

JOINT INDEPENDENT AUDIT COMMITTEE

SUMMARY ACTION LOG – 31 OCTOBER 2018

Ref	Meeting Date	Minute No	Resolution	Actioned by	Progress	Updated
245	31/10/2017	52/17	linkages are made between the Assurance Map and the force Strategic Plan	RPO	Force operational delivery plans are under construction - RPO awaiting completion to make linkages with the Assurance Map in order to provide assurance on the progress made against meeting strategic objectives. – receipt of operational plans from the force scheduled for end December 2018 (DCC response to action 253 refers)	16/10/2018
247	31/10/2017	54/17	Terms of Reference and Code of Conduct: The Committee's Terms of Reference and Member Code of Conduct be reviewed after the JIAC Effectiveness Audit has been fully completed.	DCFO/CAO	The Terms of Reference, Code of Conduct and JIAC Procedure documents will be presented for consideration at the 31 October 2018 JIAC meeting.	27/06/2018
252	19/04/2018	13/18	That external audit (KPMG) be asked for observations or concerns in relation to the 'Inquiries of Management' and 'Those Charged with Governance' reports once the audit is completed and also any other issues that were considered but did not require to be formally reported.	CFO/FCFO	This will be discussed with KPMG once the audit is concluded.	16/07/2018
258	25/07/2018	26/18	The CFO share the Regional Collaboration workplan with JIAC to give assurance that opportunities and benefits for further regional	CFO	A Regional Efficiency Programme Leadership Board was established in April 2018 chaired by a Chief Constable, supported by a Lead PCC.	22/10/2018

			collaboration were actively being explored.		The terms of reference for the Board include examining and expanding existing collaborations as well as assessing duplication of capabilities across forces. The Board can also consider opportunities for new areas of collaboration.	
259	25/07/2018	27/18	The Committee be provided with a copy of the revised Recruitment process, once agreed, and a copy of the justification for the posts.	ACO for DCC	This is still in progress but will be provided to JIAC once complete.	22/10/2018
260	25/07/2018	27/18	A revised action plan for the HR Internal Audit be developed and shared with the Committee.	IA	A revised action plan has been developed and is now incorporated into the Internal Audit Implementation Progress Report presented by the DCC. (Item 6 on the October Committee Agenda).	22/10/2018
261	25/07/2018	28/18	The two missing recommendations from the Learning & Development Audit be investigated and reported to JIAC as appropriate.	DCFO	The two recommendations had been completed immediately so no update was required; hence they were missed off the July report. Update emailed to JIAC members, cc DCC Naylor, 09/10/18. Complete	09/10/2018
262	25/07/2018	29/18	A statement be added to the Chief Constable's Annual Governance Statement regarding the governance issues that emerged in the year.	FCFO	The AGS was updated accordingly for inclusion in the final version of the Chief Constable's financial statements for 2017/18. Complete.	22/10/2018
263	25/07/2018	30/18	The Fraud risk register be circulated to JIAC members in due course.	RPO	Discovery interviews with key staff are almost complete – next stage is to score risks and place into framework and seek feedback from contributors/ stakeholders Completed draft will be provided to JIAC once feedback received.	16/10/2018

264	25/07/2018	31/18	The ACO speak to the CC regarding seeking legal advice on the highlighted expense payment.	ACO	The CC's view is that legal advice is not required at this time but will be sought if a legal challenge arises. Complete	22/10/2018
265	25/07/2018	32/18	The FCFO add some words to the Chief Constable's AGS regarding the issue of expense payments.	FCFO	The AGS was updated accordingly for inclusion in the final version of the Chief Constable's financial statements for 2017/18. Complete.	22/10/2018
266	25/07/2018	36/18	The DCFO arrange a meeting with the External Auditors and the Committee members prior to the next JIAC meeting.	DCFO	Introduction meeting arranged for 13.15 31/10/18 Complete	09/10/2018
267	25/07/2018	37/18	The ACO check whether reference numbers 169 and 1610 from the AFI track can be signed off.	ACO	Awaiting sign-off by DCC. DCC to verbally update at the meeting.	23/10/2018

Key

DCC - Deputy Chief Constable
FCFO - Force Chief Finance Officer
FFO - Force Finance Officer
RPRO - Risk Policy Review Officer
ACO - Assistant Chief Officer

CFO - Chief Finance Officer
CAO - Corporate Administration Officer
RPO - Research and Performance Officer
CIM - Continuous Improvement Manager

DCFO - Deputy Chief Finance Officer
CCPA - Chief Constable's Personal Assistant
IA - Internal Auditor
EA - External Auditor