

Internal audit report recommendations previously agreed by the Committee

**ACTION PLAN**

*The priority of the findings and recommendations are as follows:*

**Fundamental** - action is imperative to ensure that the objectives for the area under review are met.

**Significant** - requires action to avoid exposure to significant risks in achieving the objectives for the area under review.

**Merits Attention** - action advised to enhance control or improve operational efficiency.

**IT Follow Up: Agreed by Audit Committee 28 August 2008**

IT Disaster Recovery Planning						
Req	Recommendation	Categorisation	Accepted Y/N	Management comment	Implementation date	Manager responsible
5	Management should ensure that provisions made for recovery at [Premises 2] are tested on a periodic basis.	Significant	Y	As facilities are implemented at [Premises 2], a regular programme of testing will be initiated. The migration of DR services to [Premises 2] is expected to be an on-going process with a three year timescale.	March 2010  16/3/10 Update (Tim Glover) - We undertake formal recovery tests on a quarterly basis. Most of these tests now take place at (Premises 2). Warm standby systems for document storage, Intelligence and HOLMES, legacy payroll, mapping, telephony surveying, EMSOU crime management and asset register, Innkeeper, PROMAT id parades, vehicle fleet management and digital signage are live at (Premises 2). As regional collaboration develops we will further enhance resilience by sharing data centres with other Forces.	Tim Glover  13/4/10 – UPDATE – No change since 16/3/10 update  <b>7/6/10 – UPDATE - Ongoing</b>

Police Pensions Injury Awards: Agreed by Audit Committee 10 November 2009

Req	Recommendation	Categorisation	Accepted Y/N	Management comment	Implementation date	Manager responsible
1.6	Management should ensure that there is a system in place to review and monitor the receipt and follow up of medical / other benefits. This should be by regular review to ensure that any changes to recipient benefit are reflected in the award payment.	Significant	Y	<p>1. All recipients to be contacted on an annual basis in respect of the benefits they are receiving</p> <p>22/4/10 – Update (Ruth Gilbert) – All pensioners received a newsletter in April 2010 which included a paragraph regarding injury awards and setting out their responsibilities to inform the Force of any changes in benefit. In addition all pensioners in receipt of an injury award will receive individual letters by end May 2010 to confirm their benefits.</p> <p><i>8/6/10 – Update (Ruth Gilbert) – Letters have been sent to all pensioners in receipt of an injury award with a return deadline of the 31<sup>st</sup> May. Where a response has not been received by the deadline injury award payments will be suspended from the 1<sup>st</sup> July. The Pensions Manager is reviewing the returns received and reconciling these to the benefits payable. Work to date has identified a number of under and over payments.</i></p>	1. To commence April 2010	<p>1. Ruth Gilbert, Finance Manager</p> <p>1/3/10 – UPDATE - Ongoing</p> <p>22/4/10 – UPDATE – Ongoing</p> <p><i>8/6/10 – UPDATE – Ongoing</i></p>



ITIL Self Assessment review: Agreed by Audit Committee 18 March 2010

Req	Recommendation	Categorisation	Accepted Y/N	Management comment	Implementation date	Manager responsible
3.1.1	Management should ensure that adequate, detailed documentary evidence is in the central repository to support the attainment ratings assigned for each of the ITIL self assessment maturity questions.	Significant	Y	This will be achieved in time for the HMIC	31 <sup>st</sup> March 2010	Deviya Mistry  13/4/10 – UPDATE – Inspection not expected until October 2010. Central repository will be implemented by then.  <i>7/6/10 – UPDATE – Inspection not now expected in 2010/11</i>
3.1.2	The authority should implement the “Action Points” in Appendix A, in order to maintain the current ITIL attainment levels.	Significant	Y	The Action Points will be incorporated into the IT Business Plan which will be used as the Service Improvement Plan.	31 <sup>st</sup> March 2010	Tim Glover  13/4/10 – UPDATE – Service Improvement Plan in place that includes the action points with a timescale for completion of 31/3/2011  <i>7/6/10 – UPDATE - Ongoing</i>

**Payroll (including expenses): Agreed by Audit Committee 18 March 2010**

Req	Recommendation	Categorisation	Accepted Y/N	Management comment	Implementation date	Manager responsible
31	We have recommended in our previous three reports that the LGPS Service Level Agreement should be traced and thus be available in the event of any query. We note that no progress has been made in respect of this and therefore reiterate our recommendation that further efforts should be made to obtain the Agreement.	Merits Attention (The Committee asked for this one to be brought back)	N	A formal SLA does not exist between the LGPS scheme administrator and the Force. Whilst the LGPS Administration Regulations 2007 refer to SLAs between administering and member bodies, their adoption is voluntary. Currently none of the member bodies of the Leics LGPS have a signed SLA. However, the LGPS Pensions Manager has produced a draft SLA which we will undertake to review to see whether there is any mutual benefit in proceeding with formal adoption.	31 <sup>st</sup> March 2010  Revised Implementation date – 30 <sup>th</sup> June 2010	Ruth Gilbert (Head of Finance)  22/4/10 – UPDATE – Ongoing  <i>8/6/10 – UPDATE - Ongoing</i>

**Health and safety Governance: Agreed by Audit Committee 20 May 2010**

Req	Recommendation	Categorisation	Accepted Y/N	Management comment	Implementation date	Manager responsible
6	Determine what information needs to be reported upon (based on HSE requirements) to the Police Authority or F&GPC (as required) and ensure that an annual report is submitted each year. The Authority may wish to receive a retrospective report for 2008/09 to ensure that it has a complete reporting overview of health and safety outcomes.	Significant	Y	Agreed. To be discussed. Confirmed and communicated and to be reported to the next F&GPC 22.12.09 and thereafter in June annually.  Report was submitted in similar format to previous years. The attendance of two members of the Police Authority at H&S Executive Committee meetings is a key strength for us compared to other Forces.  Consideration could be given to reporting the key h&s strategic risks detailed on Orchid – these are already beginning to be reported to the Exec Committee.	Implemented	Principal H&S Advisor

19	<p>HR should clarify controls required to be followed in connection with the procedure on the Induction Checklist and ensure the correct procedures are followed.</p> <p>We would suggest the following controls</p> <ul style="list-style-type: none"> <li>to require induction checklist to be completed</li> <li>ensure HR follows up instances where the induction checklist is not returned in a reasonable timescale</li> </ul> <p>Failure to return these should provide a mechanism to seek assurances all have been adequately completed.</p>	Significant	Y	To be communicated to HR for actioning	Implemented	<p>Ali Coulton – HR Workforce Planning</p> <p>Steve Smith – HR Business Solution</p>
20	<p>Ensure that accident and incident data are reported both to the Force Executive Group and to the Authority at appropriate intervals.</p>	Significant	Y	<p>To be confirmed.</p> <p>Accident and incident data can now be reported to the H&amp;S Exec due to admin staff being available.</p> <p>Accident stats reported to PA in previous formal report to F&amp;GP in December.</p>	Report to H&SS Executive Committee, 26/2/10	Principal H&S Advisor

### Transport – Vehicle Fleet: Agreed by Audit Committee 20 May 2010

Req	Recommendation	Categorisation	Accepted Y/N	Management comment	Implementation date	Manager responsible
5	<p>Review the process to ensure that staff resources are effectively utilised in the task of producing the recharges for transport costs. Review the detail of the recharges produced with a view to streamlining the process to produce the required management information. Confirm with users the value of the management information provided in support of the recharges made to ensure that data provided is deemed to be fit for purpose.</p>	Significant	Y	<p>The recommendation is accepted and will be further considered, developed and implemented within the current force project concerning the restructuring of corporate finance and administration services.</p>	Implementation process has already commenced and is scheduled for completion by Oct 2010	Project lead within Savings Team in conjunction with Ray Adkins