

INTERNAL AUDIT / INSPECTION RECOMMENDATIONS – CONSOLIDATED ACTION PLAN

APPENDIX A

Ref No	Recommendation Description	Responsible Officer	Milestones / Date of Completion	Progress to Date	Assurance Level	Status
--------	----------------------------	---------------------	---------------------------------	------------------	-----------------	--------

<b>Procurement (10.11/12)</b>						
1.2 Procurement	<p><b>Recommendation Restated</b></p> <p>The differing financial thresholds in respect of procurement in relation to all three Authority's need to be aligned as soon as practical.</p> <p>The alignment process should also consider the requirements for obtaining exemptions, across all Forces, the agreement to the variation/extension of a contract and any relevant financial limits that may apply. There will also be a need to amend organisational Financial Regulations and Procurement manuals as required.</p>	Head of Procurement	31/7/13  Revised: April 14	<p>Update Mar 14 - As a two force collaboration, Beds and Cambs agreed new procurement signatory thresholds with these being:</p> <p>0-5k - 1 quote obtained 5-30k - 3 quotes obtained Above 30k - Directed to Procurement Department.</p> <p>Having now returned to a three force collaboration, Herts have indicated that they are likely to move to the same thresholds for the new financial year, so for the first time we will be aligned. Procurement have also put forward a paper to Robert Vickers, to review the thresholds to a new level across all three counties. This paper has been submitted and is currently under review. The likely outcome will be that any new change will take place at the end of June 2014.</p> <p>In summary, this recommendation will go to green at the end of the month, with a further review taking place between now and July.</p> <p><b>Update Dec 2014,</b> Procurement thresholds are now aligned and agreed in the Forces Financial Regulations.</p>	Medium	Green Completed

## INTERNAL AUDIT / INSPECTION RECOMMENDATIONS – CONSOLIDATED ACTION PLAN

## APPENDIX A

Ref No	Recommendation Description	Responsible Officer	Milestones / Date of Completion	Progress to Date	Assurance Level	Status
4 Procurement	<p><b>Recommendation Restated</b> A centralised standardised procurement procedures manual should be developed as soon as practical. Until such time as the new Manual is available it is essential that staff are reminded of the need to make sure they comply with all 'local' procedures and requirements and that they use any new 'standard' forms issued.</p>	Head of Procurement	31/7/13  Revised: April 14	<p>Update Mar 14 – Although the procurement thresholds will be aligned, it is understood that at this time, the financial regulations will not. However, Procurement will be streamlining their procedure documents and these will be presented to the Procurement Board on 31/3/14.</p> <p>It is therefore anticipated that the recommendation will be achieved by the end of this month but with the effective go live date coinciding with the above point, in June.</p> <p><b>Update Dec 2014</b> All tri-force documents will go live in January 2014 with a launch of new forms and procedures. This compliments that above recommendation on Financial Thresholds.</p>	High	Green
<b>Information Governance (4.12/13)</b>						
3.3	<p><b>Recommendation restated</b> Management should complete the proposed design and implementation of the Information Assurance Culture change Strategy and associated plans to include training requirements which ensure that :</p> <ul style="list-style-type: none"> <li>All staff receive the minimum government-recommended Information Security training</li> </ul>	Anti-Corruption DCI	30/9/13	<p>Update Mar 14 - Inspector Doran has developed a training package which incorporates IT security. This was approved by the tri-force Strategic Training Council meeting on 04.03 and Learning and Development will facilitate delivery.</p> <p>It is believed that the Information Management functions within each force will be considered for</p>	Medium	Amber

INTERNAL AUDIT / INSPECTION RECOMMENDATIONS – CONSOLIDATED ACTION PLAN

APPENDIX A

Ref No	Recommendation Description	Responsible Officer	Milestones / Date of Completion	Progress to Date	Assurance Level	Status
	<p>and</p> <ul style="list-style-type: none"> <li>Managers with key Information Governance responsibilities successfully undertake appropriate Information Security training.</li> </ul>			<p>collaboration. It is also believed that the position of Information Assurance within PSD will also be reviewed within the context of a collaborated IT function across all 3 forces.</p> <p><b>Update Dec 2014</b> Tri-Force ICT now underway, with a business case due in early January with regards to a tri-force Information Management Unit which will consider taking this work forward</p>		
<b>Collaboration – PSD (16.12/13)</b>						
6	Undertake a review of the SLA for the Security Vetting procedure prior to gaining formal approval of the policy/procedure to ensure that the requirements are synchronised within each document.	Collaboration Officer	1/10/13	<p>Update Mar 14 - The Integrity and Standards Committee has been discontinued and an Assurance Review is taking place to identify the appropriate structure. Vetting Unit compliance has been added to each Force Risk register.</p> <p><b>Update Dec 14</b> New Structures in place and SLA reviewed and agreed</p>	Medium	Green Completed

## INTERNAL AUDIT / INSPECTION RECOMMENDATIONS – CONSOLIDATED ACTION PLAN

## APPENDIX A

Ref No	Recommendation Description	Responsible Officer	Milestones / Date of Completion	Progress to Date	Assurance Level	Status
8	Schedule in the review of the PSD Policy and complete the review process in a timely manner.	Anti-Corruption DCI	1/10/13	<p>Update Mar 14 - The Integrity and Standards Committee has been discontinued and an Assurance Review is taking place to identify the appropriate structure. The Information Assurance Unit has been placed on each Force threat and risk register.</p> <p>Policies and Procedures will be part of the implementation plan and come under public complaints as of 1st May 2014. The Assurance Review is taking place which should identify the governance structure for PSD.</p> <p><b>Update Dec 2014</b> All polices now reviewed, agreed and in place.</p>	Medium	Green Completed
9	There is a need to determine where responsibility sits for the Whistleblowing (Public Interest disclosure) Policy and depending on the outcome a decision made whether this should be a central PSD or HR responsibility.	Collaboration Officer	1/10/13	<p>HRAG determined that PSD should lead on a tri force Whistleblowing Policy. This decision is to be further discussed and reviewed with DCC Wood.</p> <p><b>Update Dec 2014</b> Decision for this to stay with PSD, policies reviewed and updated</p>	Medium	Green Completed