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SUMMARY OF RECOMMENDATIONS

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. **Update July 2023 - T**he review has been completed in regard to exiting the G4S contract. This has moved into business as usual and the Regs will be reviewed on an annual basis as required. **This recommendation has now been completed.**	2	**Original Timescale** 31.05.2022 **Revised Timescale** 31.03.2023 COMPLETED	OPCC CFO / DoF&CS	19.09.2022 22.11.2022 22.02.2023 02.08.2023

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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. **Update July 2023** - training has been provided by BLC to CCM Contract and Category Managers and to the wider Force stakeholders. Contract management processes have been reviewed and embedded into the new CCM team who are working with their respective category departments to undertake contract management where required. **This recommendation has now been complete.**	2	**Original Timescale** **Revised Procedures –** 31.03.23 Training – Ongoing, Commence in Sept 2022 **COMPLETED**	Head of Commercial & Contract Management	19.09.2022 22.11.2022 22.02.2023 02.08.2023

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Cyber Security – February 2023 – Rec. 4.1.1 The Force needs to put greater emphasis and priority on mitigating against the high impact vulnerabilities as stated in the ITHC in a timelier manner. **Management Response -** Whilst the Network and Security team prioritise high impact vulnerabilities the timeliness of mitigation is not always as desired. The team continues to be under resourced due to an inability to fill skilled roles within the team. With this impact the Security Analysts primary focus is on the highest of risks within the ITHC so they focus on the highs that would have the greatest impact to the force. This then allows them time to help with engineering duties due to under resourcing issues. Once the resourcing issues are dealt with the analysts will be able to focus solely on their duties and all risks will be dealt with more efficiently and proactive checks will also be carried out to try and mitigate any potential future risks	2	**Original Timescale** 31 January 2024	Head of ICT Infrastructure & Operations	02.08.2023
Cyber Security – February 2023 – Rec. 4.1.2 The Force should revise their RAP to be clearer in what end point the action plan corresponds to. **Management Response -** Granularity of reporting within the SharePoint RAP will be improved for the next application specific IT Health Check (ITHC) provisionally scheduled for the end of February. Based on feedback from the next reporting period, changes will then be finalised in time for the next annual ITHC in June. The process of improving the RAP will become part of a continuous feedback loop via Quarterly Security Briefings and the Information Management Board. **Update June 2023 –** Update from Force IT Security Officer**.** As of March, this year the IA Risk list within SharePoint was revised to allow Parent-Child relations between tasks. This has ensured that vulnerabilities are now managed and reported in a granular fashion as per the recommendation. This has been reported internally via the Information Management Board. T**his recommendation has now been completed.**	2	**Original Timescale** 31 March 2023 **COMPLETED**	Force IT Security Officer	02.08.2023
Cyber Security – February 2023 – Rec. 4.1.3 The Force should adopt a more proactive vulnerability management approach running Nessus monthly to identify new vulnerabilities to feed into the RAP. **Management Response -** Monthly vulnerability scans have been implemented as of January 2023. Office 365 logs are also being reviewed. Results will be shared with key stakeholders through reporting activities detailed in 4.4 below. Work is also ongoing with the NMC to look at what other tools can be utilised to share a clearer picture of our current security vulnerabilities. These processes will be formalised in new IT policy and roles and responsibilities made clear via RACI. **Update July 2023** – The Security Team are now proactively utilising Nesus to perform vulnerability scans of the network, both scheduled and ad hoc. Office 365 portals are frequently reviewed to ensure incidents and alerts are being acknowledged and actioned and all responder teams are aware of their respective responsibilities.	2	**Original Timescale** 01 August 2023	Head of ICT Infrastructure & Operations	02.08.2023

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Cyber Security – February 2023 – Rec. 4.2 The Force should also revise their emergency plan to include for different types of cyberattacks and not to generalise their guidance. **Management Response -** The current plan has previously been reviewed by the National Management Centre and is planned for annual review in February as part of the annual review process. Security Analysts will work with the NMC to review the IT audit feedback and integrate that into an updated plan as appropriate. **Update July 2023** – Consultation has happened with the NMC, ITSO and security teams respectively. The emergency planning team are currently reviewing the wider business continuity documentation which will play an important part in defining the cyber-attack response and is an on-going consultation with the team. This work will not be completed before the beginning of August.	2	**Original Timescale** 01 August 2023	Head of ICT Infrastructure & Operations	02.08.2023
Core Financials – June 2023 – Rec 4.1 HR should ensure that both leaver and payroll amendment forms are submitted in a timely manner to Payroll, to minimise the risk of making unrecoverable overpayments and backdating pay. Management Response - In relation to the leavers identified, one individual in the sample resigned with immediate effect, and another was approved to give less notice than the 28 days due to the circumstances of their leaving and joining another Force. These circumstances mean that due to the payment of salary being two weeks in advance and two weeks in arrears – sometimes the payroll has already been run but changes still occur that affect the relevant pay period and therefore overpayment is unavoidable. In relation to the payroll amendment form, I will monitor this to ensure that where it is within our control, we obtain the information from management in a timely manner or escalate where this is looking like it will not be the case.	2	**Original Timescale** Ongoing. Review and update to be given by 31 December 2023.	Head of Human Resources	02.08.2023

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EDI – June 2023 – Rec 4.1 The Force should implement an EDI Policy, contents should include but not be limited to: - • The Force's mission statement and approach with respect to EDI • Legislation the Force are complying with in supporting EDI (Equality Act 2010 and Public Sector Duty) • Aims and objectives of the Force with respect to EDI; • Roles and responsibilities of individuals dedicated to EDI (including both the EDI Board and EDI Team); - • Any forms of training / performance reporting with respect to EDI; and – • References to the EDI Strategy and supporting strategies (such as the 'Making Lincolnshire Safe' strategy). The Policy will provide a single point of reference for individuals to learn about the Force and its relationship with EDI. **Management Response -** EDI Team can develop an EDI Policy which will be an overarching document that captures the recommended contents.	2	**Original Timescale** 31 December 2023	Head of EDI	02.08.2023
EDI – June 2023 – Rec 4.2 As planned, the Force should deliver continuous and regular EDI training to their staff (this can be either formal or informal), ensuring content is relevant, focused and engaging. The Force should ensure logs of training completed are held for both officers and staff, allowing them to verify whether training is successfully completed as per their induction. This would also allow for monitoring of completion rates, where the Force could investigate the time, it takes for staff to complete such training (for online modules only). **Management Response –** We are working with Erin Bell to develop our approach to specific EDI Training and EDI issues within other training courses to ensure content is relevant. In the short term (<12months) the force is developing our capability to utilise T-Police and then ultimately developing a new Learning Management System – LMS (12-24 months). Logs of completed training are held, but it is not currently a straightforward process to maintain oversight of EDI inputs, completion rates and time taken, which should be resolved with the better utilisation of T-Police and then the replacement LMS.	2	**Original Timescale** First Stage Utilising T Police – 31 May 2024 Second Stage developing a new Learning Management System by 31 May 2025.	Head of Learning & Development	02.08.2023

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Stock Control – July 2023 – Rec 4.1 The Force should produce clear and accurate guidance on the completion of stock takes. This should include information around record keeping, the level of discrepancy on the system and any amendments to systems following identification of discrepancies. The Force should remind Stores staff of the importance of updating the system to reflect any changes made upon fitting. **Management Response -** Some guidance is in place but accepted it is out of date and is required to be updated. Stock records from the 2023 audit do include records signed by those who undertook the stock take and this process will be incorporated into the updated guidance.	2	**1 October 2023**	Business Support Manager	02.08.2023
Stock Control – July 2023 – Rec 4.2 The Force should investigate the discrepancy of the write off figures to ensure the correct figure has been processed. The Force should have agreed guidance for the write off of stock. The Force should ensure sufficient audit trail is retained for any review, approval and amendments of stock write offs. **Management Response –** In accordance with the Finance & Contract Regs (FR27 – Write off of Stocks & Stores), during the Strategic Partnership, a report was always submitted to the CPT for approval to write off any stock. This was reviewed by the CPT Contract Manger and submitted for approval to the OPCC's CFO / Force CFO depending on value of write-off being sought. As the CPT has now disbanded, a revised guidance note will be documented – this has previously been provided by the Deputy Finance Officer / Head of Finance.	2	**1 October 2023**	Head of Finance	02.08.2023
Data Quality – July 2023 – Rec 4.1 The Force and OPCC should implement data quality training modules as part of key systems training (i.e., NICHE, T-Police, etc.) that covers general data quality issues, common errors within these systems and the impacts of data entry and/or record linkage errors. **Management Response** – This is work being undertaken by Methods. They are devising workshops, which can be used as a training package, as part of the linked data strategy which covers data literacy and includes data quality and it's importance. This incorporates Information Asset Owner (IAO) Training, detailing how these roles and Heads of Service are custodians of the data within the systems they 'own'.	2	**31 December 2023**	Head of IMU	02.08.2023

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Data Quality – July 2023 – Rec 4.2 The Force should ensure that information from the Regional Data Quality team is reported to the Information Management Board and any issues are escalated as required to the Chief Officer Team. Additionally, any issues, recommendations and/or learning presented should be reviewed by the Information Management Unit to determine how these can be rectified or implemented by the Force and/or OPCC. **Management Response** – This is already a standing item at IMB. The most recent IMB in May, this was discussed and reported on. It is shown as PND dashboard, but DQ is part of that update and reported to the DCC and CDIO and escalated as needed by DCC and CDIO to Chief Officer Team. The Information Management Unit already review the PND Dashboard document that details DQ issues and will implement and rectified as required. T**his recommendation has now been completed**	2	**COMPLETED**	Head of IMU	02.08.2023