



To: Joint Audit Committee
From: PS Mike Horder
Date: 30th March 2017

Audit Recommendations – Non Financial Business Areas – Progress Report

1. Recommendations

1.1. The Committee is asked to note the contents of the report.

2. Purpose

2.1. This report provides an update on progress against outstanding non-financial audit recommendations from previous audits of the Constabulary.

3. Background

3.1. Monitoring of the recommendations from internal and external audit reports is undertaken by the Corporate Development Directorate (CDD). This is done via an action plan held by CDD.

3.2. Recommendations are prioritised into high, medium or low importance by the auditor. These are then assessed by the Constabulary and strategic owners identified to progress.

3.3. Actions are placed on to the Tri force Action Monitoring System (AMS) and delivery tracked through the Organisational Improvement group (OIG) chaired by Corporate Development Department (CDD).

3.4. On AMS actions are given a status that mirrors HMIC Recommendations. These are

- i. Complete
- ii. Being progressed
- iii. Will not be progressed.

4. Recent Audit Reports

4.1 An audit of the Collaborated BCH (Bedfordshire, Cambridgeshire, and Hertfordshire) Health and Safety function was undertaken as part of the approved internal audit plan for 2016/17.

*Internal Audit Opinion: Taking account of the issues identified, the organisations can take **partial assurance** that the controls upon which the organisation relies to manage this area are suitably designed, consistently applied. Action is needed to strengthen the control framework to ensure this area is effectively managed*

4.2. This resulted in 0 high, 5 medium and 0 low recommendations. These have been added to the action plan.

4.3. An audit of the Collaborated BCH (Bedfordshire, Cambridgeshire, and Hertfordshire) Information Management was undertaken as part of the approved internal audit plan for 2016/17

*Internal Audit Opinion: Taking account of the issues identified, the Police and Crime Commissioners for Bedfordshire, Cambridgeshire and Hertfordshire and the three corresponding Police Forces can take **reasonable assurance** that the controls to ensure the adequacy and suitability of the Business Model and associated plans for the forthcoming shared Information Management arrangements are suitably designed and consistently applied. However, we have identified issues that need to be addressed in order to ensure that the control framework is effective in managing the identified risks.*

4.4. This resulted in 0 high, 5 medium and 3 low recommendations. These have been added to the action plan.

4.5. An audit of the governance structure supporting the collaborative arrangements between the six corporate soles of Bedfordshire, Cambridgeshire and Hertfordshire was performed as part of the agreed Internal Audit Plan for 2016/17.

*Internal Audit Opinion: Taking account of the issues identified, the Organisations can take **partial assurance** that the controls upon which the organisation relies to manage this area are suitably designed and consistently applied. Action is needed to strengthen the control framework to ensure this area is effectively managed.*

4.6. This resulted in 0 high, 8 medium and 2 low recommendations. These have been added to the action plan.

4.7 An audit of the Victim satisfaction / victim & witness care was performed as part of the agreed Internal Audit PI Internal Audit Opinion:

*Taking account of the issues identified, the Constabulary and OPCC can take **substantial assurance** that the controls upon which the organisation relies to manage the identified area are suitably designed, consistently applied and operating effectively. an for 2016/17.*

4.8 This resulted in 0 high, 0 medium and 2 low recommendations. These have been passed to the Strategic lead to review and progress.

*Internal Audit Opinion: Taking account of the issues identified, the OPCC and the Constabulary can take **substantial assurance** that the controls upon which the organisation relies to manage the identified areas are suitably designed, consistently applied and operating effectively. (Internal Audit Report 6.16/17).*

4.9 An audit of the collaborated BCH (Bedfordshire, Cambridgeshire and Hertfordshire) Human Resources (HR) Post Impact Review was undertaken as part of the approved internal audit plan for 2016/17, to review how issues in relation to meeting the original business case were being addressed to enable the project stage of collaboration to be completed and move HR to 'business as usual'.

*Internal Audit Opinion: Taking account of the issues identified, the organisations can take **reasonable assurance** that the controls upon which the organisation relies to manage the identified areas are suitably designed, consistently applied and operating effectively.*

This resulted in 0 high, 2 medium and 0 low recommendations. These have been added to the action plan.

5. **Current Status**

- 5.1. A full review of all outstanding actions was completed by the Constabulary in March 2017.
- 5.2. Recent actions and new actions arising out of recent audits have been placed onto the AMS software and a printout of the report is attached at Appendix A. Complete actions from previous audits will not show as per last JAC comments.
- 5.3. High and Medium Audit actions are then subject to monitoring and tracking through the monthly Organisational Improvement Group (OIG)