

## 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>Firearms Licensing – September 2015</b>  <b>Rec. 4.8</b> – Key performance indicators for the operational performance of firearms licensing should be set and monitored against on a regular basis. 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>Managers Response</b> – The wording of the key performance indicators have been agreed and are currently in base lining to enable a performance target to be established.</p> <p><b>Managers Update As At 28.01.16</b> – This recommendation is currently ongoing. Despite regular performance meetings we are still not in a position to set any KPIs for the Firearms Licensing Department. A further strategic review will commence from Monday 1 February 2016 where we hope to resolve this in the near future.</p> <p><b>Managers Update As At 07.06.16</b> – The performance of the Firearms Licensing department remains subject of ongoing discussion. Actual performance against the indicators is being reported so performance is currently being monitored and resources focused as necessary. A transformation proposal has been submitted which aims at significantly improving the turnaround times for grants, renewals and variations by October 2016. This transformation is to be discussed w/c 13 June 2016 with the aim of agreeing the timescale for KPIs becoming “live” (i.e. subject to financial penalties if not achieved).</p> <p><b>Managers Update As At 03.10.16</b> – The DCC has implemented a Firearms Licensing Transformation Group and appointed D/Insp Shaw as the Force Firearms Licensing Manager. A common purpose for Firearms Licensing has been agreed with G4S to protect the public from foreseeable harm and to efficiently process licensing applications. A recovery plan has been put into place to deliver the required change, including the IT transformation which was presented to the group on 29.09.16. Implementation of the IT transformation is now subject to business case approval which will be sought during October 2016. The timescale for the delivery of the recovery plan will need to be extended to 31.01.17.</p> <p><b>Managers Update As At 04.01.17</b> – A paper was submitted to the Police Crime &amp; Strategy Board on 15 December 2016 which sought approval for:-</p> <ol style="list-style-type: none"> <li>1. Business case for the digital transformation of Firearms Licensing</li> <li>2. Resource requirements for 2017</li> <li>3. Proposed performance indicators</li> </ol> <p>All were approved. A decision paper is to be submitted to the PCC in the next week (i.e. by 11 January) for the funding of 1 &amp; 2 above. Decision 3 above (i.e. performance indicators) will be documented on a contractual change control to formally introduce them so reporting can commence and therefore the Strategic Partner will be contractually held liable for the ongoing performance within the formal governance arrangements. This will therefore be completed by the current date included in the timescale below (i.e. 31 January 2017).</p>	2	<p><b>Original Timescale</b> 30.11.15</p> <p><b>Revised Timescale</b> 31.05.16</p> <p><b>Revised Timescale</b> 31.10.16</p> <p><b>Revised Timescale</b> 31.01.17</p> <p>On track for completion by 31.01.17</p>	<p>G4S Service Delivery Director</p> <p>CPT Manager</p> <p>DCC</p>	<p>24.11.15</p> <p>23.03.16</p> <p>27.07.16</p> <p>18.10.16</p> <p>01.02.17</p>

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<p><b>Asset Management – February 2016</b>  <b>Rec. 4.1</b> – The Force should ensure that once the list has been completed appropriate arrangements are put in place including roles and responsibilities for maintenance of the inventory list. The Force should ensure that once the list has been completed, Finance review the list to ensure that the listed items have been accounted for correctly.</p> <p><b>Managers Response</b> – Whilst the list is being completed discussions will continue between G4S and the CPT on the responsibilities that should be assigned to monitor and maintain it. The inventory list that is being completed should have little or no impact on the balance sheet as most items will have been accounted for under revenue expenditure but once it has completed it should be reviewed by finance to ensure this is the case.</p> <p><b>Managers Update As At 08.06.16</b> – G4S FM have commenced work in compiling the asset / inventory list. However, having completed this for 4 major sites the amount of items requiring listing is excessive (nearing 10,000 items). CPT Manager to discuss with Force CFO the value of items to be included to enable this to be manageable. Progress has been made regarding ongoing responsibilities and a process is being developed.</p> <p><b>Managers Update As At 04.10.16</b> – The CPT continues to liaise with the Force DCFO to review the value of items to be included within the retained asset register to enable this to be manageable. This is nearing completion and once a decision has been made the relevant assets will be listed. All other ongoing responsibilities have been ascertained, and therefore complete. Completion of this recommendation should be no later than 30 November 2016.</p> <p><b>Managers Update As At 04.01.17</b> – A decision has yet to be reached on what actual items are to be classed as “assets” and to be included on the inventory / asset register. This has been discussed with the Force CFO, but due to the staffing situation since the retirement of the Force CFO at the end of September, coinciding with the budget setting cycle this has not been resolved. The intention is to finally resolve this by the end of Q4 2016/17.</p>	2	<p><b>Original Timescale</b> 30.06.16</p> <p><b>Revised Timescale</b> 31.08.16</p> <p><b>Revised Timescale</b> 30.11.16</p> <p><b>Revised Timescale</b> 31.03.17</p>	CPT Manager	<p>27.07.16</p> <p>18.10.16</p> <p>01.02.17</p>

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<p><b>Asset Management – February 2016</b>  <b>Rec. 4.2</b> – Management should consider developing a combined asset management strategy clearly assigns the roles and responsibilities of the asset management process. This strategy should include reporting of performance against the strategy. A disposals policy or clear guidance should be in place and shared across the Force to ensure that a clear and safe process for the disposal of assets is adhered to.</p> <p><b>Managers Response</b> – The four departmental strategies cover the largest and most material of the forces assets but clarity will be sought over the assets that do not clearly fall into these categories and an expansion of the Estates Strategy to include these items will be considered. Moreover, once the inventory list has been completed this may facilitate the need to dispose of some surplus items and a disposals policy will be considered at this time. Disposals Procedure to be written and update the Financial Regulations in this area.</p> <p><b>Managers Update As At 15.07.16</b> – The disposals procedure is in progress, the changes to Financial Regulations will be done in line with other changes that will be needed from the Procure to Pay review. All changes to the regulations will be done at once rather than piece meal. The disposals procedure is till on target to be written by end of July 2016. The update to the Financial Regulations needs to be moved to 30 September 2016.</p> <p><b>Managers Update As At 20.09.16</b> – The disposals procedure was written by the end of July and circulated in early August for consultation; a considerable amount of significant feedback was received which is currently being considered. This also meant that the relevant changes to the Financial Regulations were not ready in September as was planned. Every effort will be made to complete both the procedure and the changes to the Financial Regulations by the end of October 2016, however, given the imminent staff changes in the Corporate Finance team it is sensible that a completion deadline of 30 November be set. Current control procedures are still operating effectively in that proposed disposals are approved by the Commercial Partnership Team.</p> <p><b>Managers Update As At 10.01.17</b> – The disposals procedure has been revised to take account of the feedback received; this is now ready for final review and publication. Publication deadline February 2017. The Financial Regulations have been changed accordingly. Current control procedures are still operating effectively in that proposed disposals are approved by the Commercial Partnership Team.</p>	2	<p><b>Original Timescale</b> 31.07.16</p> <p>Disposals Procedure will be completed by 31.07.16</p> <p>Update to Financial Regs will be completed by 30.09.16</p> <p><b>Revised Timescale</b> 30.11.16</p> <p><b>Revised Timescale</b> Mostly Complete Final Deadline 28.02.17</p>	Deputy Chief Finance Officer	<p>27.07.16</p> <p>18.10.16</p> <p>01.02.17</p>

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<p><b>Victims Code of Practice – April 2016</b>  <b>Rec 4.4</b> – The Lincolnshire Police Right to Review scheme should be reviewed to ensure a comprehensive document exists to cover:</p> <ul style="list-style-type: none"> <li>• An introduction, purpose and relevant legalisation in respect of Right to Review.</li> <li>• Roles and responsibilities for each aspect of the process.</li> <li>• Availability of detailed information (end to end process) for both officers and victims.</li> </ul> <p>Performance monitoring in terms of take up, effectiveness and review processes.</p> <p><b>Managers Response</b> – This aspect will fall to the regional CJ process and the force executive who currently monitor and administer the VRR. C/Insp Garthwaite will discuss this with relevant parties to take forward.</p> <p><b>Managers Update As At 14.06.16</b> – A review and a rewrite of the whole Right to Review process has been completed by D/Inspector Rimmer at Spalding.</p> <p><b>Managers Update As At 15.07.16</b> – This process now includes all the aspects as required in the audit recommendation. The process is currently circulated for consultation with a view to imminent publication around the Force. The process will have central administration by the IRT. Right to Review is specifically covered in the current round of Victim Contact Training, which to date has been delivered to over 400 front line staff, with more to come. This training includes a hand out of information for victims in relation to Right to Review and the responsibility of officers.</p> <p><b>Managers Update As At 02.10.16</b> – The latest update is that the process has now been designed and currently sits with the Regional NICHE team, the expected go live date is 19 October 2016. From the 19 October D/Supt. Wood will be the responsible officer. Ch. Insp. Garthwaite has suggested that this recommendation is revised to 31 October 2016. This recommendation is now complete.</p> <p><b>Managers Update As At 24.11.16</b> – This recommendation is complete.</p>	2	<p><b>Original Timescale</b> 31.07.16</p> <p><b>Revised Timescale</b> 30.09.16</p> <p><b>Revised Timescale</b> 31.10.16</p> <p><b>COMPLETE</b></p>	<p>Ch. Insp. Garthwaite &amp; Regional CJ / Force Executive</p> <p>Responsible Manager is now Supt. D. Wood</p>	<p>27.07.16</p> <p>18.10.16</p> <p>01.02.17</p>

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<p><b>Benefits Realisation-Business &amp; Change – May 2016</b>  <b>Rec 4.1</b> – A benefits realisation procedure should be documented and embedded across the Force. This should encompass an agreed approach for the following areas:</p> <ul style="list-style-type: none"> <li>• Creation of a standard set of tools, templates and techniques for benefits realisation;</li> <li>• Responsibilities for each stage of the process;</li> <li>• Establishing quantifiable benefits (at the outset of the Project) which meet the requirements and priorities of the Force, to avoid 'non-value adding' benefits;</li> <li>• Create links between Strategic Objectives and benefits realisation and incorporation into individual Project Business Cases;</li> <li>• Monitoring and reporting mechanisms to use to identify, monitor and record upon benefits being realised;</li> <li>• Timing and frequency of benefits realisation reviews; and</li> <li>• Approach to such reviews</li> </ul> <p><b>Managers Response</b> – The approach to business benefits realisation has been hampered by the way in which change activities, such as formal projects, are devised and commissioned. The Continuous Improvement Unit is working with the Chief Officer Group to set the overall direction and objectives of change for the Force. Once this has been achieved, there is a further plan to ensure that strategic plans, project plans and projects are aligned with the objectives. As the final part of this work, all existing project Benefits plans will be reviewed, and a consistent approach to the use of plans, reviews and reporting of benefits will be created. The Force would benefit from knowing whether any other Forces provide a good example of how this works in practice, that could help us in our own development.</p> <p><b>Managers Update As At 15.07.16</b> – Timescales need to be revised to 31 December 2016, to allow time to evaluate the current set of projects against the newly created set of Force Strategic Objectives with the Operational Policing Plan, which haven't yet been published.</p> <p><b>Managers Update As At 04.10.16</b> – A draft Police and Crime Plan and draft Operational Policing Plan have now been published. This has enabled a review of current objectives against project deliverables to ensure that the expected benefits will be delivered. The Continuous Improvement Unit is also creating the Force's approach to Benefits Realisation document and, starting from November, will be discussing Project and Programme Benefits as a standing agenda item at the Force Programme Board. This recommendation is on track for completion by the end of December 2016.</p> <p><b>Managers Update As At 06.01.17</b> – Mandatory requirements in relation to Business Benefits have been created in 'The Change Manual', a new document aimed at those involved in formal project management and other change activities in Lincolnshire Police.</p> <p>The manual lays out the requirements for benefits recording, roles and structures, and provides standard templates for consistent recording of business benefits. The manual has been completed to complement the new Force Change Board, which will replace part of the previous PEEL Board, and act as the Force's major programme board; as well as encompassing horizon scanning and HMIC functions. The manual has been submitted to the Assistant Chief Officer for approval.</p> <p>It is suggested that this recommendation is complete.</p>	2	<p><b>Original Timescale</b> 31.08.16</p> <p><b>Original Timescale Changed To</b> 31.12.16</p> <p><b>COMPLETE</b></p>	Continuous Improvement Manager	<p>27.07.16</p> <p>18.10.16</p> <p>01.02.17</p>

# Appendix A

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
<p><b>Pensions – July 2016</b></p> <p><b>Rec 4.2</b> – Roles and responsibilities in respect of the pension operation, including consideration of the different schemes in operation, should be established and documented within the relevant schemes of delegation, contracts and job descriptions. All staff should be aware of their responsibilities and be satisfied that operations within their remit are operating effectively.</p> <p><b>Managers Response</b> – The Scheme of Delegation will be reviewed and will incorporate any necessary delegations. This will clarify the responsibilities of individuals with regards to Pension Schemes.</p> <p><b>Managers Update As At 10.01.17</b> – Due to the reduced staff capacity in Corporate Finance this has not been included in the latest review of the Scheme of Delegation. It will be reviewed separately by end of March 2017.</p>	2	<p><b>Original Timescale</b> 31.12.16</p> <p><b>Revised Timescale</b> 31.03.17</p>	Deputy Chief Finance Director	<p>18.10.16</p> <p>01.02.17</p>
<p><b>Stock Control – July 2016</b></p> <p><b>Rec 4.2</b> – Journal entries should be processed accurately on the general ledger in line with the supporting documentation and these should be posted to the correct budget codes. Journals should be posted in a timely manner.</p> <p><b>Managers Response – STORES</b> – It is important (for budget setting and monitoring purposes) that a minimum of 3 budgets have costs associated to them – as this is where the budget is :-</p> <ul style="list-style-type: none"> <li>• Police Officers</li> <li>• Police Staff (incl. PCSOs)</li> <li>• Initial Kitting</li> </ul> <p>Review of information provided to Finance to be completed and reasons why this cannot be identified, as per the above 3 categories, to be explored.</p> <p><b>FLEET</b> – Fleet journals are completed in conjunction with Support Services Departments and can only be completed when all invoices are received. Invoices normally take up to two weeks to be received and processed after a delivery. Upon investigation it was found that the journal for October was not posted twice there were two journals posted in one month.</p> <p><b>FINANCE</b> – For both Stores and Fleet – All journals to be actioned in line with month end ledger closure – if not able to be achieved, reasons to be provided and timescales agreed. A request for a t-police change is being submitted to Cap Gemini for a drop down selection of Flex Fields to be added that will enable users to pick the right category (and therefore the right budget) so that spend against these budgets can be more accurately accounted for.</p>	2	<p><b>Original Timescale</b> Stores – 30.09.16 <b>COMPLETE</b></p> <p>Fleet – 30.09.16 <b>COMPLETE</b></p> <p>Finance – <b>COMPLETE</b></p>	<p>Stores – Business Support Manager</p> <p>Fleet – Fleet Administrator</p> <p>Finance – Senior Mgt. Accountant</p>	<p>18.10.16</p> <p>01.02.17</p>

<p><b>Managers Update – Stores/Finance 5.10.16</b> – A combined effort between stores/finance for improving the data entered will ensure that the information can be recorded more accurately. The journals are posted monthly and have been for the last year, occasionally system glitches have meant a month is missed but the values are very small.</p> <p>The request for a flexi-field has been put on hold while we await the outcome of the NUMS system). However we feel that the Stores team can provide more detail to enable the information required to be accurately reported. Therefore it is expected that from October the report detail will improve and no actions will be outstanding. The change request will just provide a more automated way of collecting the information. This recommendation is now COMPLETE.</p> <p><b>Managers Update As At 22.09.16 Fleet</b> – These are being submitted in a timely manner. This section of the recommendation is now complete.</p> <p><b>Managers Update As At 24.11.16</b> – This recommendation is complete.</p>				
<p><b>Stock Control – July 2016</b>  <b>Rec 4.4</b> – Procedure notes should be developed for all key tasks completed with regards to stock management, including uniform, vehicle parts and fuel.  The procedures should be:</p> <ul style="list-style-type: none"> <li>• Regularly reviewed using version control to evidence the review;</li> <li>• Tested for accuracy and appropriateness; and</li> <li>• Made available to all relevant officers and published on the intranet.</li> </ul> <p><b>Managers Response – a)</b> Agreed. T-Police guidance documents to be reviewed and customised to reflect how we need to use the system as per the recommendation.  <b>b)</b> Force Policies and Procedures to be reviewed and new guidance produced where relevant.  <b>c)</b> Procedures will be produced for Support Services staff to complete journals in a timely manner.</p> <p><b>Managers Update As At 28.09.16 a)</b> – Force policies and procedures have been reviewed and a new guidance document produced for processes in Stores so this is now complete. I have reviewed the T-police guidance document and to be frank it is far too long and cumbersome to use to be of much use practically. As a result I have included relevant t-police screens in the Guidance Document. This is complete.</p> <p><b>Managers Update As At 22.09.16 b)</b> – The responsibility of actions was queried and therefore the final report was confirmed mid July 2016. In addition to this we also needed to review the impact of the other points raised within 4.4 in order to amend the policies. Gillian Holder is also in the progress of implementing a new disposal policy – which will take some time as data collection is sought and consultation is required. Given the complexity of this recommendation review I now see the previous completion date as a bit optimistic. The work is in progress and is due for completion by 30 November 2016. T-police guidance has been produced. Gillian Holder producing disposal policy. This is now complete.</p> <p><b>Managers Update As At 24.11.16</b> – This recommendation is complete.</p>	2	<p><b>Original Timescale</b>  a) 30.09.16  <b>COMPLETE</b></p> <p>b) 30.09.16  <b>Revised Timescale</b>  30.11.16  <b>COMPLETE</b></p> <p>c) 31.07.16  <b>COMPLETE</b></p>	<p>a) Head of Assets &amp; Facilities</p> <p>b) IS Contract Manager &amp; Head of Assets &amp; Facilities</p> <p>c) Fleet Administrator</p>	<p>18.10.16</p> <p>01.02.17</p>

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<p><b>Stock Control – July 2016</b>  <b>Rec 4.5</b> – Management should liaise with the t-Police system administrators to establish what reports can be produced to support the Uniform Stock Management process. Requirements of the Force should be defined in terms of which reports would be beneficial to support the process and adequate training on the t-Police should then be provided to Officer's with the responsibility of the management of stock at the Force.</p> <p><b>Managers Response</b> – Agreed. Stores Officer and Business Support Manager to receive appropriate training on the T-Police system and its reporting capabilities.</p> <p><b>Managers Update As At 29.09.16</b> – Not progressed yet. We have looked at the t-police manual to see whether that would give us the training we need but unfortunately it doesn't. Therefore we need to arrange to have some dedicated training probably with CapGemini. This recommendation will need to be extended to 31 December 2016.</p> <p><b>Managers Update As At 19.12.16</b> – There is now an understanding of the reports available to us on t-police and how they can be used to help better manage stock control. This action is now complete.</p>	2	<p><b>Original Timescale</b> 30.09.16</p> <p><b>Revised Timescale</b> 31.12.16</p> <p><b>COMPLETE</b></p>	Head of Assets & Facilities	18.10.16  01.02.17
<p><b>Stock Control – July 2016</b>  <b>Rec 4.7</b> – Minimum and maximum stock level parameters should be set for stock items on the relevant stock management systems. Automatic notifications should be in place where stock falls below the minimum level on the system and additional stock should be purchased following notification.</p> <p><b>Managers Response</b> – Agreed. If the functionality is available on both T-Police and Tranman it should be set up and activated.</p> <p><b>Managers Update As At 29.09.16</b> – All products for Stores have a minimum and maximum setting as part of the product set up. We are currently liaising with Cap Geminin to understand how to switch the functionality on. This recommendation is therefore part complete. It is unclear at this stage if any development time will be needed or a 'Request For Change' submitted to switch the functionality on, therefore I recommend the completion date is extended 31 December 2016.</p> <p><b>Managers Update As At 19.12.16</b> – We are now able to produce the minimum / maximum report manually and will therefore start to do so from January 2017. This action is therefore complete.</p>	2	<p><b>Original Timescale</b> 30.09.16</p> <p><b>Revised Timescale</b> 31.12.16</p> <p><b>COMPLETE</b></p>	Head of Facilities Management	18.10.16  01.02.17



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<p><b>Stock Control – July 2016</b>  <b>Rec 4.8</b> – A segregation of duties should be in place in respect of the uniform stock issuing process.</p> <p><b>Managers Response</b> – a) Process to be reviewed as to why new recruits are not set up on T-Police. It is known Volunteers are not set up on T-Police. b) If there are justified reasons why these categories of staff cannot be set up on T-Police an alternative process to be proposed / established to ensure segregation of duties.</p> <p><b>Mangers Update As At 26.09.16</b> – This requires a system functionality change, and therefore the 30 September is not achievable. It is anticipated that the change will be made October / November and then this needs to be tested and the processes need to be put in place, so I would suggest a date of 31 December 2016 to be on the safe side to have this process up and running.</p> <p><b>Managers Update As At 09.11.16</b> The testing has been signed off with regard to allocating uniform to new recruits. It is expected to be put on the live system before the end of November. This is now on the live t-Police system. This recommendation is now complete.</p>	2	<p><b>Original Timescale</b>  a) 31.08.16  b) 30.09.16</p> <p><b>Revised Timescales (Both)</b>  31.12.16</p> <p><b>COMPLETE</b></p>	a) Head of HR b) Head of HR and Business Support Manager	18.10.16 01.02.17
<p><b>Complaints Management – August 2016</b>  <b>Rec 4.1</b> – All complaints should have a recording decision made within 10 working days of receipt and the complainant be notified of the decision within 15 working days of receipt. All parties who receive complaints should be reminded of this and instructed to forward the complaint to PSD as soon as is reasonably possible. The automated email function from the online complaint form should be investigated to ensure it is working as expected. Thereafter, the complainant should be acknowledged of their complaint as close as is practically possible to 2 working days from receipt.</p> <p><b>Managers Response</b> – The automated email function has been checked and it is now working. The IPCC and HMIC report on compliance with the 10 and 15 day deadlines, they do not report on the 2 day deadline. Case officers contact complainants when complaints are received when further information is required or they appear suitable for local resolution or service recovery. Every effort is made to make this contact as close as is practically possible to 2 working days from receipt. There are insufficient resources and other higher priorities that mean it is not always possible to achieve the two day guide for all complaints received. Whilst we have good compliance to the 10 and 15 day deadlines as reported to us by the IPCC, these deadlines are impacted upon by how soon the complaints are forwarded to PSD. The office manager is tasked to make contact with all complaint recorders to remind them of the importance of forwarding recorded complaints and enquiries as soon as practicable. This will include all Inspectors, the PCCs office, the Executive and district PA officers. The office manager will introduce an entry on the p120B that will allow us to monitor our performance in respect of acknowledging the complaint within 2 working days of receipt.</p>	2	<p><b>Original Timescale</b>  31.01.17</p> <p><b>Revised Timescale</b>  31.03.17</p>	Head of PSD	18.10.16 01.02.17

<p><b>Managers Update As At 10.01.17</b> – In November 2016 the Force IT and IMU department identified vulnerability in how securely the Force saved, stored and transmitted data submitted from members of the public from the Force website. (One such form was the PSD complaint form). Hence the form has been made temporarily not available. The IT Department have informed the Head of PSD that they are currently working upon a solution where data submitted on such forms will be encrypted prior to being internally forwarded to the internal department, i.e. PSD, thus ensuring that the Force is adequately protected. The IT Department expect to have resolved and tested a solution within the next two months. Importantly, the absence of the form on the website does not materially affect members of the public wishing to make a complaint as they can still do so via the website to the PSD Department. The Force website does provide clear instruction on how to make a complaint. The website also explains how to provide information on other agencies that can support them (IPCC and Citizens Advice). Guidance is also provided regarding what information to include in the complaint and the complaint process that will follow, including rights to appeal.</p>				
<p><b>Complaints Management – August 2016</b>  <b>Rec 4.2</b> – In line with the IPCC guidance, complainants should be updated with the progress of their complaint at least every 28 days. The Centurion system or paper file should be adequately updated against the 28 day reminder to detail when and how the complainant was updated and, where appropriate, documentation should be uploaded to evidence this update. Management should consider introducing a KPI and target for the percentage of cases which received an update every 28 working days. This should be monitored periodically.</p> <p><b>Managers Response</b> – When complaints are allocated to complaint handlers they are made aware of the requirement to update the complainant and officers, subject of the complaint every 28 days. The complaint handler is responsible for these updates and not PSD. These requirements will be highlighted to complaint handlers in future, including the need to record such contact within the file. Files will be checked for this on return for final assessment in order to assess compliance. The Independent Advisory Group IAG have also identified a need to improve the index sheet at the front of complaint files which should assist the recording of such contact. The admin function that alerts PSD to send a reminder to officers has not been utilised effectively. When files are returned QA checks will be completed on the index to assess the complainant being kept up to date in line with the guidance. These will be returned or chased up if not compliant. A further dip sampling similar to the work of “Mazars” can then take place to monitor and improve ongoing performance.</p> <p><b>Managers Update As At 10.01.17</b> – This recommendation is complete.</p>	2	<p><b>Original Timescale</b> 30.11.16</p> <p><b>COMPLETE</b></p>	Head of PSD	<p>18.10.16</p> <p>01.02.17</p>

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<p><b>Seized &amp; Found Property – September 2016</b>  <b>Rec 4.1</b> – Management should continue their attempt to standardise the way that all forms of property are recorded on the Niche system. The use of mandatory fields should also be considered to:</p> <ul style="list-style-type: none"> <li>Record cash amounts,</li> <li>Assign an ‘Officer in the Case’</li> <li>Classify property.</li> </ul> <p>Once a standardised process is agreed and developed on the Niche system, all relevant staff should receive refresher training on how to use the software prior to the software being implemented in the live environment.</p> <p><b>Managers Response</b> – Some mandatory fields have recently been introduced which has seen an improvement with the descriptions entered into Niche – however these are not those fields recommended in this report. Any such changes must be progressed via the Regional Niche group for which C/Insp Martyn Parker is the Force representative. Work is being undertaken via C/Insp Parker for Niche to only be able to record one OIC. C/Insp Parker to explore the requirement for any other mandatory fields with the Region.</p> <p><b>Managers Update As At 04.01.17</b> – All forms of property management have been standardised within the region through the use of mandatory fields to ensure data is captured correctly.</p> <p>Record Cash amounts – The lab description in Niche is now mandatory and would incorporate the value or suspected value of money seized.</p> <p>Assign an ‘Officer in the case’ – The single use of an OIC has not been adopted by Lincolnshire currently as this affects not just the property element of the application. Authority was sought from C/Insp Garthwaite who owned the business area for CMB/FCR and the proposal was rejected. The Lincs. Niche domain continues to allow multiple OIC classifications on the occurrence. Considered and rejected due to effects on other areas of business.</p> <p>The OIC on an occurrence links thorough all aspects of the Niche links, custody, case, intelligence. The position in Lincolnshire is that we do not have an OIC linked to every occurrence because the CMB department on call backs would start and complete the investigation without assigning an OIC.</p>	2	<p><b>Original Timescale</b> 31.12.16</p> <p><b>COMPLETE</b></p>	Chief Inspector M. Parker	01.02.17

<p>The second issue is that we also can assign multi OICs on the same occurrence. I suggested that Lincolnshire should enforce a 1 OIC rule which would enable the property tasks to be sent to the right individual. This was rejected by C/Insp Garthwaite as a result on the CMB staff not being OIC's but only recorders of information if they do a telephone enquiry.</p> <p>I think this should be reviewed as it is semantics about what a person is called on the system as I believe an even the telephone call back from CMB are the OIC if they have done the call.</p> <p>The proposal was that the property review tasks would generate to the OIC on the occurrence and if we implemented the single OIC rule on every occurrence it would enhance the property ownership within Niche.</p> <p>I would support this change in process within Lincs and as a note the other 4 forces on the Niche platform enforce the single OIC rule.</p> <p>Classify property – this is a mandatory field within Niche now – Recommendation complete.</p> <p>Niche training is a continual process in Lincolnshire with regular courses advertised. When the mandatory field changes were implemented video training and paper training guides were distributed.</p> <p>This recommendation is now complete.</p>				
<p><b>Seized &amp; Found Property – September 2016</b>  <b>Rec 4.2</b> – On their return to the station, Police officers should be reminded of their responsibility to count amounts of cash in the presence of a witness. Both officers should sign the evidence bag to confirm this. A consistent process for the recording of cash on the Niche system, including the amount, should be formulated and communicated to all officers. The Niche property management system should be updated to include the amount of cash.</p> <p><b>Managers Response</b> – The Force has a Cash Detention Policy PD207 which relates to seizures that fall under the Proceeds of Crime Act. The instruction in this policy is cash should not be counted in order to forensically preserve the evidence. As officers may not be aware whether a case would become a POCA prosecution a practice has developed where cash is generally uncounted. A review of the policies and procedures to be carried out and for this to be clearly communicated to officers.</p> <p><b>Managers Update As At 04.01.17</b> – It was determined that the Seizure of Cash Policy was due for renewal in January 2017. This policy is governed by law. Once this policy is amended in January, Janet Allenby, Business Support Manager will review the Property Policy to reflect any changes. Completion date to be amended to 28 February 2017.</p>	2	<p><b>Original Timescale</b> 31.12.16</p> <p><b>Revised Timescale</b> 28.02.17</p>	<p>Business Support Manager</p> <p>and</p> <p>Commercial Partnership Team</p>	01.02.17

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
<p><b>Seized &amp; Found Property – September 2016</b>  <b>Rec 4.4</b> – A periodic safe count should be undertaken at all locations to ensure an approximate record of safe value is recorded. This should be stored in a backed-up electronic location. This control should be classed as an interim measure until data quality issues have been resolved. Once this is the case, accurate and reliable reports can be extracted from Niche stating the value in each safe.</p> <p><b>Managers Response</b> – Due to the Cash Detention Policy PD207 there is currently no possibility of getting an accurate safe value. This will be reviewed as part of recommendation 4.2.</p> <p><b>Managers Update As At 04.01.17</b> – It was determined that the Seizure of Cash Policy was due for renewal in January 2017. This policy is governed by law. Once this policy is amended in January, Janet Allenby, Business Support Manager will review the Property Policy to reflect any changes. Completion date to be amended to 28 February 2017.</p>	2	<p><b>Original Timescale</b> 31.12.16</p> <p><b>Revised Timescale</b> 28.02.17</p>	<p>Business Support Manager</p> <p>and</p> <p>Commercial Partnership Team</p>	01.02.17
<p><b>Overtime &amp; Time Recording – November 2016</b>  <b>Rec 4.1</b> – Management should form a timetable for the implementation of new system rules on the Crown DMS system. This should be followed to ensure effective and timely implementation.</p> <p><b>Managers Response</b> – The rules were initially implemented in line with national terms and conditions and consulted upon with staff associations, however after implementation some local practices have come to light which now require an amendment to the rules. There are manual processes in place within the HR team to adjust the payment rules which are currently incorrect. This t-Police Project Plan is being redrawn and delivery groups set up for key work streams, one of which is payment rules.</p> <p><b>Managers Update As At 22.12.16</b> – The payment rules work has been merged into the Book On Book Off workstream, the timetable and programme plan will be finalised in January by the Force. Revised completion date is therefore 31 January 2017 to have this plan in place.</p>	2	<p><b>Original Timescale</b> 31.12.16</p> <p><b>Revised Timescale</b> 31.01.17</p>	Head of HR Shared Services	01.02.17

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
<p><b>Overtime &amp; Time Recording – November 2016</b>  <b>Rec 4.2</b> – All overtime entries identified as 'Incorrect Entries' on the Crown DMS system should be investigated and rectified in a timely manner.</p> <p><b>Managers Response</b> – Incorrect entries occur as a result of supervisors not entering overtime correctly, however this will never result in an overpayment as manual corrections are required to all in this list for the overtime to be paid. This remains an issue with supervisors despite time being invested in assisting their understanding, and work is ongoing in respect of this with the aim of increasing knowledge.</p> <p><b>Managers Update As At 22.12.16</b> – This recommendation is complete.</p>	2	<p><b>Original Timescale</b> Immediate</p> <p><b>COMPLETE</b></p>	Head of HR Shared Services	01.02.17
<p><b>Recruitment – October 2016</b>  <b>Rec 4.1</b> – When corresponding with the Vetting Team all departments, including the Vetting Team in confirmation, should ensure sufficient information is provided to confirm the vetting result is for the current post. This should be explicit to remove chance of misunderstanding. Information should include:</p> <ul style="list-style-type: none"> <li>• Employee Name</li> <li>• Date of Birth of Employee</li> <li>• Job Title (vetted for)</li> </ul> <p><b>Managers Response</b> – The Resourcing Team will not progress applicants without confirmation from the Vetting Unit. The Vetting Unit will ensure that this detail is included in all confirmation of vetting levels received from HR moving forward. Both the Vetting Team and HR Resourcing Team will ensure that communication needs to be clear between the two departments &amp; to avoid the potential for misunderstanding will in future ensure the recommendation is implemented for all communications between the two departments.</p> <p>This recommendation was completed at time of audit and is added for information only.</p>	2	<p><b>Original Timescale</b> Immediate</p> <p><b>COMPLETE</b></p>	Force Vetting Officer	01.02.17

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
<p><b>Recruitment – October 2016</b>  <b>Rec 4.2</b> – The Force should ensure that evidence of an employee’s right to work identification is retained and certified to state that the original has been seen. There should be a management check of the information on file to confirm all are present. Where documents are missing, the employees should not start in their posts until all checks have been confirmed and evidence retained.</p> <p><b>Managers Response</b> – The example referred to was an exceptional case due to the circumstances, and therefore a decision was taken to appoint. Processes have been improved in relation to transferring officers to ensure that the correct identification is obtained in all cases.</p> <p><b>Managers Update As At 22.12.16</b> – Evidence of an employee’s right to work identification is retained and certified to state that the original has been seen. Nobody commences in role without this.</p> <p>This recommendation is complete.</p>	2	<p><b>Original Timescale</b>  Immediate</p> <p><b>COMPLETE</b></p>	Head of HR Services	01.02.17
<p><b>Cash, Banking &amp; Treasury Management – November 2016</b>  <b>Rec 4.1</b> – A periodic check of items present in the large walk-in safe against the receipt book should be undertaken. This should be documented and undertaken by two people.</p> <p><b>Managers Response</b> – The recommendation is accepted – a monthly check of the main HQ safe will be undertaken.</p> <p>This recommendation was completed at time of audit and is added for information only.</p>	2	<p><b>Original Timescale</b>  Nov 2016</p> <p><b>COMPLETE</b></p>	Head of Finance	01.02.17