

SUMMARY OF RECOMMENDATIONS

Audit Report & Recommendations	No. of 1 & 2 Priority Recs. in Audit	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
<p>Procurement – Sept 2015</p> <p>Rec. 4.1 – Relevant staff should be reminded of their requirements to adhere to the Financial, Contract and Procurement Regulations, with particular reference to appropriate quotes and timing of requisitions.</p> <p>Management Response – This will be covered in the communications that will be sent out following the approval for the new purchasing process. Once the policy is in place we will report on a monthly basis any invoices received without a PO that have had a retrospective PO raised.</p> <p>Management Response Update – Completion dates revised to January 2016. A meeting was held with the Force, where it was decided that G4S would provide arrangements that are more effective. This includes changing the purchasing regulations above £10k to fit better with the t-Police logic. The proposal is to have ideas written up with within the next few weeks ready for further discussions with the Force.</p> <p>A second meeting has been held between the PCC, Force and G4S staff to discuss the Purchasing arrangements of the Force. G4S presented a number of changes which would streamline the procurement process and which would mean amendments to the Contracts and Procurement Regulations. These changes have been agreed and G4S are now looking at how the changes will impact the configuration of t-Police. A further meeting to continue the process will be held on 9 March 2016.</p>	2	<p>Original Timescale 30.09.15</p> <p>Revised Timescale 31.01.16</p> <p>Further Revised Timescale 30.04.16</p>	Exchequer Manager / Force CFO	<p>24.11.15</p> <p>23.03.16</p>

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<p>Procurement – Sept 2015</p> <p>Rec. 4.2 – It should be written into the Central Purchasing procedures that for requisitions over £10k the CPU should review the attached documents to the requisition and the workflow to confirm that: It has been approved by the Head of Procurement, there has been approval for the award of contract at the appropriate level as stated in the Force’s Financial Regulations and the Force Account has approved –</p> <p>a) The CPU procedure has been revised as per the recommendation. CPU staff have been briefed on the importance of the additional check.</p> <p>b) A Capgemini change request has been raised to change the configuration of the purchasing approval timescale from 5 days to 30 days.</p> <p>The issues around approval of requisitions above £10k are fundamentally because the procurement regulations require 3 approvals which cannot be replicated in the configuration of t-Police.</p> <p>Management Response – b) Completion dates revised to January 2016. A meeting was held with the Force, where it was decided that G4S would provide some suggestions on how to streamline and make the purchasing arrangements more effective. This includes changing the purchasing regulations above £10k to fit better with the t-Police logic. The proposal is to have ideas written up within the next few weeks read for further discussions with the Force. This recommendation was completed at the end of January and can now be closed.</p>	2	<p>Original Timescale</p> <p>a) Complete</p> <p>COMPLETE</p> <p>b) 30.09.15</p> <p>Revised Timescale</p> <p>b) 31.01.16 - Completed by 31.01.16</p> <p>COMPLETE</p>	Exchequer Manager / Force CFO	<p>24.11.15</p> <p>23.03.16</p>

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<p>Firearms Licensing – Sept 2015</p> <p>Rec. 4.1 – The current procedural guidance should cover all key aspects of the firearms licensing process. The guidance should be reviewed and updated on at least an annual basis.</p> <p>Management Response – All process maps and procedural documentation within the Firearms Licensing Administration department is undergoing a review. All documentation will be reviewed annually and will be dated to enable an effective audit process. Firearms Seizure Policy, PD 149 refers to the Firearms Seizure Policy and is due for review in May 2016. All staff to be made aware of location and content of Authorised Professional Practice (APP) and Home Office Guidance. Marketing materials to be displayed in the office.</p> <p>Management Response Update</p> <p>Update from T/D/Supt. Davison – The Firearms Seizure Policy (PD149) is a police policy and will be reviewed in May 2016.</p> <p>Update from FAL Manager – Completed December / January 2016. New Standard operating procedures are in place for each process activity within Firearms Licensing e.g. Renewals, Grants, Variations, Visitors, Change of Addresses, and Notice of Sales etc. These will be maintained and reviewed on an annual basis with any changes being managed by way version control at the time any process change takes place. Links into the above response with the addition that all Firearms Licensing staff has been made aware of the location and content of APP and are able to access this. Further signposts to this information are to be displayed on notice boards within the Firearms Licensing Department Office.</p>	4	<p>Original Timescale 31.12.15</p> <p>COMPLETE</p>	<p>T/D/Supt. Davison</p> <p>FAL Manager</p>	<p>24.11.15</p> <p>23.03.16</p>

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<p>Firearms Licensing – Sept 2015</p> <p>Rec. 4.8 – Key performance indicators for the operational performance of firearms licensing should be set and monitored against on a regular basis. Performance indicators should include, but should not be limited to the turnaround time for both grants and renewals of firearm and shotgun licenses.</p> <p>Management Response – The wording of the key performance indicators have been agreed and are currently in base lining to enable a performance target to be established.</p> <p>Management Response Update – This recommendation is currently ongoing. Despite regular performance meetings we are still not in a position to set any KPIs for the Firearms Licensing Department. A further strategic review will commence from Monday 1 February 2016 where we hope to resolve this in the near future.</p>		<p>Original Timescale 30.11.15</p> <p>Revised Timescale 31.05.16</p>	<p>G4S Service Delivery Director</p> <p>CPT Manager DCC</p>	<p>24.11.15</p> <p>23.03.16</p>

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<p>Estates Management – Oct 2015</p> <p>Rec. 4.5 – Discussions with finance should take place to establish whether the T-Police system has any capability (current or planned) to report on commitments made. It may also be worthwhile establishing if any other departments are utilising manual systems / increased resources as a result to drive a solution to this. Ideally, an interface between Concept and T-Police should be developed, however if this is not possible the two systems should be reconciled periodically ensure that management information utilised from Concept is accurate.</p> <p>Management Response – a) Discussions have already taken place and it is advised that the direct interface is not viable. This remains an outstanding action on the T-Police Benefits Realisation Plan which is monitored by the T-Police Project Board.</p> <p>Management Response Update to a) – This was discussed at the t-Police project board in December but due to significant slippage and other priority actions this work has been re-forecast to 31.03.16. It remains on the Benefits realisation plan. A manual workaround has been implemented to upload financial information from t-Police into Concept on a monthly basis. However, this is an interim solution whilst work continues to progress a more timely and automated process. This will be subject to further discussion at the next Project Board 26.04.16.</p>	4	<p>Original Timescale a) 31.12.15</p> <p>Revised Timescale a) 30.05.16</p>	a) CPT Manager	<p>24.11.15</p> <p>23.03.16</p>

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<p>Management Response – b) It is known that the NPPH system can produce reports of outstanding orders – which should identify orders not paid. Therefore it should be relatively easy to combine this report with actual spend to produce a level of commitment budgeting. Reconciliation of T-Police and Concept will be implemented to commence 1st January 2016. Finance will work with Estates to understand the Concept system and the differences to ensure that the information budget managers need for decision making can be provided.</p> <p>Management Response Update to b) – Finance update to Hof FM – Currently Finance can't see that t-Police has the option to give a report that states all the PO's that haven't yet been receipted so Nick Ward is going to go back to Capgemini to see if such a report is possible. Reconciliation of t-Police and Concept has been implemented. Estates maintain a record of all PO's with committed values to assist decision making. Capgemini has responded to the query raised. However, the report format they provided was not considered fit for purpose. The Exchequer Manager has responded back to Capgemini and is seeking further advice.</p>	4	<p>Original Timescale b) 31.01.16</p> <p>Revised Timescale b) 30.04.16</p>	b) Head of Facilities Mgt	

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<p>Governance – Nov 2015</p> <p>Rec 4.2 – G4S and the OPCC, perhaps through the Force Commercial Partnership Team, should design and agree a framework for validating KPIs performance data on an on-going rotational basis, with the objective of gaining assurance over the accuracy of the KPI population data.</p> <p>Management Response – It is confirmed that a level of dip-sampling on performance data (even where performance is achieving the contracted level) is undertaken by the CPT – although this is on an ad-hoc basis. A framework will be implemented to ensure this validation is recorded and undertaken on a rotational basis.</p> <p>Management Response Update – This has been discussed and a plan is being developed to implement a validation process as recommended. All performance indicators are currently being reviewed to ensure all are live (with the whole associated 1,000 abatement points) by 31.03.16 to ensure year 5 of the Strategic Partnership commences with a full, fit for purpose performance framework. The CPT Manager will incorporate the new validation process wef 01.04.16 in line with the completed performance framework review.</p>	1	<p>Original Timescale 31.12.15</p> <p>Revised Timescale 01.04.16</p>	CPT Manager	23.03.16
<p>Risk Management – Nov 2015</p> <p>The Risk Management internal audit report has been finalised. There are no priority 1 and 2 recommendations in the report.</p> <p>This has been added for information only.</p>	0	N/A	N/A	23.03.16
<p>Cash, Banking & Treasury Management – Jan 2016</p> <p>The Cash, Banking & Treasury Management internal audit report has been finalised. There are no priority 1 and 2 recommendations in the report.</p> <p>This has been included for information only.</p>	0	N/A	N/A	23.03.16