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
ICT Business Continuity Review – October 2017 **Rec 4.1** – 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. **Managers Response** – Agreed. **Managers Update As At 05.04.18** – 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. **Managers Update As At 17.10.18** – 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. **Managers Update As At 25.03.19** – An initial assessment of applications in tiers for the BIA action has been performed and the review has taken place. This recommendation has been completed.	2	**Original Timescale** 6 Months – April 2018 **Revised Timescale** 31.10.18 **Revised Timescale** 31.01.19 **COMPLETE**	ICT Director and CPT ICT Contract Manager	24.01.18 19.04.18 25.07.18 23.01.19
Road Safety Partnership – November 2017 **Rec 4.4** – 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. **Management Response** – 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. **Managers Update As At 04.04.18** – This recommendation remains outstanding. **Managers Update As At 13.07.18** – 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. **Managers Update As At 10.10.18** – The recommendation remains incomplete. Significant governance changes at the LRSP are likely to delay until the new budget planning round. **Managers Update As At 31.12.18** – Work continues in relation to this recommendation, there is no further update at this point. **Managers Update As At 20.03.19** – This recommendation has been completed.	2	**Original Timescale** 31.03.18 **Revised to** 30.06.18 **Revised to** 30.09.18 **Revised to** 30.04.19 **COMPLETE**	Chief Executive OPCC	24.01.18 19.04.18 25.07.18 23.01.19

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Benefits Realisation – March 2018 **Rec 4.1** – 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. **Management Response** 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. **Managers Update As At 17.10.18** – 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. **Managers Update As At 07.01.19** – The force is currently developing use of a Sharepoint Site as its principle Portfolio Management tool. The requirement to capture lessons learned is being incorporated into its development and future use. **Managers Update As At 21.02.19** – ICT are developing the use of the current Sharepoint software to incorporate the requirement to capture lessons learned. It is hoped that this can be achieved without the purchase of additional systems. Development is taking place by a small number of ICT staff with the right knowledge and experience, who are also currently engaged in major ICT programmes.	2	**Original Timescale** 30.09.18 **Revised Timescale** 01.01.19 **Revised Timescale** 31.01.19 **Revised Timescale** 30.04.19	Continuous Improvement Manager	25.07.18 23.01.19

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HR Recruit to Reward – June 2018 **Rec 4.2** – 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. **Management Response** – 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. **Managers Update As At 18.10.18** – 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. **Managers Update As At 07.01.19** – This recommendation is not yet complete and will need to be extended for a further three months. **Managers Update As At 09.04.19** – The Chief Constable and PCC have discussed the matter and not resolved the position. The CEO of the OPCC will write to seek further clarity from the CC.	1	**Original Timescale** 30.09.18 **Revised Timescale** 31.12.18 **Revised Timescale** 31.03.19 **Revised Timescale** 30.06.19	Assistant Chief Officer	31.10.18 23.01.19
HR Recruit to Reward – June 2018 **Rec 4.8** – 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. **Management Response** – 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. **Managers Update As At 02.01.19** – An electronic exit questionnaire has been created for use from 2019 onwards in order to allow more meaningful analysis of data. The procedure around exit questionnaire interviews is also under review and consideration will be given on how best to report the data whilst maintaining confidentiality. This recommendation is on track to be completed by 31.03.19. **Managers Update As At 21.03.19** – A new electronic exit questionnaire has been designed to try and improve response rates and will be reported upon to the Strategic People Board quarterly. This recommendation is now complete.	2	**Original Timescale** 31.03.19 **COMPLETE**	Head of HR	23.01.19

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Health & Safety – September 2018 **Rec 4.4** – There should be a clear set of documents in place which address the gaps that have been identified in the training area, which include – creating a training policy, completing a skills matrix and developing a review tool to monitor completion and outstanding training. **Management Response** – The Force are in the process of finalising a skills matrix which identifies the skills and training required by each role. We recognise that there is a scope of work activity required in respect of our People Development function and a variety of work is in progress. This includes the review of all existing courses, the learning/training required by roles within the Force and the monitoring of the completion of such training. **Managers Update As At 20.03.19** – This work has not yet been concluded due to other work commitments, work will continue in relation to this recommendation.	2	**Original Timescale** 31.03.19 **Revised Timescale** 30.09.19	Head of L&D / HR and L&D Contract Manager	23.01.19
Procurement – November 2018 **Rec. 4.4** – The SPU should review the current reporting capabilities that would allow them to undertake a regular review of expenditure and identify opportunities to put more cost effective contracts in place. The SPU should review the reporting capabilities that would demonstrate the levels of contracted and non-contracted expenditure to confirm controls are working as intended. **Management Response** – This is currently being undertaken in the P2P process review and testing process of the CPA module in t-police. **Managers Update As At 28.03.19** – Testing has commenced in the test environment, if this is successful it will be rolled out live. This work should be completed by 30 June 2019.	2	**Original Timescale** 31.03.19 **Revised Timescale** 30.06.19	Head of Procurement	23.01.19

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Payments & Creditors – December 2018 **Rec 4.2** – The Force should retain records of *Employee Acknowledgement of Responsibilities for the Use of a Corporate Credit Card* statements, to ensure they can be held to account for their credit card use. The Force should consider retaining appropriate documentation to show audit trail of new credit cards. The Force should consider providing clarity on the types of expenditure for which corporate credit cards are to be used. The Force should consider how credit card expenditure is independently reviewed to confirm the expenditure on credit cards has been appropriate. **Management Response** – **(i)** An acknowledgement form will be created to state their credit limit and the recipient will need to sign to say they have read the credit card policy and agree to their responsibilities as a card holder. **(ii)** The application forms will be prepopulated with the HQ address, so that no personal data is held and therefore no need to destroy the application. **(iii)** The credit card policy will be reviewed. **(iv)** A monthly report will be provided to Corporate Finance showing categories of expenditure by card holder. This will allow a check to take place and for any inappropriate expenditure to be challenged. **Managers Update As At 15.03.19** – Items i, ii and iv are complete / in place. Item iii – the policy was reviewed in January 2019, with changes made in light of the audit recommendations. Feedback was received from the finance team during February, changes made in response to the feedback. The policy is out for consultation with credit card holders during March, the effective date of the new policy will be 1 May 2019	2	**Original Timescale** 31.01.19 **Revised Timescale** 01.05.19	Head of Finance / DCFO	16.04.19
Income & Debtors – March 2019 There are no priority 1 and 2 recommendations in this report. This has been added for information only.	N/A	N/A	N/A	16.04.19
Payroll – March 2019 **Rec 4.1** – G4S should review the workgroups assigned to each member of staff on an ongoing basis. In addition, as list of the specific actions that each workgroup can conduct should be obtained from Kier. **Management Response** – The Exchequer Assistant role will be amended to "Lincs Payroll without cleardown" with immediate effect. **Managers Update As At 20.03.19** – This recommendation has been completed.	2	**Original Timescale** 31.03.19 **COMPLETE**	Head of Finance	16.04.19

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Payroll – March 2019 **Rec 4.2** – Individuals should be reminded of the significance of attaching receipts to all claims made and in ensuring that the claim amount is in line with the receipt. **Managers Response** – We will look to send out communications to all staff reminding them of the importance of ensuring that the claims are submitted accurately. It was also be stressed that payroll are not responsible for checking 100% of expenses claims to ensure they are correct to receipts.	2	**Original Timescale** 30.04.19	Exchequer Services Manager	16.04.19