JOINT INDEPENDENT AUDIT COMMITTEE

SUMMARY ACTION LOG – 16 APRIL 2019

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). The completion of delivery plans by the force has been extended to April 2019 – with the reporting of progress against strategy to appropriate management boards expected by July 2019. (Note: Force intends to develop a new version of the Assurance Map – separate from the current version).	16/10/2018 02/04/2019
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 collaboration were actively being explored.	CFO	A Regional Efficiency Programme Leadership Board was established in April 2018 chaired by a Chief Constable, supported by a Lead PCC. The terms of reference for the Board include examining and expanding existing collaborations as well as assessing duplication of capabilities	22/10/2018

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					across forces. The Board can also consider opportunities for new areas of collaboration.	
	31/10/2018	43/18	The CFO to ascertain what output from the REPLB would give the Committee assurance that opportunities and benefits for further regional collaboration were being actively explored.	CFO	Since the last JIAC meeting a regional 'Away Day' event for East Midlands PCCs/CCs has been organised for 25 March 2019. The objective will be to examine the strategic vision for collaboration in the region and whether a refreshed strategic vision and set of collaboration principles would be useful.	15/01/2019
	23/01/2019	59/18	The CFO update the Committee following attendance at the East Midlands Regional 'Away Day' event scheduled for 25 March 2019.	CFO	PCCs and CCs from the EM region attended the 'away day'. The output from the facilitator is awaited. An update will be provided to the JIAC when the output is received.	04/04/2019
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
	31/10/2018	43/18	DCC to provide an update at the next Committee meeting on action 259.	DCC	Update will be provided at the January 2019 JIAC meeting.	15/01/2019
	23/01/2019	59/18	A copy of the revised Force recruitment process be circulated to members of the Committee and External Audit.	DCC/CAO	Members advised by the CAO that the document will be circulated following further minor amendment.	19/03/2019

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
	31/10/2018	43/18	A follow-up audit of HR to be included within quarter 4 of the Audit Plan if the revised action plan is completed by the due date.	IA	Time has been allocated in the plan to revisit the HR Recruitment recommendations. However, this is dependent on the position with regards implementation. A decision will be made at the JIAC meeting when the recommendation progress report is presented.	15/01/2019
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. This piece of work is on-going.	16/10/2018 15/01/2019
	23/01/2019	59/18	A draft version of the Fraud risk register be provided by the RPO for consideration at the next Committee meeting.		On the agenda for the 16 April 2019 JIAC meeting.	11/03/2019
278	23/01/2019	60/18	The Internal Auditor provide the DCC and Regional Leads with current drafts of regional audit reports.	IA	IA provided the DCC with the 3 draft collaboration reports following the last JIAC meeting. All 3 reports have since been finalised and are included in the progress report for the 16 April 2019 JIAC meeting.	03/04/2019

279	23/01/2019	60/18	Audit reports produced following the repeat review of core financial systems include a note of the previous year's opinion.	IA	IA has included the previous year's assurance opinion in the summary information in the progress report for the most recent core financial audits, Income & Debtors and Payroll. IA will do this for all core financial reports going forward.	03/04/2019
280	23/01/2019	63/18	Future draft versions of the Chief Constable's and PCC's AGS highlight where changes have been made.	CFO/FCFO	Agreed, draft AGS for the 24/05/19 workshop will highlight changes.	04/04/2019
281	23/01/2019	63/18	The rise in council tax precept level as stated under paragraph (6.3) of the PCC's AGS be amended.	CFO	This will be amended in the draft AGS for the workshop on 24/05/19.	04/04/2019
282	23/01/2019	64/18	The following actions be taken in respect of the Scheme of Arrangements, including Finance, Contract and Procurement Regulations: • Prefixes be included alongside the page numbers within the Scheme of Consent. • The definition of 'consultation' under (PF4.2) of the Scheme of Consent be clarified. • Consideration be given to incorporating a formal statement on compliance with the General Data Protection Regulation (GDPR) in relation to contracts and procurement. • Reference to the 'Audit Commission' in (FR25.1) of the Financial, Contract and Procurement Regulations be	CFO	All points have been taken forward in the version to be presented to the PCC for a formal decision. Complete.	04/04/2019

			amended. • (CP24.2) of the Financial, Contract and Procurement Regulations be amended to also include a monetary limit.			
283	23/01/2019	65/18	Performance materiality be presented in the form of a table.	EA	Noted. EA will put materiality figures into a table format.	19/03/2019
284	23/01/2019	70/18	The DCFO raise with the Chair the timescale for the annual private meeting of the Committee to assess individual performance of all Members.	DCFO	Scheduled for 24/05/19 prior to the workshop.	04/04/2019
285	23/01/2019	70/18	Consideration be given to publishing the Committee's Annual Report on the PCC's website.	DCFO	The report will be published on the JIAC area of the PCC's website.	04/04/2019

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