Appendix A

SUMMARY OF RECOMMENDATIONS

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Firearms Licensing – September 201 **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. **Managers 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. **Managers Update As At 28.01.16** – 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. **Managers Update As At 07.06.16** – The performance of the Firearms Licensing department remains subject of ongoing discussion. Actual performance against the indicators is being reported so performance is currently being monitored and resources focused as necessary. A transformation proposal has been submitted which aims at significantly improving the turnaround times for grants, renewals and variations by October 2016. This transformation is to be discussed w/c 13 June 2016 with the aim of agreeing the timescale for KPIs becoming "live" (i.e. subject to financial penalties if not achieved). **Managers Update As At 03.10.16** – The DCC has implemented a Firearms Licensing Transformation Group and appointed D/Insp Shaw as the Force Firearms Licensing Manager. A common purpose for Firearms Licensing has been agreed with G4S to protect the public from foreseeable harm and to efficiently process licensing applications. A recovery plan has been put into place to deliver the required change, including the IT transformation which was presented to the group on 29.09.16. Implementation of the IT transformation is now subject to business case approval which will be sought during October 2016. The timescale for the delivery of the recovery plan will need to be extended to 31.01.17. **Managers Update As At 04.01.17** – A paper was submitted to the Police Crime & Strategy Board on 15 December 2016 which sought approval for:- 1. Business case for the digital transformation of Firearms Licensing 2. Resource requirements for 2017 3. Proposed performance indicators	2	**Original Timescale** 30.11.15 **Revised Timescale** 31.05.16 **Revised Timescale** 31.10.16 **Revised Timescale** 31.01.17 On track for completion by 31.01.17 **COMPLETE**	G4S Service Delivery Director CPT Manager DCC	24.11.15 23.03.16 27.07.16 18.10.16 01.02.17 05.04.17

All were approved. A decision paper is to be submitted to the PCC in the next week (i.e. by 11 January) for the funding of 1 & 2 above. Decision 3 above (i.e. performance indicators) will be documented on a contractual change control to formally introduce them so reporting can commence and therefore the Strategic Partner will be contractually held liable for the ongoing performance within the formal governance arrangements. This will therefore be completed by the current date included in the timescale below (i.e. 31 January 2017). **Managers Update As At 10.03.17** – A contractual change control has been completed and 8 key performance indicators will be applicable from 1st April 2017. These include the turnaround time for all new grant applications, the re-issue of certificates before expiry dates, updating of systems regarding certificate holder's details and those who transfer in / out the county. Failure to achieve the targets will result in financial penalty to the Strategic Partner. It is considered this recommendation has been delivered.				

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Asset Management – February 2016 **Rec. 4.1** – The Force should ensure that once the list has been completed appropriate arrangements are put in place including roles and responsibilities for maintenance of the inventory list. The Force should ensure that once the list has been completed, Finance review the list to ensure that the listed items have been accounted for correctly. **Managers Response** – Whilst the list is being completed discussions will continue between G4S and the CPT on the responsibilities that should be assigned to monitor and maintain it. The inventory list that is being completed should have little or no impact on the balance sheet as most items will have been accounted for under revenue expenditure but once it has completed it should be reviewed by finance to ensure this is the case. **Managers Update As At 08.06.16** – G4S FM have commenced work in compiling the asset / inventory list. However, having completed this for 4 major sites the amount of items requiring listing is excessive (nearing 10,000 items). CPT Manager to discuss with Force CFO the value of items to be included to enable this to be manageable. Progress has been made regarding ongoing responsibilities and a process is being developed. **Managers Update As At 04.10.16** – The CPT continues to liaise with the Force DCFO to review the value of items to be included within the retained asset register to enable this to be manageable. This is nearing completion and once a decision has been made the relevant assets will be listed. All other ongoing responsibilities have been ascertained, and therefore complete. Completion of this recommendation should be no later than 30 November 2016. **Managers Update As At 04.01.17** – A decision has yet to be reached on what actual items are to be classed as "assets" and to be included on the inventory / asset register. This has been discussed with the Force CFO, but due to the staffing situation since the retirement of the Force CFO at the end of September, coinciding with the budget setting cycle this has not been resolved. The intention is to finally resolve this by the end of Q4 2016/17. **Managers Update As At 14.03.17** – The DCFO has now agreed individual methodologies for; all 'attractive' items; non-attractive items up to £200; and non-attractive items above £200. The work has now commenced to formulate the initial inventory, this will be completed by 30 June 2017, once all relocations have taken place as a consequence of the Blue Light Programme.	2	**Original Timescale** 30.06.16 **Revised Timescale** 31.08.16 **Revised Timescale** 30.11.16 **Revised Timescale** 31.03.17 **Revised Timescale** 30.06.17	CPT Manager	27.07.16 18.10.16 01.02.17 05.04.17

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Asset Management – February 2016 **Rec. 4.2** – Management should consider developing a combined asset management strategy clearly assigns the roles and responsibilities of the asset management process. This strategy should include reporting of performance against the strategy. A disposals policy or clear guidance should be in place and shared across the Force to ensure that a clear and safe process for the disposal of assets is adhered to. **Managers Response** – The four departmental strategies cover the largest and most material of the forces assets but clarity will be sought over the assets that do not clearly fall into these categories and an expansion of the Estates Strategy to include these items will be considered. Moreover, once the inventory list has been completed this may facilitate the need to dispose of some surplus items and a disposals policy will be considered at this time. Disposals Procedure to be written and update the Financial Regulations in this area. **Managers Update As At 15.07.16** – The disposals procedure is in progress, the changes to Financial Regulations will be done in line with other changes that will be needed from the Procure to Pay review. All changes to the regulations will be done at once rather than piece meal. The disposals procedure is till on target to be written by end of July 2016. The update to the Financial Regulations needs to be moved to 30 September 2016. **Managers Update As At 20.09.16** – The disposals procedure was written by the end of July and circulated in early August for consultation; a considerable amount of significant feedback was received which is currently being considered. This also meant that the relevant changes to the Financial Regulations were not ready in September as was planned. Every effort will be made to complete both the procedure and the changes to the Financial Regulations by the end of October 2016, however, given the imminent staff changes in the Corporate Finance team it is sensible that a completion deadline of 30 November be set. Current control procedures are still operating effectively in that proposed disposals are approved by the Commercial Partnership Team. **Managers Update As At 10.01.17** – The disposals procedure has been revised to take account of the feedback received; this is now ready for final review and publication. Publication deadline February 2017. The Financial Regulations have been changed accordingly. Current control procedures are still operating effectively in that proposed disposals are approved by the Commercial Partnership Team. **Managers Update As At 14.03.17** – The disposals procedure went live on 01/03/17. This is complete.	2	**Original Timescale** 31.07.16 Disposals Procedure will be completed by 31.07.16 Update to Financial Regs will be completed by 30.09.16 **Revised Timescale** 30.11.16 **Revised Timescale** Mostly Complete Final Deadline 28.02.17 **COMPLETE**	Deputy Chief Finance Officer	27.07.16 18.10.16 01.02.17 05.04.17

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Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Pensions – July 2016 **Rec 4.2** – Roles and responsibilities in respect of the pension operation, including consideration of the different schemes in operation, should be established and documented within the relevant schemes of delegation, contracts and job descriptions. All staff should be aware of their responsibilities and be satisfied that operations within their remit are operating effectively. **Managers Response** – The Scheme of Delegation will be reviewed and will incorporate any necessary delegations. This will clarify the responsibilities of individuals with regards to Pension Schemes. **Managers Update As At 10.01.17** – Due to the reduced staff capacity in Corporate Finance this has not been included in the latest review of the Scheme of Delegation. It will be reviewed separately by end of March 2017. **Managers Update As At 14.03.17** – The disposals procedure went live on 01/03/17. This is complete.	2	**Original Timescale** 31.12.16 **Revised Timescale** 31.03.17 **COMPLETE**	Deputy Chief Finance Director	18.10.16 01.02.17 05.04.17

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Complaints Management – August 2016 **Rec 4.1** – All complaints should have a recording decision made within 10 working days of receipt and the complainant be notified of the decision within 15 working days of receipt. All parties who receive complaints should be reminded of this and instructed to forward the complaint to PSD as soon as is reasonably possible. The automated email function from the online complaint form should be investigated to ensure it is working as expected. Thereafter, the complainant should be acknowledged of their complaint as close as is practically possible to 2 working days from receipt. **Managers Response** – The automated email function has been checked and it is now working. The IPCC and HMIC report on compliance with the 10 and 15 day deadlines, they do not report on the 2 day deadline. Case officers contact complainants when complaints are received when further information is required or they appear suitable for local resolution or service recovery. Every effort is made to make this contact as close as is practically possible to 2 working days from receipt There are insufficient resources and other higher priorities that mean it is not always possible to achieve the two day guide for all complaints received. Whilst we have good compliance to the 10 and 15 day deadlines as reported to us by the IPCC, these deadlines are impacted upon by how soon the complaints are forwarded to PSD. The office manager is tasked to make contact with all complaint recorders to remind them of the importance of forwarding recorded complaints and enquiries as soon as practicable. This will include all Inspectors, the PCCs office, the Executive and district PA officers. The office manager will introduce an entry on the p120B that will allow us to monitor our performance in respect of acknowledging the complaint within 2 working days of receipt. **Managers Update As At 10.01.17** – In November 2016 the Force IT and IMU department identified vulnerability in how securely the Force saved, stored and transmitted data submitted from members of the public from the Force website. (One such form was the PSD complaint form). Hence the form has been made temporarily not available. The IT Department have informed the Head of PSD that they are currently working upon a solution where data submitted on such forms will be encrypted prior to being internally forwarded to the internal department, i.e. PSD, thus ensuring that the Force is adequately protected. The IT Department expect to have resolved and tested a solution within the next two months. Importantly, the absence of the form on the website does not materially affect members of the public wishing to make a complaint as they can still do so via the website to the PSD Department. The Force website does provide clear instruction on how to make a complaint. The website also explains how to provide information on other agencies that can support them (IPCC and Citizens Advice). Guidance is also provided regarding what information to include in the complaint and the complaint process that will follow, including rights to appeal. **Managers Update As At 20.03.17** – In terms of an update I can confirm that I have this morning received an update that the security and technical issues ref web forms is now addressed to the point where IMU have given approval for the forms to go live. On that basis the web complaint form will go live from today. This recommendation can now be closed.	2	**Original Timescale** 31.01.17 **Revised Timescale** 31.03.17 **COMPLETE**	Head of PSD	18.10.16 01.02.17 05.04.17

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Seized & Found Property – September 2016 **Rec 4.2** – On their return to the station, Police officers should be reminded of their responsibility to count amounts of cash in the presence of a witness. Both officers should sign the evidence bag to confirm this. A consistent process for the recording of cash on the Niche system, including the amount, should be formulated and communicated to all officers. The Niche property management system should be updated to include the amount of cash. **Managers Response** – The Force has a Cash Detention Policy PD207 which relates to seizures that fall under the Proceeds of Crime Act. The instruction in this policy is cash should not be counted in order to forensically preserve the evidence. As officers may not be aware whether a case would become a POCA prosecution a practice has developed where cash is generally uncounted. A review of the policies and procedures to be carried out and for this to be clearly communicated to officers. **Managers Update As At 04.01.17** – It was determined that the Seizure of Cash Policy was due for renewal in January 2017. This policy is governed by law. Once this policy is amended in January, Janet Allenby, Business Support Manager will review the Property Policy to reflect any changes. Completion date to be amended to 28 February 2017. **Managers Update As At 07.03.17** – Waiting for Crime to review their Cash Seizure Policy, this has now been done. Crime has not changed their stance of not counting cash. Therefore the Property Policy will need to be reviewed to bring it in line with the Cash Seizure Policy. The reason for not counting the cash at the scene of seizure or within the custody suite is the need to preserve it for possible forensic examination. Large cash seizures are frequently heavily contaminated with controlled drugs. Evidence obtained in this manner is key to proving that it comes from unlawful conduct. Also, it is common for mistakes to be made when counting large amounts of cash. Placing the cash uncounted in a bag sealed in the bearer's presence eliminates the opportunity for errors and consequent accusations.	2	**Original Timescale** 31.12.16 **Revised Timescale** 28.02.17 **Revised Timescale** 30.04.17	Business Support Manager and Commercial Partnership Team	01.02.17 05.04.17

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Seized & Found Property – September 2016 **Rec 4.4** – A periodic safe count should be undertaken at all locations to ensure an approximate record of safe value is recorded. This should be stored in a backed-up electronic location. This control should be classed as an interim measure until data quality issues have been resolved. Once this is the case, accurate and reliable reports can be extracted from Niche stating the value in each safe. **Managers Response** – Due to the Cash Detention Policy PD207 there is currently no possibility of getting an accurate safe value. This will be reviewed as part of recommendation 4.2. **Managers Update As At 04.01.17** – It was determined that the Seizure of Cash Policy was due for renewal in January 2017. This policy is governed by law. Once this policy is amended in January, Janet Allenby, Business Support Manager will review the Property Policy to reflect any changes. Completion date to be amended to 28 February 2017. **Managers Update As At 15.03.17** – Waiting for Crime to review their Cash Seizure Policy, this has now been done. Crime has not changed their stance of not counting cash. Therefore the Property Policy will need to be reviewed to bring it in line with the Cash Seizure Policy. The reason for not counting the cash at the scene of seizure or within the custody suite is the need to preserve it for possible forensic examination. Large cash seizures are frequently heavily contaminated with controlled drugs. Evidence obtained in this manner is key to proving that it comes from unlawful conduct. Also, it is common for mistakes to be made when counting large amounts of cash. Placing the cash uncounted in a bag sealed in the bearer's presence eliminates the opportunity for errors and consequent accusations.	2	**Original Timescale** 31.12.16 **Revised Timescale** 28.02.17 **Revised Timescale** 30.04.17	Business Support Manager and Commercial Partnership Team	01.02.17 05.04.17

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Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Overtime & Time Recording – November 2016 **Rec 4.1** – Management should form a timetable for the implementation of new system rules on the Crown DMS system. This should be followed to ensure effective and timely implementation. **Managers Response** – The rules were initially implemented in line with national terms and conditions and consulted upon with staff associations, however after implementation some local practices have come to light which now require an amendment to the rules. There are manual processes in place within the HR team to adjust the payment rules which are currently incorrect. This t-Police Project Plan is being redrawn and delivery groups set up for key work streams, one of which is payment rules. **Managers Update As At 22.12.16** – The payment rules work has been merged into the Book On Book Off workstream, the timetable and programme plan will be finalised in January by the Force. Revised completion date is therefore 31 January 2017 to have this plan in place. **Managers Update As At 14.03.17** – This recommendation is now complete.	2	**Original Timescale** 31.12.16 **Revised Timescale** 31.01.17 **COMPLETE**	Head of HR Shared Services	01.02.17 05.04.17
General Ledger – December 2016 The General Ledger internal audit has been carried out and the report has been finalised. There are no priority 1 and 2 recommendations in the report. This has been added for information only.	N/A	N/A	N/A	05.04.17
Information Technology Review – January 2017 The Information Technology internal audit has been carried out and the report has been finalised. There are no priority 1 and 2 recommendations in the report. This has been added for information only.	N/A	N/A	N/A	05.04.17

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Partnerships – February 2017 **Rec 4.1** – The Operational Delivery Plan for delivering the new Police & Crime Plan objectives should include, but not be limited to, the following: The priorities to be delivered, How partners will help to deliver the priorities, When partnerships will be used, What the roles and responsibilities of partners are and How resources will be utilised in partnerships. **Managers Response** – The Police and Crime Delivery Plan will document how the outcomes will be achieved including explicitly working with partners. The focus of the Delivery Plan will be on outcomes and the route to achieving them, including through partnership working rather than on Partnerships *per se*. This recommendation is complete.	2	**Original Timescale** In line with publication of the Police and Crime Plan **COMPLETE**	OPCC Chief Executive	05.04.17
Partnerships – February 2017 **Rec 4.2** – a) The OPCC timetable should be updated to reflect all the partnership meetings and requirements to present an overview of activity to show how the police and crime plan will be delivered. b) Once the timetable has been updated the OPCC should review the resources used in line with the PCC. Plan priorities to ensure that resources are utilised effectively. **Managers Response** – a) The OPCC timetable will be updated to reflect the partnership meetings key to that delivery. b) The totality of partnerships activity across the County is a complex picture and the OPCC influences a lot of formal and informal partnerships across the County. Given limited resources, it would not be our intention to map out the entirety of partnership working but focus upon the outcomes that the partnerships are delivering.	2	**Original Timescale** a) 30.04.17 b) No Further Action	OPCC Chief Executive	05.04.17
Blue Light Collaboration Programme – January 2017 **Rec 4.2** – The internal assurance structure and its assurance activities should be formally documented. **Managers Response** – Agreed. We are working with the team to address the issue raised in the recommendation.	2	**Original Timescale** 30 April 2017	Programme Director (Supt. Pache)	05.04.17

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Payments & Creditors – February 2017 **Rec 4.1** – Where payment approval of an invoice is delegated to an alternative member of staff in the absence of the approver, this should be to a member of staff with the appropriate delegated authority, and to a different person which had receipted the goods. In addition, the transport team should make clear which officer has goods receipted the invoice to ensure segregation of duties are maintained between the goods receipt and payment approval processes. **Managers Response** – Guidance will be issued to all budget managers on who to delegate their tPolice authority to. The process of receipting Fleet related invoices (which have Tranman orders) will be revised to ensure that meet the audit recommendation.	2	**Original Timescale** 30.04.17	Exchequer Services Manager / Head of Procurement	05.04.17
Payments & Creditors – February 2017 **Rec 4.2** – Staff should be reminded to retain all authorisation paperwork for urgent (CHAPS) payments. **Managers Response** – I am 100% confident that the approval paperwork was done for this CHAPS payment. I can only assume that the paperwork has been misfiled. We will scan any future CHAPS payment paperwork for suppliers and attach them to the relevant invoices. **Managers Update As At 15.03.17** – This recommendation was completed at the end of February.	2	**Original Timescale** 28.02.17 **COMPLETE**	Exchequer Services Manager	05.04.17
Payments & Creditors – February 2017 **Rec 4.3** – A process should be put in place for managing the issue and subsequent recovery of credit cards such as that for other assets held by individuals such as a laptops or phones. **Managers Response** – HR will ensure that a leavers report is sent to Finance each month. This report will also show future leavers which will inform the Finance department of any cardholders who will be leaving in the near future. This will enable the credit card to be returned and cancelled with the bank. **Managers Update As At 15.03.17** – This recommendation was completed at the end of February.	2	**Original Timescale** Immediate **COMPLETE**	HR Support Manager	05.04.17