

FINANCE EXTERNAL AUDIT / INTERNAL AUDIT ACTION PLAN

Finance and Payroll Action Summary

Recommendations		Milestones					
Area	No.	No.	Not Agreed	Red	Amber	Green	Green Complete
Budgetary Control							
General Ledger							
Payroll & Expenses	2	2				1	1
Capital Programme							
Payment & Creditors	1	1				1	
Cash, Bank Treasury							
Income and Debtors							
Procurement	3	3				2	1
Total	6	6				4	2
Percentage complete	100%	100%				66.6%	33.3%

Area: Payroll and Expenses

Action No.	Recommendation Description and Source Document	Responsible Officer	Milestones	Progress to Date	Status		
					Red	Amber	Green
	The process for regular sample testing of starters, leavers and amendments processed by staff on the authorised list will be finalised and implemented, including backdated sample testing from September 2020 to the date of implementation of the sampling process.	Deborah Turrell-Oldacre Transactional Team Manager Sarah Brent, Recruitment Manager	30 th June 2021	Ongoing - work to develop an appropriate report and process across HR			
	The Head of Pensions and Payroll will issue a reminder to line managers that expense claims must not be approved without receipts.	Jackie Ingle, Head of Payroll and Pensions	31 st December 2021	Complete			

Area: Payments and Creditors

Action No.	Recommendation Description and Source Document	Responsible Officer	Milestones	Progress to Date	Status		
					Red	Amber	Green
	The Head of Finance will ensure that all amendments initiated by suppliers to bank details are verified with the supplier, regardless of the nature of the supplier and the amendment request. In addition, the Head of Finance will consider undertaking spot checks for supplier amendments	Head of Finance	30 th June 2021	Complete – the purchase ledger team are now review all bank detail changes including those which we have additional information held on file.			

Area: BCH Procurement Follow Up – BCH Actions

Action No.	Recommendation Description and Source Document	Responsible Officer	Milestones	Progress to Date	Status		
					Red	Amber	Green
	Three quotations for purchases between £5k and £25k will be saved centrally by individuals ordering goods/services and a regular dip sample of compliance with this requirement will be undertaken by Procurement	CFO of each force	31 st May 2021	Ongoing – communication by CFO in general orders. Reviewing and dip sampling on going.			

Area: Procurement – Local Force Actions

Action No.	Recommendation Description and Source Document	Responsible Officer	Milestones	Progress to Date	Status		
					Red	Amber	Green
	Local forces will train relevant staff to ensure there is awareness of the need to involve the 7 Force Procurement Function in procurements that fall within this range.	CFO of each force	30 th April 2021	Complete			
	We will remind the relevant personnel at the 7 Forces that, all requests for a single tender action must be considered by 7 Force Procurement prior to progression	CFO of each force	30 th April 2021	Complete – communication by CFO in general orders			