Appendix A

SUMMARY OF RECOMMENDATIONS

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Recruitment Follow-Up – June 2019 – Rec. 4.2 The details of the ex-gratia payment made should be shared with the OPCC CFO in line with agreement in previous audit report. The Force should ensure that a process is put in place for future ex-gratia payments that includes the correct authorisation levels. **Management Response** – The management response in the previous report stated "*Agreed. The Force will provide the documentation in respect of this payment to the CFO for retrospective consideration. The force will be requesting to the PCC that a change in the delegated levels are increased for ex-gratia payments as the Chief Constable believes that the current £10k level is too restrictive and a restriction on his statutory powers as a corporation sole.*" The outstanding issue is that the full details have not yet been shared with the PCC CFO because the CC believes this is not appropriate as the issue involves a previous employee of the CC. This is subject to ongoing discussion between the PCC and CC. The Chief Constable will then take advice on the matter. In terms of the process, the FCFO is the authoriser on t-Police for the relevant cost centre for ex-gratia payments. In future, where an ex-gratia payment has been submitted to Finance for entry on t-Police, those over the £10k limit will be flagged. The FCFO will refer on to the OPCC for further approval before authorising on t-Police. **Management Update Sept 2019** – This recommendation is partially complete – the process change has been implemented, the PCC and CFO still hasn't been provided with the documents for retrospective authorisation. **Management Update Oct 2019** – The PCC CFO still hasn't been provided the documentation but this will be addressed as part of the review of the Integrated Scheme of Governance currently taking place by the Governance Working Group. **Management Update Dec 2019** – Governance review is in progress. No further update at this time. **Management Update May 2020** – No further update. The Governance Working Group is considering the matter.	1	**Original Timescale** Immediate	FCFO	19.11.2019 27.01.2020 10.06.2020

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Collaboration – Strategic Financial Planning – February 2019 – Rec. 4.4 The Resource Board should determine a consistent approach to budget underspends and efficiency savings to ensure each collaboration unit is engaged and incentivised to deliver efficiency savings. Moreover, there should be clarity when savings are being prepared and proposed so that it is understood what type of saving are being proposed and the impact for all stakeholders. **Management Response** – This recommendation has become more topical in light of the 2019/20 regional budget settlement and is agreed. Under the settlement agreed by PCCs for 2019/20, the underspends for all regional collaboration will be carried forward (with correct accounting principles) into the EMSOU budget to offset cost pressures. A risk inherent in that approach is to reinforce a 'spend it or lose it' mentality in the other collaboration units. The East Midlands CFOs/FDs will discuss this issue at their next meeting (8th April 2019) and make recommendations through the CFO representative to the Resources Board (or future equivalent) for consideration. Those recommendations will include clarity over carry-forward arrangements (as informed by the respective s22 agreements) together with how sound financial management principles will be reinforced. **Management Update Nov 2019** – This has been discussed but it is subject to a proposal that will be tabled to the Resources Board and then agreed with PCCs/CCs. **Management Update Mar 2020** – This has been discussed but it is subject to a proposal that will be tabled at the PCC Business Meeting in April 2020. **Update May 2020** – A current update was requested on 12 May 2020, it has been confirmed that there are no further updates in relation to this recommendation at present. This is the most recent update.	2	**Original Timescale** 08.04.19 **Revised Timescale** 30.04.20	East Midlands CFOs/FDs Leading to: East Midlands Resources Board (or equivalent)	19.11.2019 27.01.2020 10.06.2020

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Collaboration – Business Planning – March 2019 – Rec. 4.2 The Collaboration Units should ensure that there is an agreed business planning process that is scheduled annually. The planning process should include - Coverage of both the current year but also includes future year considerations. - The assessment of resources to achieve the stated objectives / priorities. **Management Response** – Accepted. This recommendation is agreed and will be considered in conjunction with the recommendation at 4.3 that: *Forces should consider if a template/format for collaboration business plans should be established.* **Management Update Oct 2019** – No current update received. **Management Update Nov 2019** – As with 4.3 this will need to be a Force lead process and as such discussions are taking place regarding the allocated lead to ensure this person can progress that action. **Management Update Mar 2020** – As with 4.3 this action was discussed by DCC's in March 2020. 'Heads of' collaborations units are being issued with a recommended timeline for them to follow alongside guidelines on the essential information to be included within a business plan. **Update May 2020** – A current update was requested for this recommendation on 12 May 2020, it has been confirmed that there are no further updates in relation to this recommendation at present. This is the most recent update.	2	**Original Timescale** April 2019 **Revised Timescale** 30.04.20	Regional Collaboration Manager	19.11.2019 27.01.2020 10.06.2020

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Victims Code of Practice – October 2019 – Rec. 4.1 Policies and procedures should be reviewed and, where necessary, updated. These policies and procedures should accurately reflect that of the Code of Practice and should be communicated to all relevant staff / officers. All updated policies and procedures should be held in a central location that can be accessed by all relevant staff. **Management Response** – Agreed. However with the Ministry of Justice opening a consultation on 22nd July 2019 which is open until 11th September 2019, the completion of the updated policies and procedures will be made when the results of this consultation have been published. The review of the Lincolnshire Police policies and procedures has been tasked to Detective Superintendent Mark Kirwan. **Management Update Jan 2020** – A Lincolnshire Policy will be ready for Lincolnshire consultation by 17.01.20. If circulated at this time, the Force could adopt the policy by the end of January 2020. D/Supt. Kirwan has liaised with the office of the National NPCC lead on the subject, DCC Emma Barnett (Staffordshire). DCC Barnett has just completed a consultation phase with the MoJ and it is likely that the revised Victim Code of Practice will be circulated for consultation within the next 4 weeks which will lead to a revised national policy. D/Supt. Kirwan suggests that Lincolnshire await the draft version of the revised policy to understand how significant any changes are. Going to consultation now on the 'old policy' and then publicising the updated policy could cause confusion. **Management Update Apr 20** – Updated VCOP policy has been subject to national consultation and Lincolnshire Police have provided a co-ordinated East Midlands response to the NPCC lead. The 'go live' date of the new policy is delayed due to Covid-19 and there is currently no firm date for implementation however, this could be at the end of the calendar year. Lincolnshire Police have deferred publishing the 'old' policy in anticipation of the new policy however, given the current situation we will now proceed and publish the current/old policy. This policy will be centrally located and all relevant elements of the policy are already communicated to officers by various methods.	2	**Original Timescale** 11.09.19 (Following the Ministry of Justice Consultation) **Revised Timescale** 31.03.20 **COMPLETE**	D/Supt. Mark Kirwan	27.01.2020 10.06.2020

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Victims Code of Practice – October 2019 – Rec. 4.2 Management should consider how the closure process should include a check on the five key entitlements to ensure compliance with the Code of Practice. **Management Response** – Agreed. These will be in place in all reported cases and the OPCC will be requesting quarterly compliance data, in line with the Ministry of Justice victim grant requirements. This is being incorporated into the EOEL that will shortly be rolled out. The process for quarterly compliance data to the OPCC has been agreed. **Management Update May 2020** – The EOEL on Niche has been updated and has VCOP action update requirements from the OIC and then a check of these from their supervisor before any finalisation. The OPCC have been completing the quarterly updates as agreed, with updates being passed back through the leads into Force for follow up. The action point has been completed. However additional amendments have been identified to the EOEL in order to tighten VCOP considerations and compliance further. This has been designed and progressed to the regional Niche group and is awaiting regional agreement to then be updated to the system; it is expected this will take a further 4-6 weeks. National consultation has been concluded on proposed amendments for VCOP which will bring about some further change requirements. This will be reviewed once completed and practices/processes revised to reflect these. This will be managed through the 'Putting Victims First' working group. Recommend that this action is closed as completed, whilst other developments continue to be managed as part of an ongoing review with improvement of victim focus through the 'Putting Victims First' work and also the VCOP changes.	2	**Original Timescale** 31.03.20 **COMPLETE**	T/Ch. Supt. Jon McAdam	27.01.2020 10.06.2020

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Victims Code of Practice – October 2019 – Rec. 4.5 The manner in which feedback is sought, reviewed and communicated should be reviewed. **Management Response** – Agreed. The OPCC, through discussions with the Head of Strategic Development, is progressing the introduction of the use of an automated victim satisfaction survey. **Management Update Apr 2020** – The automated satisfaction survey has been developed with the OPCC, in conjunction with strategic development. This has been created through the use of Survey Monkey. Plans were in place to deliver this, however there has been a change of lead in force for the Victim Focus work stream from C/S Mayo to T/C/S McAdam and as such a request was made to pause on this for a short period whilst a review of all victim processes was carried out. This delay has now fallen into the COVID-19 period and as such there has been limited opportunity to bring stakeholders together. There is a new meeting format for Victim Focus under the 'Putting Victims First' development where all victim matters are discussed with the OPCC represented alongside key force personnel to ensure a clear delivery plan can be developed. This survey is captured as part of this and in the interim the Leicester surveying is continuing. The timescale is pushed back a further 2 months to allow the delivery of an outcome for this action to enable the victim work to be pulled together and the survey to form part of these plans.	2	**Original Timescale** 30.04.20 **Revised Timescale** 30.06.20	T/Ch. Supt. Jon McAdam	27.01.2020 10.06.2020
General Ledger – January 2020 There are no priority 1 and 2 recommendations on this audit report. This has been added for information only.	0	N/A	N/A	10.06.2020

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Counter Fraud – February 2020 – Rec. 4.3 The Force and OPCC should review the current Fraud Awareness training that is provided to new starters to confirm if it meets the needs of the Force and OPCC. The Force/OPCC should ensure that regular refresher training is completed so that staff have awareness of Fraud and Corruption. It should also be considered how and who will monitor the completion of any training. The Force/OPCC should consider carrying out a training needs analysis to establish which areas of the Force have a higher risk of fraud and corruption and then consider if tailored training needs to be rolled out. **Management Response** – a) Anti-fruad and Corruption Steering Group (AFCSG) agree that formal training needs analysis (TNA) should be conducted. RPO to investigate scope and commissioning with the Commercial Partnership Team in the first instance. b) Following completion of the TNA a training action plan will be developed and agreed by the AFCSG for implementation. **Management Update May 2020** – Training Needs Analysis (TNA) requirements have been discussed with L&D (and they have provided supporting documentation). A brief questionnaire has been sent out to those organisational areas identified as higher risk (based on the Fraud Risk register). The existing mandatory induction training module is being assessed to ensure it remains relevant / current. The survey will be returned to L&D by the 15 May 2020 and L&D has been asked to prepare an update for the next AFCSG meeting on the 3 June 2020.	2	**Original Timescale** a) 31.03.20 b) Dependent on the above date **Revised Timescale** 30.06.20	RPO	10.06.2020

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Counter Fraud – February 2020 – Rec 4.4 The Force and OPCC should consider ensuring that the fraud risk register is specific in nature and thus does not replicate existing risk management systems. **Management Response** – Roles and responsibilities for the management of the Fraud Risk Register and the reporting mechanisms associated with it were agreed at the AFCSG meeting in January 2020 (action plan in place). The update of policies and procedures associated with the fraud risk register scheduled within action plan dependent on each document/stage of implementation. **Management Update May 2020** - The Antifraud and corruption policy (PD161) has been refreshed to incorporate reference to the Fraud Risk Register and bring it up to date with recent changes in police regulations. (Completed and Approved by HoPSD and RPO) Minor updates to policy template underway – due for completion by the end of May. A new joint Anti-fraud and corruption strategy has been drafted and approved by HoPSD and RPO – due for ratification by OPCC CEX by the end of May. Review of content of Draft Fraud risk register scheduled for completion by end of June (to be conducted by FRPRO and RPO). Refresh of Risk management policies and strategies to include reference to fraud risk register and associated processes – scheduled for completion by end of September 2020. Briefings for Fraud risk register SPOCS and associated staff are under construction – schedule for completion by end Sept 2020. The AFCSG meeting which was scheduled to be held in April was cancelled due to availability of attendees. Agenda items will be rolled over to the June meeting.	2	**Original Timescale** 30.09.20 On track to be completed by 30.09.20	OPCC / Force	10.06.2020
Data Quality – February 2020 There are no priority 1 and 2 recommendations on this audit report. This has been added for information only.	0	N/A	N/A	10.06.2020
Cash, Bank and Treasury Management – February 2020 There are no priority 1 and 2 recommendations on this audit report. This has been added for information only.	0	N/A	NA	10.06.2020
Payments and Creditors – February 2020 There are no priority 1 and 2 recommendations on this audit report. This has been added for information only.	0	N/A	NA	10.06.2020

Appendix A

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Book On / Book Off – March 2020 – Rec 4.1 The Force should look to increase the reporting capabilities within the DMS system to ensure appropriate analysis can be carried out efficiently. **Management Response** – The Force are aware of the limited capabilities, and there is a project ongoing at the moment to consider a data tool to assist with the reporting of and amalgamation of data across a number of systems. **Management Update May 2020** – This recommendation is being picked up the Business Intelligence (BI) tool project, which looks to bring together a whole range of management information from different systems operating within the Force. A business case is being developed as is a project plan. This recommendation is now being managed by the Project Manager of Horizons 2023 project.	2	**Original Timescale** 30.09.20	Project Manager, Horizons 2023	10.06.2020
Income & Debtors – April 2020 – Rec 4.2 The Force should ensure that debts are chased in line with the policy, in addition to ensuring that all records are maintained solely on the t-Police system. Whilst Capgemini are unable to produce these statements, the Force should ensure that contact is made with debtors in line with their credit control policy. **Management Response** – Statements are being sent on a monthly basis. Debts were being chased on a monthly basis and t-Police was being updated by the team. T-Police is now working. Should be made aware that outstanding debt has been falling. As at 31.08.19 was £1210k and at 31.01.20 £285k, the lowest debt for over 2 years. **Management Update May 2020** – Exchequer Services Manager has confirmed that this recommendation has been completed.	2	**Original Timescale** Immediate **COMPLETE**	Exchequer Services Manager	10.06.20
Payroll – April 2020 There are no priority 1 and 2 recommendations on this audit report. This has been added for information only.	0	N/A	N/A	10.06.2020