

SUMMARY OF RECOMMENDATIONS

Name of Audit Report	Original No. of High & Med. Recs.	Recommendations – Current Status	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Data Returns – HMIC VFM Profiles (8.14/15)	3	<p>Rec. 1 a) <i>Procedures should be put into place to provide guidance on the collection and preparation of the data for the ADR501 & ADR502 data returns.</i> b) <i>Succession planning should be undertaken by providing training to an additional finance HR officer on the completion of the ADR501 & ADR502 data returns data returns. It was acknowledged that there were no current procedures in place for extracting the data off t-Police – the relatively new HR system which was implemented in April 2014. However, there were procedures for the previous system [Origin], of which the submissions being audited were taken. These guidance instructions have been submitted to the Auditor.</i></p> <p><i>The process and reports for t-Police were still being designed at the time of the audit with an external consultant. Once this work is complete, new procedures for t-Police will then be put into place, as well as training for specific team members. Implementation Date - Procedures to be developed for t-Police alongside the next reporting period commencing in May 2015 and be completed by end of August 2015. a) Guidance covering the collection and production of Lincolnshire Police data from t-Police for both the ADR501 and ADR502 data returns has been completed. COMPLETE. b) The nominated HR Support & Systems Assistant has effectively completed the necessary training by the HR Support & Systems Manager of how to collect and produce the data for Lincolnshire Police both ADR501 and ADR502 data returns. COMPLETE.</i></p>	Head of HR Shared Services, with the HR Support & Systems Manager	15.04.15 09.06.15

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Data Returns – HMIC VFM Profiles (8.14/15)	3	Rec. 2 a) Adequate audit trails should be maintained of all source documentation and calculations made to the data used to compile the ADR 501 & ADR 502 data returns. b) Adequate audit trails should also be maintained of the calculations of any subsequent amendments made to the ADR 501 & ADR 502 data returns. It was acknowledged that there had been a change in staff who prepared these reports over the past 18 months and that interim support had been provided. As such, some of the reports had not been version controlled and filed electronically as well as they should have been, for ease of future referencing. This has now been rectified. Implementation Date – At the next reporting period – May 2015. a) Audit trails for source documentation are in place for Lincolnshire Police data for both ADR501 and ADR502 data returns as of May 2015. COMPLETE. b) Audit rails of any necessary calculation are in place for Lincolnshire Police data for both ADR501 and ADR502 data returns as at May 2015. COMPLETE	Head of HR Shared Services, with the HR Support & Systems Manager	15.04.15 09.06.15
		Rec. 3 a) The data returns (ADR 501 & ADR 502) should be subject to independent review by another member of the HR Team. b) The data returns (ADR 501 & ADR 502) should also be subject to review by a designated member of the Force Senior Management Team. a) Accepted the recommendation and confirmed that arrangements are in place to train a HR Support & Systems team member to prepare the reports in future, which will then be reviewed by the HR Support & Systems Manager. b) Acknowledged that in the past the Force has not always been involved in checking the data prepared by HR, as this has not been a formal requirement. Implementation Date – At the next reporting period – May 2015. a) The HR Support & Systems Manager conducted a review of the data for Lincolnshire Police for both ADR501 and ADR502 data returns for 2014/15. COMPLETE. b) Force representatives have been involved in the process: Deputy Force Crime & Incident Registrar conducted a review of the data for Lincolnshire Police for both ADR501 and ADR502 data returns for 2014/15, which was sanctioned by the Head of Strategic Development. COMPLETE	Head of HR Shared Services, with the HR Support & Systems Manager	15.04.15 09.06.15

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ICT Change Mgt (12.14/15)	2	<p>Rec. 3.1 <i>Management should ensure that the Change Management Process document is updated as planned, and that the revised version of the same document is made available to all appropriate staff. The recommendation made for 3.1 is accepted. When the audit took place, the review of the change management process was in its initial stages. The processes have been reviewed and a draft document is being finalised for review by the head of IT. Following the audit, a deputy change manager was allocated straight away.</i></p> <p>Implementation Date – 31.03.15. <i>The document has been written and the Head of IT needs to sign off the document and processes that are being implemented. Once the document is signed off it will be distributed to the team for them to digest the new procedure. This will start from the CAB meeting due to be held on 4 May. Revised completion date is 4 May 2015.</i></p> <p>Implementation Date Revised to 04.05.15. <i>As the Change Manager, I am trying to work as closely to the new procedure that I have designed as possible directing people through this route where needed. The Head of IT is still to approve the final document, following some minor changes. This information will be cascaded to the department officially with the meetings being documented following the new process. There is a revised implementation date of 8 June 2015. The process should be implemented before this date, however, a realistic implementation date needed to be set, which will be met. The implementation of this recommendation has been pushed back due to time being spent on Regional Niche work going live. This recommendation is now a high priority to complete.</i></p> <p>Implementation Date Revised to 08.06.15</p>	Service Delivery Manager, IT	15.04.15 09.06.15

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ICT Change Mgt (12.14/15)	2	<p>Rec. 3.2 Management should ensure that a process is designed and documented regarding the checks on compliance with the Change and Release Policy and the Change Management Process document. The recommendation made for 3.2 is accepted. When the audit took place, the review of the change management process was in its initial stages. The processes have been reviewed and a draft document is being finalised for review by the head of IT.</p> <p>Implementation Date – 31.03.15. The document has been written and the Head of IT needs to sign off the document and processes that are being implemented. Once the document is signed off it will be distributed to the team for them to digest the new procedure. This will start from the CAB meeting due to be held on 4 May. Revised Implementation Date – 04.05.15. As the Change Manager, I am trying to work as closely to the new procedure that I have designed as possible directing people through this route where needed. The Head of IT is still to approve the final document, following some minor changes. This information will be cascaded to the department officially with the meetings being documented following the new process. There is a revised implementation date of 8 June 2015. The process should be implemented before this date, however, a realistic implementation date needed to be set, which will be met. The implementation of this recommendation has been pushed back due to time being spent on Regional Niche work going live. This recommendation is now a high priority to complete. Implementation Date Revised to 08.06.15</p>	Service Delivery Manager, IT	15.04.15 09.06.15

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Risk Mgt (15.14/15)	2	<p>Rec. 2 <i>The Force</i> – Each department should routinely undertake a review of their service area with a view of identifying, assessing and documenting the risks that would have an impact on the department achieving its objectives. Implementation Date – 30.06.15</p> <p>Rec. 3 <i>The Force</i> – a) There should be a consistent approach to the details recorded onto the Departmental Risk Registers. b) A review should be undertaken of each risk recorded onto the Department Risk Register to ensure that the mitigating controls documented adequately address the risk. c) A framework should be introduced to gain assurance that the mitigating controls identified on the Departmental Risk Registers are effective in minimising / mitigating the documented controls. d) The Departmental Risk Register should not be used as an action logs. Implementation Date 30.09.15</p>	Continuous Improvement Manager	15.04.15 09.06.15
Collaboration East Midlands Operational Support Services (EMOpSS) (9.14/15)	0	There are no high or medium recommendations on this audit report for Lincolnshire Police. This audit has been added for information only.	Deputy Chief Constable	06.09.15

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General Ledger (11.14/15)	2	Rec. 2 <i>For completeness and to maintain an adequate audit trail, the documentation supporting the journals should be maintained on file. This supporting documentation should include a description of the journal and evidence to support the reason for the journal being made, this could either be the evidence itself or cross reference to this. All journals will have backup attached. Implementation Date – Immediately. COMPLETE</i>	Reporting Manager	09.06.15
		Rec. 3 <i>Monthly control account reconciliations should be prepared by one member of staff and independently reviewed. The control account reconciliations preparation and review dates should be accurately recorded on the reconciliations. We have a schedule of all control accounts and who has completed them & the date they are then approved by management & dated. Implementation Date – Immediately. COMPLETE</i>	Head of Finance	09.06.15
Delivery of the Police & Crime Plan (14.14/15)	0	There are no high or medium recommendations made on this audit report. This audit has been added for information only.	RPO & Deputy Chief Executive	09.06.15
Payroll (inc. Pensions Contributions & Expenses) (17.14/15)	0	There are no high or medium recommendations made on this audit report. This audit has been added for information only.	Head of Finance	09.06.15
Income & Debtors (18.14/15)	0	There are no high or medium recommendations made on this audit report. This audit has been added for information only.	Head of Finance	09.06.15

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Asset Management (10.14/15)	1	Rec. 1 <i>An annual reconciliation should be carried out of the ICT assets recorded on the T-Police Asset Register and the Asset Register maintained by the ICT department. Reconciliation of the two will now be completed annually.</i> Implementation Date – 15/16 Accounts.	Head of Finance	09.06.15
Cash, Banking & Treasury Management (13.14/15)	3	Rec. 1 <i>Receipts books should be issued in sequential order. A log should be maintained of the receipt books in stock and the receipt books issued including who they have been issued to. The recommendation has been implemented.</i> Implementation Date – Immediately. COMPLETE	Exchequer Services Manager	09.06.15
		Rec. 2 <i>The Bank Mandate should be updated immediately. In the event of a bank mandate signatory leaving their employment, the bank mandate should be updated soon after the leaving date. A review should also take place to ensure that the number of employees with authorisation is sufficient. New Mandate to be produced. Implementation Date – 31.05.15. Mandate completed, waiting for final approval / sign off. Implementation Date Revised to 30.06.15</i>	FCFO	09.06.15
		Rec. 3 <i>All departments should be made aware of the process for dealing with cheques that are received by their departments. A regular routine order will be issued to make all HQ Staff aware of the process for dealing with cheques received into their respective departments. Implementation Date – Mar 2015. COMPLETE</i>	Exchequer Service Manager	09.06.15
Payments & Creditors (16.14/15)	1	Rec. 4 <i>To ensure that adequate security is maintained over the BACS payments system smart cards and passwords should not be shared. The current BACS software will become obsolete at the end of May 2015. The new solution will comply with the audit recommendation. In the meantime the Payment Run Control Sheet has been amended to record the user of the BACS IP card on a specific payment. Implementation Date – 31.05.15. The Payment Run Control Sheet has been amended to record user of BACS IP card. The implementation of the new BACS solution is due very shortly and will comply with the audit recommendation. Implementation Date Revised to 30.06.15</i>	Exchequer Services Manager	09.06.15

