

Data revision date: 10/11/17

Devon & Cornwall Police Outstanding recommendations Priority 4 & 5 October 2017							
Probity Audit on POCA Money							
Unique Reference	Description	Priority	Status	Target Date	Revised End Date	Assigned To	Management Responses
34288	I recommend that the Head of Finance ensures that there is clarity in the decision making process for POCA spending. The appropriate decision making channels should be clear i.e. Level of Officer approval or Board and at what level/value bids can be approved. Without this information, no funds shall be released. NOTE: This recommendation may be negated if a decision is made that POCA funds and allocation are monitored centrally.	4	Agreed	31-Mar-17	01-Apr-18	OPCC S151 Officer	Guidance, governance and direction for the use of POCA funds is to be determined through recommendation 34669.
34669	I recommend that the OPCC S151 Officer considers introducing a centralised process for the issue of POCA funding and that a robust framework is put in place to capture, allocate, record and monitor all funding.	4	Agreed	01-Apr-17	01-Apr-18	OPCC S151 Officer	A decision paper has been prepared. This will be taken to the D&C OPCC Mgt Board on 27th November for consideration, before being taken to Resources Board and ultimately JMB. It is expected that an agreed process to determine and direct POCA spend will be in place by 1/4/18.
Seized Cash Handling at Heavitree Police Station							
Unique Reference	Description	Priority	Status	Target Date	Revised End Date	Assigned To	Management Responses
36184	The Head of Alliance Admin Services has agreed to implement a procedure: Which ensures that Admin Services ceases the use of the Admin Safe for the retention of money used for banking purposes; Whereby all money is stored within the Evidential Safe; and That the keys to the Evidential Safe are kept separately to ensure that no one Administrator has access to both keys.	4	Agreed	31-Jul-17	31-Mar-18	Head of Alliance Admin Services	The decision to hold seized cash in the Evidential Safe as mitigation is dependent upon a change in the associated insurance cover. The requirements for this are currently being considered. This and the remainder of the risk mitigation required through this recommendation is being considered at the next Department Management Team meeting on the 16th November, which is to be attended by all of the admin support officers who manage cash at each admin hub. This meeting will also consider the other cash handling recommendations agreed as part of the wider D&C Property Store audit.
Strategic Alliance Outstanding recommendations Priority 4 & 5 October 2017							
Voluntary Funds							
Unique Reference	Description	Priority	Status	Target Date	Revised End Date	Assigned To	Management Responses
33347	I recommend that the Head of Alliance Audit, Insurance and Strategic Risk Management Department ensure that the Sports Association and Sport Lottery Fund have up to date and accurate annual accounts, which have been independently verified and audited.	4	Agreed	31-Mar-17	31-Mar-18	Head of Alliance Audit, Insurance and Strategic Risk Management Department	As part of programme of work (see 33981 below) support and guidance to be provided to ensure the Association is compliant with force policy. Responsibility for the production of the accounts rests with the Association (independent of the Alliance). Advice and support has already been provided to the D&C Sports Association and the D&C Cadets. This work remains in hand.
33371	I recommend that the Head of Alliance Audit, Insurance and Strategic Risk Management Department consider instigating a governance audit review to ensure that there are robust procedures in place for the Sports Association and Sport Lottery Fund.	4	Agreed	31-Mar-17	31-Mar-18	Head of Alliance Audit, Insurance and Strategic Risk Management Department	see above

33981	I recommend that the Head of Alliance Audit, Insurance and Strategic Risk Management Department ensure that a governance statement is returned for each unofficial fund so that a greater understanding of funds can be obtained. The Section 151 Officer may then wish to consider the relative risk of these funds moving forward, with the potential for removing the Force name from the unofficial fund and for future fundraising.	4	Agreed	31-Mar-17	31-Mar-18	Head of Alliance Audit, Insurance and Strategic Risk Management Department	Programme of work underway to produce gap analysis against force policy and offer support and advice to funds to ensure compliance. This work will be shared with PSD and Finance.
33062	I recommend that the Head of Alliance Audit, Insurance and Strategic Risk Management Department ensure that the unofficial fund (D130) policy and process is reviewed; process should be monitored to confirm adherence to policy.	4	Agreed	31-Mar-17	31-Mar-18	Head of Alliance Audit, Insurance and Strategic Risk Management Department	
<b>Asset Register</b>							
Unique Reference	Description	Priority	Status	Target Date	Revised End Date	Assigned To	Management Responses
33727	I recommended that the Dorset Service Support Manager conducts a review of the current disposal process to ensure a full and transparent process as well as to enable reconciliations between Force records and disposal records. This review should also include authorisation levels and the options for a more secure disposal location on site.	4	Agreed	30-Apr-17	31-Dec-17	Dorset Service Support Manager	On-going: Dorset will transfer disposal arrangements to the external contractor currently used in D&C called Tier 1. This is a Home Office approved process. The delay has been caused by the lack of a secure storage facility. Once the facility is made available guidance and training will be provided to all relevant ICT staff. Matt Law 22/6/2017
33714	The Head of Alliance Audit, Insurance and Strategic Risk Management Department has agreed to ensure that an asset register (inventory) is maintained in the most suitable department (this may be Finance or IT) and the register shall be maintained centrally by this team.	4	Agreed	30-Jun-17	01-Apr-18	Head of Finance	On-going: The Fixed Asset (capital) Register exists in both forces. An inventory system for desirable goods will be designed in due course. Neal Butterworth 28/9/17
33715	The Dorset Service Support Manager has agreed to ensure that a full data cleanse is undertaken of the data held within the Force Wide system prior to the transfer to the new Remedy Software to ensure records are true and up to date.	4	Agreed	30-Jun-17	31-Dec-17	Dorset Service Support Manager	On-going: All ICT equipment data across the alliance will require cleansing for accuracy prior to its transfer onto the new Remedy asset management register. The implementation of the new system has been delayed until approximately the end of January 2018 and the data cleanse will therefore be completed before the end of December to facilitate this. Matt Law 22/6/2017
33718	I recommended that the Dorset Service Support Manager ensures all regular purchased items are physically traced, recorded on the register (inventory) and marked clearly as Police property via the most appropriate means.	4	Agreed	30-Sep-17	31-Dec-17	Dorset Service Support Manager	Agreed. Interim guidance will be provided to IS.
<b>Payroll and Pensions</b>							
Unique Reference	Description	Priority	Status	Target Date	Revised End Date	Assigned To	Management Responses
34599	The Head of Finance shall undertake an internal review to map the Payroll functions for each Force, with the responsibilities for all data update clearly identified. Once compiled, these maps shall be utilised to assist the creation and implementation of one streamlined set of Payroll processes for the Strategic Alliance.	4	Agreed	30-Jun-17	31-Dec-17	Head of Finance	On-going: Payroll functions have been mapped and will be aligned alongside the development of BSS functions. Neal Butterworth 28/9/17
34596	Once a fix has been found for the Myself system, the Head of Finance shall ensure that a full parallel run is undertaken, in a live environment, before the system is turned back on. If this parallel run identifies issues, a second parallel run may be necessary.	4	Agreed	31-May-17	31-Dec-17	Head of Finance	On-going: Further testing is required to ensure that there are no further issues within the myself system. Once complete myself will be re-instated and the new process communicated to all staff. Neal Butterworth 28/9/17
<b>Freedom of Information</b>							
Unique Reference	Description	Priority	Status	Target Date	Revised End Date	Assigned To	Management Responses

33991	I recommend that Senior Management take all reasonable steps to introduce and embed the FOI case management system for Dorset at the earliest opportunity.	4	Agreed	01-Apr-17	01-Apr-18	Senior Management	This has been an ongoing development. The initial solution to share the D&C platform with Dorset became unviable as the supplier's quotation was not considered value for money. As a contingency an interim SharePoint solution was commissioned from Force ICT for Dorset FOI. This remains in development and is expected to be in place from the 1st April 2018 following user acceptance testing. In the interim Dorset FOI is being managed through the use of Excel. In parallel to this a procurement exercise will be put in place to secure a joint solution for FOI case management for both Forces (as the D&C contract with CycFreedom is due to expire).
<b>Creditors</b>							
Unique Reference	Description	Priority	Status	Target Date	Revised End Date	Assigned To	Management Responses
34481	The Head of Finance, in discussion with the Agresso Support Team, shall ensure that access levels are amended to prevent any Officers being able to perform all actions within the Creditors function.	4	Agreed	30-Apr-17	31-Dec-17	Head of Finance	Ongoing: Jan Stamp & Maxine Whyte are reviewing the creditor authorisation process to ensure that robust controls are put in place that prevent finance officers being able to undertake all functions within the process. Neal Butterworth 28/9/17
<b>Staff Establishment</b>							
Unique Reference	Description	Priority	Status	Target Date	Revised End Date	Assigned To	Management Responses
33270	I recommend that Section 151 Officers discuss and confirm the long term vision for establishment levels and ensure this is relayed to relevant Finance staff.	4	Agreed	30-Jun-17	31-Dec-17	Section 151 Officers	On-going: Establishment levels are being considered by a Task & Finish group led by the Head of Resource & Development responsible for workforce modernisation and planning. This will be linked to the MTFS and long term treasury management . Neal Butterworth 28/9/17
<b>Budgetary Control</b>							
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35444	The Head of Finance has agreed to ensure that the weekly virement report created by Agresso is reviewed to ensure virements are adequate.	4	Agreed	30-Jun-17	31-Dec-17	Head of Finance	On-going: Mike Gravelle will review the necessity for this process to be implemented and how regularly it should be conducted if required.