

## JOINT INDEPENDENT AUDIT COMMITTEE

### SUMMARY ACTION LOG – 18 OCTOBER 2016

Ref	Meeting Date	Minute No	Resolution	Actioned by	Progress	Updated
104	08/09/2015	61/15	A proposal for providing tablet devices (iPads) to Committee Members be investigated.	CAO	JAC papers with restrictive markings to be stored on encrypted data sticks and assigned to Members in advance of Committee meetings. To be introduced wef 27 July 2016 JIAC.  Tablet devices being pursued.	14 July 2016
166	27/072016	20/16	The wording and scoring of Risk ST73 be reviewed by the Risk Management Board	RPRO	Risk reviewed by RMB on 21 Sept 2016 It was understood there are official negotiations taking place at the highest level. To be reviewed again at next RMB meeting.  Latest update provided by CPT – expert appointed to hear the case and decision expected end February 2017	27 September 2016  4 January 2017
169	18/10/2016	25/16	The Force Anti-Fraud and Corruption policy include reference to the Anti-Fraud and Corruption Group.	RPO	Policy (Draft version 6.8) has been revised at section 4.3.1 to contain reference to AF&C group – awaiting final approval and publication.	17 January 2017
170	18/10/2016	25/16	Minutes of Committee meetings be drafted and circulated within 10 working days, where possible.	CCPA/CAO	Noted.	15 December 2016

171	18/10/2016	25/16	Copies of the draft Committee minutes be circulated to Members for comment prior to being finalised.	SSS/CAO	Noted.	15 December 2016
172	18/10/2016	26/16	The number of people who have not completed the mandatory Counter Corruption Strategy training module be reported to the Committee.	DCC	2677 officers and staff have completed the mandatory training since 2013, with approximately 434 yet to do so. The outstanding list is being refined to account for those who have left the organisation and identify those who work in regional posts. SMT have been requested to follow up those staff who have not completed the module by 28.02.17.	20 January 2017
173	18/10/2016	28/16	A copy of the draft Decision notice be circulated for consideration by Members prior to being signed-off by the PCC.	DCFO	Included in agenda item 13 for 1 February 2017 JIAC meeting.	19 January 2017
174	18/10/2016	30/16	The CFO to consider a way forward in respect of the Covert payments audit.	CFO	The issue with the Covert Payments audit was that the constraints on internal audit access which resulted in the inability to provide an opinion were not identified until the audit was underway. Regional CFOs have now agreed with internal audit a protocol for regional audits which is intended to identify potential access issues in advance of the audit work. As a result, alternative means of ensuring an opinion can be provided will be explored and agreed in advance of audit work being performed.	23 January 2017

175	18/10/2016	30/16	The Committee receive clarification about how and when it had been discovered that the automated email function from the online complaint form had stopped functioning as per Rec (1) of the Complaints Management Audit.	IA	<p>A test complaint was filed by audit using the online complaints form however no automated email was received. The system was tested on a second occasion but no automated email was received once again. This was undertaken at the time of the audit in July 2016 with staff being unable to explain the issue. IA received management's response on 19/8/16 which said, <i>"the automated email function has been checked and it is now working."</i></p> <p>However the HOPSD has now advised that in November 2016 the Force IT department and the IMU identified some issues on the Force website and the PSD form has been taken off line temporarily. The IT Department are currently working on a solution where data submitted on such forms will be encrypted prior to being internally forwarded to the internal department. IT expects to have resolved and tested a solution within the next two months.</p>	3 January 2017
176	18/10/2016	30/16	The timescale under Rec (2) of the Complaints Management Audit be changed to April 2017.	IA	Timescale for recommendation 2 in the Complaints audit has been amended.	3 January 2017

177	18/10/2016	30/16	An assurance opinion on the PCC Board Governance audit be included within the 'Compliance with Governance Arrangements' report presented at the next meeting of the Committee.	RPO/IA	RPO requested Assurance Opinion from IA Manager. IA Manager states his understanding of the outcome of discussions at the previous JIAC meeting differed from those recorded in the action log. IAM asserts that the audit report already presented had been finalised and was never intended to provide an assurance opinion. Therefore one would not be provided. However, in the future if an assurance opinion is required this should be made clear at the outset of an audit. Under these circumstances providing an opinion would not then present a problem.	13 January 2017
178	18/10/2016	30/16	The abbreviation N/A provided under the heading 'Assurance Opinion' be written in full to avoid confusion.	IA	Noted.	3 January 2017
179	18/10/2016	30/16	A summary of HMIC Inspections be used to inform the planning process for setting future audit plans.	IA	A meeting has been arranged for 1 February 2017 to discuss the 17/18 IA plan. IA have requested that a summary of HMIC reports be provided so as to inform the discussions.	3 January 2017
180	18/10/2016	32/16	Web links be included in the report where material such as PCC Decision Notices have been published.	RPO	Column has been included in the summary table within the Governance report - providing direct weblink to each relevant decision notice published on the Commissioners website.	16 January 2017

181	18/10/2016	35/16	Members of the Committee be provided with an organisational chart for the Office of the PCC.	RPO	Organisational chart (For Internal use only) has been provided to the Committee via email.	18 January 2017
182	18/10/2016	36/16	The current approach to maintaining the content of the Assurance Map be reviewed in light of Member comments.	CFO/RPO	Review is underway and details provided within the Assurance Map report to be presented at the February 2017 JIAC Meeting.	16 January 2017
183	18/10/2016	37/16	The Forward Plan be updated to include a preliminary view on potential issues for inclusion within the Annual Governance Statement in February 2017.	DCFO	Complete	19 January 2017
184	18/10/2016	38/16	Point (18) of the terms of reference be amended to read: <i>The committee will advise the PCC on the appointment of, and relationship with, the external auditor.</i>	CAO	Complete	19 January 2017
185	18/10/2016	38/16	The terms of reference make explicit the maximum number of terms that a Member can serve on the Committee.	CFO	Complete	23 January 2017
186	18/10/2016	39/16	An update be provided at the next meeting of the Committee on progress with implementing recommendations made by the	CFO	Covering report and action plan resulting from the most recent meeting of the Anti-fraud and corruption group is being presented at the February 2017 JIAC meeting.	16 January 2017

			AFCWG.			
187	18/10/2016	39/16	A paper detailing lessons learned from Operation Argo be presented to the Committee when concluded.	DCC	A paper will be brought to the JIAC meeting on the 5 April 2017	20 January 2017
188	18/10/2016	39/16	An entry be made on the Confidential Assurance Map to reflect potential reputational damage following Operation Argo.	RPO/RPRO	Risk entered onto Confidential Risk register and closed after Confidential Risk Board 15 December 2016.	4 January 2017
189	18/10/2016	39/16	The column marked 'Assurance Sufficient' on the Confidential Assurance Map be fully populated.	RPO/RPRO	Column fully populated	4 January 2017

#### Key

DCC - Deputy Chief Constable (Lincolnshire Police)  
 FCFO - Force Chief Finance Officer (Lincolnshire Police)  
 FFO - Force Finance Officer (Lincolnshire Police)  
 RPRO - Risk Policy Review Officer (Lincolnshire Police)  
 CIM - Continuous Improvement Manager

CFO - Chief Finance Officer (OPCC)  
 CAO - Corporate Administration Officer (OPCC)  
 RPO - Research and Performance Officer (OPCC)