

## SUMMARY OF RECOMMENDATIONS

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
<p><b>ICT Business Continuity Review – October 2017</b>  <b>Rec 4.1</b> – The Business Impact Analysis should be re-performed and updated and once this has been performed, the results should be shared with the key stakeholders in the Force and approval sought for the implementation of the results into the ICT Business Continuity Plan.</p> <p><b>Managers Response</b> – Agreed.</p> <p><b>Managers Update As At 05.04.18</b> – The previous Business Impact Analysis (BIA) has been reviewed internally by the IT department and is deemed fit for purpose. There are some minor considerations that need to be discussed with business leads, this is due to a limited number of systems that have been decommissioned or replaced since the BIA was last performed. A further review will take place in 6 months to ensure that the results of any changes discussed with the business leads are fully captured and documented.</p> <p><b>Managers Update As At 17.10.18</b> – Further work has been identified to review the application of tier list. This will be done in conjunction with ICT and CPT and will be complete by 31 January 2019.</p>	2	<p><b>Original Timescale</b> 6 Months – April 2018</p> <p><b>Revised Timescale</b> 31.10.18</p> <p><b>Revised Timescale</b> 31.01.19</p>	ICT Director and CPT ICT Contract Manager	24.01.18 19.04.18 25.07.18
<p><b>Road Safety Partnership – November 2017</b>  <b>Rec 4.4</b> – The OPCC should liaise with the LRSP Strategic Board to ensure that effective short to medium term plans are put in place to ensure the Partnership can be appropriately monitored and to clearly show how they intend to deliver the long term strategy.</p> <p><b>Management Response</b> – Agreed that there should be short to medium term plans to ensure the Partnership has focus and it is able to review its objectives against these regularly. The OPCC will liaise with the Partnership to ensure from 2018/19 onwards there are appropriate business plans in place.</p> <p><b>Managers Update As At 04.04.18</b> – This recommendation remains outstanding.</p> <p><b>Managers Update As At 13.07.18</b> – The LRSP has a current business plan but its medium and long term planning remains in need of development. The Board is actively addressing the issue alongside reviewing the LRSP’s long term strategy. The action will remain open through the next planning cycle.</p> <p><b>Managers Update As At 10.10.18</b> – The recommendation remains incomplete. Significant governance changes at the LRSP are likely to delay until the new budget planning round.</p>	2	<p><b>Original Timescale</b> 31.03.18</p> <p><b>Revised to</b> 30.06.18</p> <p><b>Revised to</b> 30.09.18</p> <p><b>Revised to</b> 30.04.19</p>	Chief Executive OPCC	24.01.18 19.04.18 25.07.18

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<p><b>T-Police – December 2017</b>  <b>Rec 4.2</b> – A further review of the completion status of Partially Completed and Not Completed deliverables should be undertaken. The results should be compiled in a report and presented to the T-Police Board for discussion. An action plan should be established determining what action will be taken to complete implementation or close the deliverable to prevent further resources being allocated to their completion.</p> <p><b>Management Response</b> – It is already planned for the Partially Completed and Not Completed deliverables to be presented at the next T-Police Board in January 2018 for decisions to be made as to what needs progressing (or not) and a timescale for these to be achieved.</p> <p><b>Managers Update As At 21.03.18</b> – The current position was presented at the t-police Board on 16<sup>th</sup> January 2018 and discussion followed. It was agreed that the CPT Manager and G4S Service Delivery Director would finalise the outcomes with the evidence to show those completed and a timescale for those yet to be achieved. To be ratified at next t-police Board.</p> <p><b>Managers Update As At 20.06.18</b> – An updates schedule of the Partially completed and Not completed deliverables was presented to the T-Police Board on 02.05.18 – agreement was reached on the position of all the outstanding deliverables. The schedule is being updated to reflect the discussions of the Board and will include an action plan of any outstanding activity.</p> <p><b>Managers Update As At 09.10.18</b> - Due to other priorities this schedule has not yet been updated to include the additional information.</p>	2	<p><b>Original Timescale</b> 31.01.18</p> <p><b>Revised Timescale</b> 30.05.18</p> <p><b>Revised Timescale</b> 31.07.18</p> <p><b>Revised Timescale</b> 31.12.18</p>	CPT Manager & G4S Service Delivery Director	19.04.18 25.07.18

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<p><b>T-Police – December 2017</b>  <b>Rec 4.3</b> – The T-Police Board should review the deliverable completion status with a focus on deliverables that are open to interpretation on whether they have been completed.  <b>Management Response</b> – It is already planned for the Partially Completed and Not Completed deliverables to be presented at the next T-Police Board in January 2018 for decisions to be made as to what needs progressing (or not) and a timescale for these to be achieved.  <b>Managers Update As At 21.03.18</b> – As per recommendation 4.2 – The current position was presented at the t-police Board on 16<sup>th</sup> January 2018 and discussion followed. It was agreed that the CPT Manager and G4S Service Delivery Director would finalise the outcomes with the evidence to show those completed a timescale for those yet to be achieved. To be ratified at next t-police Board.  <b>Managers Update As At 20.06.18</b> – An updated schedule of all the deliverables was presented to the T-Police Board on 02.05.18 – discussion took place regarding some of the deliverables where it was known there was some difference of opinion as to whether they had been completed. The schedule is being updated to include additional information to support the completion status of those in question. This will be shared with the Force and OPCC CFO to enable clarification / agreement on the completion status.  <b>Managers Update As At 09.10.18</b> – Due to other priorities this schedule has not yet been updated to include the additional information.</p>	2	<p><b>Original Timescale</b> 31.01.18</p> <p><b>Revised Timescale</b> 30.05.18</p> <p><b>Revised Timescale</b> 31.07.18</p> <p><b>Revised Timescale</b> 31.12.18</p>	CPT Manager & G4S Service Delivery Director	19.04.18 25.07.18
<p><b>Payment &amp; Creditors – March 2018</b>  <b>Rec 4.1</b> – The Finance team should review the historic invoices marked as on hold on the system and work with Capgemini to remove these from the system. A regular review of all on hold invoices should be carried out to ensure invoices are being processed in a timely manner.  <b>Management Response</b> – We will tighten up our controls around the weekly review of the on-hold report. This will involve looking into the reasons as to why invoices remain on hold and resolving issues if possible. We will also work with Capgemini to tidy the report – removing invoices which are no longer to be paid.  <b>Managers Update As At 06.06.17</b> – Some work has been done on this recommendation but there are still some old invoices which we require removing with the help of Gaggemini.  <b>Managers Update As At 04.10.18</b> – The outstanding invoices which needed a fix from Capgemini have been resolved. A general check on the age of invoices has been introduced. This recommendation is now complete</p>	2	<p><b>Original Timescale</b> 31.03.18</p> <p><b>Revised Timescale</b> 31.08.18</p> <p><b>COMPLETE</b></p>	Exchequer Services Manager	25.07.18

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<p><b>Firearms Licensing – March 2018</b>  <b>Rec 4.2</b> – Key performance indicators for the operational performance of firearms licensing should be set and monitored against on a regular basis. Financial penalties should be agreed by the Force and G4S, should G4S underperform on targets. 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><b>Management Response</b> – A suite of 8 indicators have been agreed and 5 will be live in April 2018, with the further 3 being developed with the aim of baselining commencing April 2018. Abatement points as included for in the Service Delivery Agreement with G4S have been allocated which will enable potential financial penalties to be awarded in the event of performance failure.</p> <p><b>Managers Update As At 08.06.18</b> – Performance continues to improve within the Firearms Licensing Department. The suite of 8 indicators are in place but currently remain in a period of baselining. The reason for the extended baselining is due to the fact that a Force decision was taken, in conjunction with G4S, to report the performance purely based on the performance of the FLO system. This decision was taken due to the fact that all applications received are now dealt with on the FLO system and the number of legacy paper applications has reduced significantly (currently 22). The performance indicator descriptions remain the same but the way the data was retrieved and reported upon changed considerably so baselining recommenced from April 2018. Whilst the delay to ‘live’ reporting is regrettable the new way of reporting will provide far greater clarity around the use of FLO and FLO performance going forward. Initial performance TSL &amp; MSLs will be set in July.</p> <p><b>Managers Update As At 19.09.18</b> – The baseline of the performance has now been completed. TSL and MSL will be agreed and implemented at a Service Review meeting on 27.09.18, when this should then complete the action.</p> <p><b>Managers Update As At 04.10.18</b> – Yes, the performance regime was completed at the meeting on 27 September 2018, with TSL being set at 75% for all KPIs and MSL being set at 70%. This recommendation is now complete.</p>	<p>2</p>	<p><b>Original Timescale</b> 30.04.18</p> <p><b>Revised Timescale</b> 31.07.18</p> <p><b>COMPLETE</b></p>	<p>CPT Manager / G4S Service Delivery Manager</p>	<p>25.07.18</p>

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<p><b>Benefits Realisation – March 2018</b>  <b>Rec 4.1</b> – The lessons learned process should be split into two parts. The first part should consider the management of the project, the governance processes, and how the Project Manager/Board dealt with any arising issues. The second part should consider the final implementation and handover of the project, as well as any service delivery impacts from the project. Lessons learned logs should be reviewed by the Change Board after completion to identify any key process changes which they may want to reflect in the Change Manual.</p> <p><b>Management Response</b>  Agreed that this is an area for improvement. Current lessons learned that are captured are not accessible to new projects and programmes to allow issues not to be repeated or best practice to become embedded. Not all lessons learned will need to be reviewed at the Change Board however. As the Strategic Board, I would expect the Change Board to hear lessons learned by exception so that they can be actioned and affect future projects and programmes, but change practitioners (Project Managers, Project Support, Business Leads) should be able to access a central database where lessons learned are captured in their entirety. This will allow subject specific searches and better analysis of low level, but consistent problems that require improvement. It is suggested that a IT based solution may be appropriate, and the Continuous Improvement Unit will scope the creation of a Wiki or Sharepoint as a suitable product.</p> <p><b>Managers Update As At 17.10.18</b> – A problem profile for this requirement has been created for the Technology Futures Programme to consider what the preferred technology solution is within the current programme of improvement.</p>	2	<p><b>Original Timescale</b> 30.09.18</p> <p><b>Revised Timescale</b> 01.01.19</p>	Continuous Improvement Manager	25.07.18
<p><b>Code of Corporate Governance – May 2018</b>  <b>Rec 4.1</b> – The Force should select a delegated individual who has responsibility for the preparation of the Forces' the Annual Governance Statement. This responsibility should be recorded as part of the Code of Governance Framework.</p> <p><b>Management Response</b> – Agreed. The Force CFO will consult with the Chief Officer Group to assign responsibility for the production of the AGS for 2018/19.</p> <p><b>Managers Update As At 02.07.18</b> – The responsibility of the production of the AGS has not yet been discussed by COG. Given that formal responsibility had not been assigned, it defaulted to the FCFO to ensure its completion. This item has been added to the COG agenda due to meet on 17 July 2018.</p> <p><b>Managers Update As At 05.10.18</b> – Yes, overall responsibility for AGS has been assigned to the Deputy Chief Constable. This recommendation is now complete.</p>	2	<p><b>Original Timescale</b> 30.06.18</p> <p><b>Revised Timescale</b> 31.07.18</p> <p><b>COMPLETE</b></p>	Force Chief Finance Officer	25.07.18
<p><b>Risk Management – June 2018</b>  There are no priority 1 and 2 recommendations in this report. This has been added for information only.</p>	N/A	N/A	N/A	31.10.18

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<p><b>HR Recruit to Reward – June 2018</b>  <b>Rec 4.1</b> – A clearly defined recruitment process should be established that includes what to do should any deviation from the approved procedure be required. Any deviation should have a clear business case, detailing rational for the deviation, including HR and Finance commentary on the implications of proceeding. HR should have a clear escalation process should they be instructed to carry out any recruitment that is not in line with the procedures. The missing job description should be completed.  <b>Management Response</b> – A process will be developed to address circumstances where open and transparent recruitment is not the preferred approach. Agreed – the process being developed will address this. A business case will be developed for each of the three identified breaches of current process. Agreed – the process will address this. HR will be required to give clear advice to the Chief Constable on the risks of adopting a particular approach. Agreed.  <b>Managers Update As At 18.10.18</b> – Discussion has been held with HR and a process is under development. Completion by 31 December 2018.</p>	1	<p><b>Original Timescale</b> 30.09.18</p> <p><b>Revised Timescale</b> 31.12.18</p>	Assistant Chief Officer	31.10.18
<p><b>HR Recruit to Reward – June 2018</b>  <b>Rec 4.2</b> – A process for making ex-gratia payments should be developed and approved. This process should make clear reference to the correct level of authorisation required in line with the Financial Procedure Rules.  <b>Management Response</b> – Agreed. The Force will provide the documentation in respect of this payment to the CFO for retrospective consideration. The force will be requesting to the PCC that a change in the delegated levels are increased for ex-gratia payments as the Chief Constable believes that the current £10k level is too restrictive and a restriction on his statutory powers as a corporation sole.  <b>Managers Update As At 18.10.18</b> – A pro-forma for approval of ex-gratia payments is being developed to ensure the appropriate authorisation is obtained. Completion by 31 October 2018. A wider discussion with the OPCC regarding the CC’s level of delegations has been agreed in principle and a timetable being prepared. Completion by 31 December 2018.</p>	1	<p><b>Original Timescale</b> 30.09.18</p> <p><b>Revised Timescale</b> 31.12.18</p>	Assistant Chief Officer	31.10.18

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<p><b>HR Recruit to Reward – June 2018</b>  <b>Rec 4.3</b> – The current on-going bonus payment should be reviewed and stopped as it is in breach of the bonus scheme. A review of the Honoraria Procedure should be carried out in line with Staff inclusion in the Bonus Scheme to ensure the correct type of payment is made and that these can be budgeted for accordingly. HR, as the administrators of the scheme, should have an escalation process to follow should they receive requests to use the bonus scheme that are not in line with the procedures for awarding the bonus scheme.</p> <p><b>Management Response</b> – HR will provide advice to the Chief Constable on the most appropriate means of achieving the business objective within the current regulations. The force intends to review the Honoraria procedure alongside the Bonus Payment Scheme to ensure clarity about which process is to be used in different circumstances. Agreed. HR will be required to provide advice to the Force which outlines the risks of alternative approaches.</p> <p><b>Managers Update As At 22.10.18</b> – The procedure has been reviewed and updated alongside the bonus one to be clear on which to use. This recommendation is complete.</p>	1	<p><b>Original Timescale</b> 30.09.18</p> <p><b>COMPELTE</b></p>	Head of HR	31.10.18
<p><b>HR Recruit to Reward – June 2018</b>  <b>Rec 4.4</b> – The Force &amp; OPCC should have a clear authorisation process for each post that is recruited. The roles of the ACO Resources, the Strategic People Board, and Line Managers in the recruitment process should all be clearly defined.</p> <p><b>Management Response</b> – Recruitment and Selection Guidance to be updated to confirm roles and responsibilities. A new process to be confirmed in relation to authorisation, due to the devolvement of budgets to Heads of Departments.</p> <p><b>Managers Update As At 10.10.18</b> – We are in the process of reviewing the Recruitment Guidance and are working with ACO White to establish processes and responsibilities the Force wish to put in place. In light of this and the need for a re-write, the completion date has been pushed back to 31 December 2018.</p>	2	<p><b>Original Timescale</b> 30.09.18</p> <p><b>Revised Timescale</b> 31.12.18</p>	Head of HR	31.10.18
<p><b>HR Recruit to Reward – June 2018</b>  <b>Rec 4.7</b> – The HR Team should provide appropriate training materials to assist staff carrying out key parts of the recruitment process.</p> <p><b>Management Response</b> – This will be incorporated into the revised recruitment and selection guidance.</p> <p><b>Managers Update As At 10.10.18</b> – We are in the process of reviewing the Recruitment Guidance and are working with ACO White to establish processes and responsibilities the Force wish to put in place. This recommendation is on target for completion as at 30 December 2018.</p>	2	<p><b>Original Timescale</b> 30.12.18</p>	Head of HR	31.10.18

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<p><b>HR Recruit to Reward – June 2018</b>  <b>Rec 4.8</b> – The Force should review the current exit interview process and ensure that the outcomes are regularly reported to the appropriate forum for discussion and analysis.</p> <p><b>Management Response</b> – I do not feel that opportunities are missed to address issues identified, as all questionnaires are reviewed by the HR Team, and any issues highlighted are taken forward in the appropriate way. The exit questionnaire and interview process is already under review, in order to ensure relevant information is sought from those leaving the Force. Once complete, consideration will be given to the appropriate reporting of this information whilst maintaining confidentiality.</p>	2	<p><b>Original Timescale</b> 31.03.19</p>	Head of HR	31.10.18