, whoever takes the car on either Monday or Friday should complete record in order to identify a responsible individual. The standard form available should be used in all instances. Completion Date 01.09.14. COMPLETE</i></p>		
		<p><i>Rec. 5 – Reconciliation between individual vehicle fuel usage records and the bunker levels should be undertaken at all locations and any variances identified and investigated. Evidence of this reconciliation should be retained. This will provide a further reconciliation with the Timeplan / dip record and the individual vehicle fuel usage. Completion Date 01.09.14. COMPLETE</i></p>		
		<p><i>Rec. 7 – The daily record form should include an amended statement of confirmation that the vehicle has been checked for road worthiness. Completion Date 30.09.14. COMPLETE</i></p>		

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Service Expectations-POCA (4.14/15)	3	<p>Rec. 1 – <i>In line with good practice we would recommend that the Policy and procedures be reviewed and updated on a bi-annual basis with evidence of this review being documented. In addition, the Force should detail a date of next review to ensure they are subject to formal scrutiny and all information is up to date, ensuring employees follow only the most up to date procedures.</i></p> <p><i>Standard operating procedures should also be documented covering all stages within the process. Completion Date 01.10.14. Due to operational priorities this piece of work is not yet complete and further work needs to be carried out on the recommendation. D/Supt. Wood, Director of Intelligence has requested that the policy includes an officer's guide to the practical approach to the seizure of cash under the Proceeds of Crime Act 2002. Revised Completion Date 31.12.14</i></p>	Director of Intelligence	03.09.14
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