# JOINT INDEPENDENT AUDIT COMMITTEE

## SUMMARY ACTION LOG – 19 NOVEMBER 2019

| Ref | Meeting Date | Minute No | Resolution | Actioned by | Progress | Updated |
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| 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.<br>– Receipt of operational plans from the force scheduled for end December 2018 (DCC response to action 253 refers). | 16/10/2018 |
| | | | | | 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). | 02/04/2019 |
| | | | | | New Corporate Planning process underway Oct 2019 – Force now committed to creating a re-structured assurance map jointly with the OPCC – work commenced October 2019 but is reliant on capturing revised assurance evidence from new processes / delivery plans. | 01/10/2019 |

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| 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 consider opportunities for new areas of collaboration. | 22/10/2018 |
| | 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 |
| | | | | CFO | The review findings will be discussed with PCCs and CCs at their meeting in November 2019. | 08/11/2019 |

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| 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 |
| 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 |
| 291 | 09/07/2019 | 25/19 | Consideration be given to the possibility of weighing bags containing seized cash. | DCC | The policy has been reviewed with a number of recommendations put forward. These are being reviewed by the HOC. | 12/11/2019 |
| 292 | 09/07/2019 | 25/19 | The management position in respect of Recommendation 4 of the Property Management audit be clarified. | DCC | As per the response to item 291 above. | 12/11/2019 |
| 293 | 09/07/2019 | 25/19 | Once finalised, the external review report into the Scheme of Governance be presented to the Committee. | CFO/FCFO | A Governance Working Group has been convened, chaired by the JIAC Chair, to review the Scheme of Governance and provide advice to the PCC and CC. | 08/11/2019 |
| 294 | 09/07/2019 | 26/19 | Progress with implementing recommendations contained in the | FCFO/DCC | The Collaboration Audit actions have now been included in the Internal | 11/11/2019 |

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| | | | Collaboration Audits be included in future reports. | | Audit Report – Implementation Progress Paper on this Agenda. | |
| 295 | 09/07/2019 | 29/19 | A copy of the Treasury Management Strategy Statement be circulated to Members. | DCFO | Circulated to Members. Complete. | 27/09/2019 |
| 296 | 09/07/2019 | 29/19 | A report on the parameters used to develop the 50 year forecast be presented at the next meeting. | CFO/FCFO | Covered under the Treasury Management Mid-Year Review Report. | 30/09/2019 |
| 297 | 09/07/2019 | 30/19 | Consideration be given to the provision of new and developing controls to mitigate risk C02. | RPO | • Force engaged with Cipfa benchmarking programme<br>• Cipfa review Action Plan under construction<br>• External Auditor opinion anticipated<br>• Risk Register amended accordingly | 08/11/2019 |
| 298 | 09/07/2019 | 33/19 | Consideration be given to further developing the table on page 2 of the report to give Members a more informative overview of outstanding recommendations and AFIs. | DCC | The Commercial Partnership Team has provided the attached alternative table to assist with understanding (Appendix A). | 12/11/2019 |
| 299 | 09/07/2019 | 33/19 | Members receive a summary of the finalised report produced by the Independent Crime Recording Confidence Panel, when available. | CAO | The report is expected to be finalised very shortly and will then be circulated to members of the committee. | 08/11/2019 |
| 300 | 09/07/2019 | 33/19 | Members be provided with a web link to HMCICFRS, Sir Tom Windsor's Annual Report. | CAO | Complete. | 08/11/2019 |
| 301 | 09/07/2019 | 33/19 | Consideration be given to providing Members with reports and other publications of relevance to their role on the Committee. | DCFO | CIPFA website routinely being scanned for reports/consultations of interest. Items at the OPCC weekly brief are considered for relevance to the JIAC and will be circulated as | 04/11/2019 |

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| | | | | | appropriate. Complete. | |
| 302 | 09/07/2019 | 34/19 | A summary briefing paper on PEQF be provided for the information of Members. | DCC | PEQF 'Key Facts' document attached (Appendix B). | 12/11/2019 |
| 303 | 09/07/2019 | 34/19 | Further consideration be given to Force involvement in the Fraud Risk Register. | DCC | CFO recommends this involvement. Register created by RPO and owned by Anti-Fraud and Corruption Steering Group. DCC happy with force involvement and waits for the first update from the Group. | 12/11/2019 |

Key

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| DCC | - Deputy Chief Constable | CFO | - Chief Finance Officer | DCFO | - Deputy Chief Finance Officer |
| FCFO | - Force Chief Finance Officer | CAO | - Corporate Administration Officer | CCPA | - Chief Constable's Personal Assistant |
| FFO | - Force Finance Officer | RPO | - Research and Performance Officer | IA | - Internal Auditor |
| RPRO | - Risk Policy Review Officer | CIM | - Continuous Improvement Manager | EA | - External Auditor |
| ACO | - Assistant Chief Officer | | | | |