

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.

## Business Continuity Planning: Agreed by Audit Committee 10 June 2008

Req	Recommendation	Categorisation	Accepted Y/N	Management comment	Implementation Date	Manager responsible
5. (Refer also to paras.6, 8,12, & 15)	<p>Ensure mechanisms are maintained to ensure Compliance with the Business Continuity management Strategy including the following:</p> <ul style="list-style-type: none"> <li>▪ The completion of the review and subsequent approval of the BC Plans.</li> <li>▪ Setting out and completion of associated testing /exercising the approved Plans to identify gaps /areas for improvement etc.</li> <li>▪ Identification of roles / responsibilities within the BC Plans</li> <li>▪ Contact details are kept up to date</li> <li>▪ The accessibility of BC Plans is deemed adequate and relevant staff know where to locate the Plans in an emergency</li> <li>▪ Ensuring 'grab bags' include all relevant details / data and are kept up to date</li> <li>▪ Entering of associated data for Business Continuity Planning on the risk register system and prompt follow up in line with review period set.</li> </ul>	Significant	Y	<p>The 3 Force BCU plans signed off. All other plans and BIA complete, in signing off process. Exercise and test of 3 BCU plans November 2008. Review of contact details standing item for BC SPOC. Framework for access to BC plans written. Data to be placed on Force Intranet. Grab bags in place where appropriate: i.e. CMC, Ops Planning. BC Data at risk STR42 on Force Risk Register, parameters set.</p>	<p>Continuous</p> <p>Update 19/12/08. City BC exercise completed 18/12. Gap analysis being done and some already identified. North and South BCU's reviewed individual / stakeholder contacts throughout their plans and amended as necessary. BC tabletops for North / South and Ops will commence in first half of 2009.</p> <p>The plans framework is not currently on the intranet as still awaiting some plan signoffs and also until Force Crisis Management Team are trained in the use of tools. This training scheduled for Jan / Feb 2009.</p> <p>There has been some <u>further</u> delay in this training which will now be completed <u>after</u> May 2009 – after this the plans framework will be entered onto the intranet.</p>	<p>BC Plan Owners FRMG Force Risk/BC Manager</p> <p>Ins Mick Fletcher</p>

Req	Recommendation	Categorisation	Accepted Y/N	Management comment	Implementation Date	Manager responsible
					<p>22/2/10 Update (Mick Fletcher) - The FRMG has now been superseded by the Strategic Organisational Risk Board. A re-draft of the Business Continuity Strategy was approved at the January SORB. This has bolstered the arrangements for exercising plans and all departments have tested (or are currently testing) their plans for people absence. Subject to limited exceptions due to sensitivity, plans are now available on the document library. Annual reviews of plans will see them migrated to a new standard template</p>	<p>22/2/10 – UPDATE - COMPLETED</p>

## 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  <i>13/4/10 – UPDATE – No change since 16/3/10 update</i>

## 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	1. All recipients to be contacted on an annual basis in respect of the benefits they are receiving <i>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.</i>	1. To commence April 2010	1. Ruth Gilbert, Finance Manager  1/3/10 – UPDATE - Ongoing  <i>22/4/10 – UPDATE - Ongoing</i>

## Payments and Creditors: Agreed by Audit Committee 10 November 2009

Req	Recommendation	Categorisation	Accepted Y/N	Management comment	Implementation date	Manager responsible
1.15	<p>A formal process of review should be introduced in relation to Supplier credit notes. Aged Creditor reports should be reviewed on a quarterly basis for any Supplier accounts with a debit balance on the purchase ledger and no recent activity.</p> <p>For any cases identified, enquiries should be made as to whether the Supplier is likely to be used in the future. If this is not the case then a cheque should be requested from the Supplier in place of the credit note.</p>	Significant	Y	<p>This will be discussed with the rest of the finance department and a formal process of review, via exception reports, will be introduced in relation to supplier credit notes.</p> <p>1/3/10 Update (Andrew Dale) - The backlog of supplier credit reports is in the process of being cleared by Corporate Finance following consultation with the Finance Director. A further review of Suppliers will take place at quarter-end (Feb/May/Aug/Nov) to identify credit notes requiring further action</p>	Ongoing	<p>Corporate Accountant</p> <p>1/3/10 – UPDATE – Ongoing</p> <p><i>13/4/10 – UPDATE – Ongoing (No change since 1/3/10)</i></p>

## Income and Debtors: Agreed by Audit Committee 10 November 2009

Req	Recommendation	Categorisation	Accepted Y/N	Management comment	Implementation date	Manager responsible
1.7	<p>There is need for controls over the management of the Periodical Income Pro-Formas to be strengthened to ensure that all income due is raised in a timely manner. To achieve this we would recommend.</p> <ul style="list-style-type: none"> <li>Departmental Managers be required too overview the Pro-Formas on a monthly basis as part of their general budgetary review responsibilities.</li> <li>Staff responsible for the maintenance of the Pro-Formas be reminded of the need to check these at regular intervals and ensure that the records are maintained up to date at all times.</li> <li>As invoices are raised the invoice number should be added to the sheet as well as the date and initial of the member of staff who input the invoice into the system. This will ensure that there is a clear audit trail should any</li> </ul>	Significant	Y	<p>We agree that this is a problem as if invoices due are not being raised in a timely manner this will affect the cash flow of the organisation. It is therefore of significant importance that invoices are being raised on time.</p> <p>The process of recording recurring income will be reviewed to involve more monitoring activities in the form of a management review at a departmental level.</p> <p>It has also been noted that the monitoring spreadsheet may benefit</p>	Ongoing	<p>Corporate Accountant</p> <p>1/3/10 – UPDATE – Ongoing</p> <p><i>13/4/10 – UPDATE – Ongoing (No change since 1/3/10)</i></p>

Req	Recommendation	Categorisation	Accepted Y/N	Management comment	Implementation date	Manager responsible
	<p>problems arise.</p> <ul style="list-style-type: none"> <li>The Pro-Forma should be signed by the Department Manager every month to ensure that it has been completed and kept up to date in a timely and accurate manner.</li> <li>Pro-Formas should be reviewed at the monthly budget meetings held with the Finance Department to give assurance that all income is being raised in an accurate and timely manner.</li> </ul> <p>Whilst we would expect missing income to be identified during the monthly budget meetings we would still recommend that a review of all Pro-Formas to date is undertaken to identify the cases where these do not evidence that an invoice has been raised and to then undertake appropriate checks to see if an invoice has been raised and just not marked or is one has not been raised then this addressed as a matter of urgency.</p>			<p>from a signature box for each month. This will therefore be considered further.</p> <p>1/3/10 Update (Andrew Dale) - The periodical income form has been revised with effect from 1<sup>st</sup> April 2010. The form now includes a section for the manager (normally the MSO/ Management Support Officer) to review and sign-off on each month to verify that invoices have been raised as planned. A copy of the periodical income form has been provided to all BCUs and Departments and also hosted on the Finance Department website.</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	<p>Deviya Mistry</p> <p><i>13/4/10 – UPDATE – Inspection not expected until October 2010. Central repository will be implemented by then.</i></p>

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  <i>13/4/10 – UPDATE – Service Improvement Plan in place that includes the action points with a timescale for completion of 31/3/2011</i>
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**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  <i>Revised Implementation date – 30<sup>th</sup> June 2010</i>	Ruth Gilbert (Head of Finance)  <i>22/4/10 – UPDATE - Ongoing</i>