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
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. **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. **Update Sept 2020** – **1.** The Antifraud and corruption policy (PD161) refresh has been **completed**. (Approved by Force / OPCC). **2.** A new joint Anti-fraud and corruption strategy has been **completed**. (Approved by Force / OPCC). **3.** Review of content of Draft Fraud risk register– Issues raised during discussion at September 2020 AFCSG prompted further meeting between Internal Auditor, RPO / FRPRO on 29th Sept 2020. Actions arising from this meeting include consideration by RPO / FRPRO of alternative format for recording of fraud risks and greater engagement with operational leads within risk areas / functions. Potential solutions to the issues raised are to be agenda item at Dec 2020 AFCSG. **4.** Refresh of Risk management policies and strategies to include reference to new fraud risk register and associated processes – progress is pending decision on above point (3). **5.** Briefings for Fraud risk register SPOCS – progress is pending decision on above point (3). Note- programme of planned AFCSG meetings affected by availability of key attendees some meetings cancelled / postponed – revised workplan under construction.	2	**Original Timescale** 30.09.20 **Revised Timescale** 31.12.20 **Revised Timescale** 31.12.21 **Revised Timescale** 31.08.22 **Revised Timescale** 30.09.22 **Revised Timescale** 31.12.22	OPCC / Force	10.06.2020 25.11.2020 26.01.2021 28.04.2021 11.11.2021 02.03.2022 25.04.2022 19.09.2022 22.11.2022

Update Jan 2021 – The rollout of the current Fraud risk register has been paused while its format is reviewed with a view to developing a new format that highlights and focusses more on the 'day to day' practical fraud risks faced rather than the currently very broad approach encompassing generic 'theoretical' fraud risks. The FRPRO, RPO and the internal audit manager are to schedule an initial meeting to discuss the proposed new format in early 2021. **Update Apr 2021** – A meeting between the Audit manager, FRPRO and RPO will be held before the June 2021 AFCSG to allow for a revised approach to the current draft register be proposed at the meeting. Subject to approval of the proposal an action plan will then be produced including new target delivery dates. At this stage the revised timescale for implementation remains December 2021 as available resources and capacity to conduct the work are yet to be confirmed. **Update Aug 2021** – (Note Planned June AFCSG Meeting rescheduled to July 2021) A meeting between the Internal Audit Manager, FRPRO and RPO is scheduled for 3rd September to discuss the proposed use of a fraud risk matrix to manage specific fraud risk without duplicating existing risk processes. An action plan including timescales is pending the outcome of this meeting. The work of the Future Services Programme (FSP) will also need to be considered in any implementation plan. (Target date remains December 2021). **Update Nov 2021** – (Note: Planned AFCSG meeting moved from September to 4th October 2021). A meeting between the Internal Audit Manager, FRPRO and RPO was held on 3rd September to discuss the proposed use of a fraud risk matrix to manage specific fraud risk without duplicating existing risk processes. A revised approach was agreed and the RPO is to provide a DRAFT version of the Fraud Risk Matrix and briefing to the December 2021 AFCSG meeting for discussion / approval before an implementation plan can be created. (Target date and plan for implementation likely to be revised following December meeting plus the work of the Future Services Programme (FSP) will also need to be considered in the timeline of any implementation plan). **Update Feb 2022** – Draft fraud risk matrix and supporting documentation remains under construction. To be presented to AFCSG members for approval and subsequent roll out by August 2022. **Update Apr 2022** – The update remains unchanged, as the situation remains the same. Work is ongoing with a view to completion by end of August 2022 pending approval of AFCSG membership. **Update Aug 2022** – Fraud risk matrix template completed and RPO currently scheduling meetings with departmental / functional SPOCS to populate the Template. Policy and Strategy documents amended to reflect introduction of Matrix. **Update Nov 2022** – There is no new update, the completion date has been extended to December 2022. **Update Feb 2023** –The new Fraud Risk matrix is incorporated in the AFCSG Annual report. It is proposed that this recommendation should now be closed.				

Audit Report & Recommendations	Priority 1 or 2	Timescale for completion of Recs.	Manager Responsible	Date of JIAC Mtg Recs. Presented To
Procurement – May 2022 – Rec. 4.1 The Force should ensure that the Financial, Contract and Procurement Regulations are reviewed and updated, if necessary, as a matter of urgency. **Management Response** – The Regulations have been updated to reflect the end of the G4S contract and will be reviewed by JIAC on 25th April. Approval following JIAC review. **Update Aug 2022** – An interim revision of the Financial, Contract & Procurement Regulations has been prepared which adjusts the approval matrix for the end of the G4S contract. This is currently in process for approval. A further full revision will be required once the review of the PCC's Scheme of Consent and both Schemes of Delegation has been completed. The interim revisions are completed but the full review will be done by 31.03.23, the 23/24 budget. **Update Nov 2022** – The response to this recommendation is still current. **Update Jan 2023** – There is no further update on 4.1 required as the action says the FCP's will be updated for approval by 31/03/23 as part of the budget approval for next year. The work is in hand but not complete yet and the due date is in the future.	2	**Original Timescale** 31.05.2022 **Revised Timescale** 31.03.2023	OPCC CFO / DoF&CS	19.09.2022 22.11.2022
Contract Management – June 2022 – Rec. 4.1 The Force should ensure that written procedures and guidance documents are developed and published for contract management. Once created these should be effectively communicated to those responsible for managing contracts. **Management Response** – Given that a full restructure of both the Finance and Commercial Partnership Team is to take place before September 2022 (start date of consultation 14th June 2022), both this recommendation and 4.2 will be addressed following implementation of the new structure. Contract Management will change in 22/23 post the strategic partnership with G4S. Once the new structure has been implemented, revised procedures and guidance will be developed, and appropriate training will be given. BLC have been commissioned to provide a training package for 12 months for members of the new Commercial function. **Update Aug 2022** – No further update. The go live date for the new structure is 1 September 2022 so work in respect of the actions identified will be commencing after that date. **Update Sept 2022** – Lisa Norton has been appointed as the head of Commercial and Contract Management and will be leading on this work moving forward. **Update Nov 2022** – There is no further update on this recommendation at this stage and the Head of Commercial and Contract Management has confirmed that this is on the 'to do list'. **Update Jan 2023** – A draft has commenced for Contract management processes for CCM staff.	2	**Original Timescale** Revised Procedures – 31.03.23 Training – Ongoing, Commence in Sept 2022	Head of Commercial & Contract Management	19.09.2022 22.11.2022

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<tr><th>Audit Report & Recommendations</th><th>Priority 1 or 2</th><th>Timescale for completion of Recs.</th><th>Manager Responsible</th><th>Date of JIAC Mtg Recs. Presented To</th></tr>
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Estates Management – Sept 2022 – Rec. 4.1
The Force should review how management information reports can be re-implemented in order to monitor performance trends related to reactive maintenance.
Management Response – A new Head of Asset & FM commenced in post on 01/09/2022 – A review of the previous management reports will be undertaken to assess the value of producing such reports and will re-implement as required.
Update Nov 2022 – This recommendation is on track to be completed by 31 December 2022.
Update Jan 2023 - It is assumed that the management information report this recommendation refers to is the G4S Monthly Performance report which included the following PI:-
“Proportion of reactive FM requests responded to in accordance with the agreed priority via the Helpdesk”.
I have reviewed this and the below shows the performance against this over the last 5 years.
<table>
<tr><th>Year</th><th>%</th></tr>
<tr><td>2017-18</td><td>93.43%</td></tr>
<tr><td>2018-19</td><td>96.61%</td></tr>
<tr><td>2019-20</td><td>93.23%</td></tr>
<tr><td>2020-21</td><td>93.82%</td></tr>
<tr><td>2021-22</td><td>92.83%</td></tr>
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The performance over the last 5 years has been consistently high and does not provide any valuable performance trend data. The “Concept” (CAFM) system records all requests for maintenance requests, and the responses, so is available to review but I do not consider there is any added value to re-instate routine monthly performance report for this due to the demonstrated previous performance.
Performance against the completion of statutory compliance requirements is continuing as this is more of a risk area which I consider important to monitor.
</td><td>2</td><td>Original Timescale
31.12.22</td><td>Head of A&FM</td><td>22.11.2022</td></tr>
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Estates Management – Sept 2022 – Rec. 4.2 The Force should ensure that stock condition surveys are undertaken in line with the Asset Condition Survey Programme. **Management Response** – A new Head of Asset & FM commence in post on 01/09/22 – A review of the Condition Survey process will be undertaken to ensure alignment with agreed processes. **Update Nov 2022** – This recommendation is on track to be completed by 31 March 2023. **Update Jan 2023** - The audit report confirms that only 3 out of the 18 condition surveys due to be undertaken in 2021/22 were completed. I have reviewed the condition survey process and am content that it is managed and recorded competently. I have established there were 2 main reasons for the lapse in completing those in 2021/22 and them becoming overdue:- 1. COVID – due to the various lockdowns / restrictions a backlog of demand on contractors materialised. The Building Surveyors were therefore more focussed on addressing day to day maintenance activity than on routine condition surveys. 2. There was additional demand on the Estates Team (as with many across the department) on the planning for the transition from G4S – this involved considerable time required to review all contracts, plan for novation and renew other contracts which were not going to novate. I have confirmed that those outstanding have now been completed as committed to by the Estate Manager during the audit.	2	**Original Timescale** 31.03.23	Head of A&FM	22.11.2022
Risk Management & Assurance Mapping – Oct 2022 – Rec. 4.1 The Force Risk Management Strategy should be updated to include the definition of assurance maps and roles and responsibilities for completing them. The Force should ensure that assurance maps are completed in compliance with the template and are updated on a regular basis. **Management Response** – NOTE: The Joint Assurance Map and its associated processes, as described in this audit report, are no longer in use. As of the 20 September 2022 the Force is developing a new, independent assurance mechanism. The RPO will make appropriate changes to the OPCC risk management strategy to align with the new assurance processes, once implemented by the Force. **Update Dec 2022** – Update from OPCC R&PO – I believe responsibility for this action sits with the Force as it refers to updating their strategy to reflect their approach etc. At this moment in time, I'm not aware of the Force's implementation plan or timescales for completing their new Assurance Map. A meeting between the OPCC and Force to discuss the Force's new approach to assurance mapping has been schedule for 9 January 2023. From a purely OPCC perspective we are reliant on the Force laying out their intentions before we can update any of our policies / procedures that might be affected by the introduction of the new Assurance Map. **Update Jan 2023** – Update from DCC - The force has developed its assurance map which it is happy to share with JIAC.	2	**Original Timescale** Timescale is dependent on Force implementation schedule	OPCC Research & Performance Officer / Force Risk Policy & Review Officer	

The Deputy Chief Constable has responsibility for the assurance map. It will be formally reviewed twice a year in April and October. It reports to the CC at the executive Board. The Deputy Chief Constable is happy to answer any queries from JIAC members in relation to the assurance map.				