JOINT INDEPENDENT AUDIT COMMITTEE

SUMMARY ACTION LOG – 9 JULY 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 across forces. The Board can also	22/10/2018

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					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
				CFO	The East Midlands PCCs are commissioning an independent review of aspects of regional collaboration.	27/06/2019
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
					Complete. Circulated 26/06/2019.	26/06/2019

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
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
	16/04/2019	16/19	The Committee's Annual Report be published on the PCC's website.		This has been published on the PCC website. Complete.	11/06/2019
286	16/04/2019	07/19	The Committee receive a briefing on those elements of the GDPR that apply to ex-gratia payments.	DCC	This has been dealt with as part of HR follow-up audit, which will be reported to JIAC as part of the internal audit report and discussed at the next JIAC meeting.	
287	16/04/2019	11/19	Consideration be given to including the recent attempted mandate fraud within the proposed response to demonstrate the effectiveness of internal controls.	FCFO	This will be included in the final version to be published by 31 July 2019. Action by 31 July 2019.	28/06/2019
288	16/04/2019	11/19	Clarification be sought as to whether the PCC, CC, CFO and FCFO should be required to answer the same question put to the Monitoring Officer	EA	The PCC, CC, CFO and FCFO should be required to answer the same question.	28/06/2019

			at paragraph 3.3 of the Monitoring Officer draft response document. .			
289	16/04/2019	13/19	Members be provided with a summary of the key points/milestones in the Partnership Futures project.	ACO	Complete. Circulated to Members.	01/07/2019
290	16/04/2019	14/19	A prototype of the new Force assurance model be presented at the next Committee meeting.	DCC	Complete. JIAC meeting 09/07/2019 agenda item 14 refers.	28/06/2019

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