

| Financial Year | Audit ID    | Audit Report Title   | Draft/Final | Date Issued       | Opinion                                     | Chief Officer                     | Owner                     | Total Actions |     |     | Completed Actions |     |     | Outstanding Actions |     |     | Actions Outside of Due Date |     |     |
|----------------|-------------|--|-------------|-------------------|---|-----------------------------------|---------------------------|---------------|-----|-----|-------------------|-----|-----|---------------------|-----|-----|-----------------------------|-----|-----|
|                |             |  |             |                   |   |                                   |                           | High          | Med | Low | High              | Med | Low | High                | Med | Low | High                        | Med | Low |
|                |             |  |             |                   |   |                                   |                           |               |     |     |                   |     |     |                     |     |     |                             |     |     |
| 2019/2020      | 7.19/20     | Code of Practice for Victims of Crime                        | Final       | 20 April 2020     | Reasonable Assurance                        | ACC Sharn Basra                   | Jon Lee/ Dorothy Gregson  | 0             | 2   | 0   | 0                 | 0   | 0   | 0                   | 2   | 0   | 0                           | 0   | 0   |
|                | 6.19/20     | Risk Management  | Final       | 18 February 2020  | Substantial Assurance                       | DCC Jane Gyford                   | Supt Adam Gallop          | 0             | 0   | 0   | 0                 | 0   | 0   | 0                   | 0   | 0   | 0                           | 0   | 0   |
|                | 5.19/20     | Constabulary Governance - Structure and Process              | Final       | 20 February 2020  | Reasonable Assurance                        | DCC Jane Gyford                   | Supt Adam Gallop          | 0             | 2   | 0   | 0                 | 0   | 0   | 2                   | 0   | 0   | 0                           | 0   | 0   |
|                | BCH 2.19/20 | BCH Collaborated Procurement                                 | Final       | 21 April 2020     | Partial Assurance                           | DCC Jane Gyford                   | Jon Lee                   | 1             | 6   | 1   | 0                 | 0   | 0   | 1                   | 6   | 1   | 0                           | 0   | 0   |
|                | BCH 1.19/20 | Health and Safety  | Final       | 29 October 2019   | No Assurance                                | ACC Sharn Basra                   | Rachel Wilkinson          | 1             | 6   | 5   | 0                 | 3   | 4   | 1                   | 3   | 1   | 0                           | 0   | 0   |
| 2018/19        | 12.18/19    | Follow up  | Final       | 16 July 2019      |   | DCC Jane Gyford                   | Supt Adam Gallop          | 0             | 3   | 3   | 0                 | 0   | 0   | 0                   | 3   | 3   | 0                           | 0   | 0   |
|                | 11.18/19    | Business Planning & Force Management Statement               | Final       | 02 April 2019     | Reasonable Assurance                        | DCC Jane Gyford                   | Supt Adam Gallop          | 0             | 2   | 0   | 0                 | 2   | 0   | 0                   | 0   | 0   | 0                           | 0   | 0   |
|                | 10.18/19    | Risk Management (Joint OPCC and Force)                       | Final       | 09 April 2019     | Reasonable Assurance                        | DCC Jane Gyford / Dorothy Gregson | Jon Lee / Dorothy Gregson | 0             | 1   | 2   | 0                 | 1   | 2   | 0                   | 0   | 0   | 0                           | 0   | 0   |
|                | BCH 9.18/19 | Uniform Equipment Stores                                     | Final       | 10 April 2019     | Reasonable Assurance                        | DCC Jane Gyford                   | Jon Lee                   | 0             | 2   | 1   | 0                 | 0   | 1   | 0                   | 2   | 0   | 0                           | 0   | 0   |
|                | BCH 7.18/19 | ICT Infrastructure - Revised Final                           | Final       | 09 April 2019     | Reasonable Assurance                        | DCC Jane Gyford                   | Jonathan Black            | 0             | 4   | 1   | 0                 | 4   | 1   | 0                   | 0   | 0   | 0                           | 0   | 0   |
|                | BCH 5.18/19 | Information Management (GDPR only)                           | Final       | 21 March 2019     | No audit opinion - Advisory assessment only | DCC Jane Gyford                   | Andy Gilks                | 0             | 11  | 0   | 0                 | 11  | 0   | 0                   | 0   | 0   | 0                           | 0   | 0   |
|                | 7.18/19     | Governance - Delivery of Major Projects (LPR)                | Final       | 12 March 2019     | Partial Assurance                           | DCC Jane Gyford                   | Supt Adam Gallop          | 0             | 9   | 0   | 0                 | 9   | 0   | 0                   | 0   | 0   | 0                           | 0   | 0   |
|                | BCH 3.18/19 | Custody including Health & safety Incident reporting         | Final       | 26 October 2018   | Reasonable Assurance                        | DCC Jane Gyford                   | James Hurley              | 0             | 1   | 2   | 0                 | 1   | 2   | 0                   | 0   | 0   | 0                           | 0   | 0   |
|                | BCH 2.18/19 | Human Resources - Readiness for implementation of new system | Final       | 19 November 2018  | Reasonable Assurance                        | DCC Jane Gyford                   | James Hurley              | 0             | 5   | 0   | 0                 | 0   | 0   | 0                   | 5   | 0   | 0                           | 0   | 0   |
|                | 3.18/19     | Seized Property and Controlled Drugs                         | Final       | 30 October 2018   | Reasonable Assurance                        | ACC Dan Vajzovic                  | Supt Laura Hunt           | 0             | 1   | 1   | 0                 | 1   | 1   | 0                   | 0   | 0   | 0                           | 0   | 0   |
|                | 2.18/19     | Estates Management   | Final       | 05 September 2018 | Reasonable Assurance                        | DCC Jane Gyford                   | Jon Lee                   | 0             | 4   | 1   | 0                 | 4   | 1   | 0                   | 0   | 0   | 0                           | 0   | 0   |
|                | 1.18/19     | Communications Strategy                                      | Final       | 18 September 2018 | Reasonable Assurance                        | DCC Jane Gyford                   | Sarah Cooper              | 0             | 1   | 2   | 0                 | 1   | 2   | 0                   | 0   | 0   | 0                           | 0   | 0   |
| 2017/18        | 10.17/18    | Follow up  | Draft       | 21 May 2018       |   | DCC Jane Gyford                   | Supt Adam Gallop          |               |     |     |                   |     |     |                     |     |     |                             |     |     |
|                | 8.17/18     | Risk Management  | Final       | 04 May 2018       | Substantial assurance                       | DCC Jane Gyford                   | Supt Adam Gallop          | 0             | 0   | 2   | 0                 | 0   | 2   | 0                   | 0   | 0   | 0                           | 0   |     |
|                | 7.17/18     | Collaboration - HR Recruitment and Succession Planning       | Final       | 16 May 2018       | Reasonable assurance                        | DCC Jane Gyford                   | Rachel Wilkinson          | 0             | 2   | 3   | 0                 | 1   | 1   | 0                   | 1   | 2   | 0                           | 0   |     |
|                | 6.17/18     | Professional Standards Dept: Governance and Improvement      | Final       | 05 April 2018     | Reasonable assurance                        | DCC Jane Gyford                   | DSupt Amanda Bell         | 0             | 2   | 3   | 0                 | 2   | 3   | 0                   | 0   | 0   | 0                           | 0   |     |
|                | 2.17/18     | Equality and Diversity                                       | Final       | 24 August 2017    | Reasonable assurance                        | DCC Jane Gyford                   | CI Chris Savage           | 0             | 4   | 4   | 0                 | 4   | 4   | 0                   | 0   | 0   | 0                           | 0   |     |
|                | 1.17/18     | Seized Property and Controlled Drugs                         | Final       | 11 December 2017  | No assurance (superseded by 3.18/19)        | ACC Dan Vajzovic                  | Supt Laura Hunt           | 1             | 9   | 0   | 1                 | 9   | 0   | 0                   | 0   | 0   | 0                           | 0   |     |
|                | 9.16/17     | Covert Human Intelligence Sources                            | Final       | 11 May 2017       | Reasonable assurance                        | ACC Dan Vajzovic                  | D/Supt Ian Middleton      | 0             | 4   | 0   | 0                 | 4   | 0   | 0                   | 0   | 0   | 0                           | 0   |     |

|         |         |  |       |                   |                       |                  |                  |            |            |           |            |           |           |           |           |          |          |          |          |
|---------|---------|--|-------|-------------------|-----------------------|------------------|------------------|------------|------------|-----------|------------|-----------|-----------|-----------|-----------|----------|----------|----------|----------|
| 2016/17 | 8.16/17 | Collaboration - Human Resources Post Impact Assessment | Final | 17 March 2017     | Reasonable assurance  | DCC Alan Baldwin | Rachel Wilkinson | 0          | 2          | 0         | 0          | 2         | 0         | 0         | 0         | 0        | 0        | 0        | 0        |
|         | 7.16/17 | ICT Strategy   | Final | 20 March 2017     | Reasonable assurance  | DCC Alan Baldwin | Jonathon Black   | 0          | 2          | 0         | 0          | 2         | 0         | 0         | 0         | 0        | 0        | 0        | 0        |
|         | 6.16/17 | Risk Management  | Final | 02 March 2017     | Substantial assurance | DCC Alan Baldwin | Natalie Benton   | 0          | 2          | 0         | 0          | 2         | 0         | 0         | 0         | 0        | 0        | 0        | 0        |
|         | 5.16/17 | Victim Satisfaction and Victim Witness Care            | Final | 06 December 2016  | Substantial assurance | ACC Dan Vajzovic | Steve Welby      | 0          | 0          | 2         | 0          | 0         | 2         | 0         | 0         | 0        | 0        | 0        | 0        |
|         | 2.16/17 | Information Management                                 | Final | 21 November 2016  | Reasonable assurance  | ACC Nav Malik    | Andy Gilkes      | 0          | 5          | 3         | 0          | 5         | 3         | 0         | 0         | 0        | 0        | 0        | 0        |
|         | 1.16/17 | Collaboration - Health and Safety *                    | Final | 26 August 2016    | Partial assurance     | DCC Alan Baldwin | Rachel Wilkinson | 0          | 5          | 0         | 0          | 5         | 0         | 0         | 0         | 0        | 0        | 0        | 0        |
| 2015/16 | 1.15/16 | Estates Management                                     | Final | 15 September 2015 | Reasonable assurance  | Niki Howard      | Colin Luscombe   | 0          | 5          | 0         | 0          | 5         | 0         | 0         | 0         | 0        | 0        | 0        |          |
|         |         |  |       |                   |                       |                  | <b>Totals</b>    | <b>3</b>   | <b>102</b> | <b>36</b> | <b>1</b>   | <b>78</b> | <b>29</b> | <b>2</b>  | <b>24</b> | <b>7</b> | <b>0</b> | <b>0</b> | <b>0</b> |
|         |         |  |       |                   |                       |                  |                  | <b>141</b> |            |           | <b>108</b> |           |           | <b>33</b> |           |          | <b>0</b> |          |          |

The grey shaded audits are completed & signed off by RSM auditors  
 \* BCH Health and Safety (1.16/17) now superceded by 1.19/20