

Joint Audit Committee

29 April 2020

Responsible Officer:	Impact on Business:		Risk Register Reference & RAG
CC Nick Dean	High	x	Health and Safety Risk Register Reference 401(Risk)
	Medium		
	Low		
Lead Manager:	Report Type:		
Supt Adam Gallop Head of Corporate Development Dept.	Governance	x	
	Strategic		
	Operational		
Previous papers to Committee:			

Report summary	Non-financial audit report			
	<p>The following non-financial audit reports were finalised during the period since the last Joint Audit Committee on 28 January 2020:</p> <ul style="list-style-type: none"> ○ BCH Collaborated Procurement (2.19.20) Audit opinion - Partial Assurance with one high, six medium and one low priority actions ○ Constabulary Governance – Structure and Process (5.19.20) Audit opinion – Reasonable Assurance with two medium priority actions ○ Risk Management (6.19.20) Audit opinion – Substantial Assurance with no priority actions ○ Code of Practice for Victims of Crime (7.19.20) Audit opinion – Reasonable Assurance with two medium priority actions ○ BCH Health and Safety audit – follow up (4.19.20) 			
Related Police and Crime Plan objective				
Action (tick one box only)	Information <input checked="" type="checkbox"/>	Assurance <input type="checkbox"/>	Approval <input type="checkbox"/>	Decision <input type="checkbox"/>

Recommendation	It is requested that the JAC note the above summary for information and assurance.
-----------------------	--

Audit Recommendations – Non-Financial Business Areas – Progress Report

1. Purpose

- 1.1 The purpose of this paper is to update the Joint Audit Committee on progress against outstanding non-financial audit recommendations for the Constabulary.

2. Recommendation

- 2.1 The Committee is asked to note the contents of the report.

3. Background

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

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

- 3.3 Actions are placed on to the tri-force Action Monitoring System (AMS).

On AMS actions are given a status of:

- i. Complete
 - ii. Being progressed
 - iii. Will not be progressed.
- 3.4 The force has introduced an Excel status report, to provide an overview of audits completed, owners, assurance and actions. This will enable the Joint Audit Committee to see clearly how many actions have been raised and completed, and how many are outstanding past their due date.

4. Recent Audit Reports

4.1. The following non-financial audit reports were finalised during the period since the last Joint Audit Committee on 28 January 2020:

- BCH Collaborated Procurement (2.19.20) Audit opinion - Partial Assurance with one high, six medium and one low priority actions (deadlines end July, end September and end October)
- Constabulary Governance – Structure and Process (5.19.20) Audit opinion – Reasonable Assurance with two medium priority actions (deadline end October 2020)
- Risk Management (6.19.20) Audit opinion – Substantial Assurance with no priority actions
- Code of Practice for Victims of Crime (7.19.20) Audit opinion – Reasonable Assurance with two medium priority actions (deadlines end July and end of September)
- BCH Health and Safety audit – follow up (4.19.20) – see 4.3 below

4.2 With regard to the BCH Health and Safety audit (No Assurance) discussed at the November and January meetings, actions are being monitored by the BCH Health and Safety Board, chaired by DCC Rodenhurst.

4.3 The Health and Safety follow up final report was received at the end of February.

Taking account of the issues identified in the remainder of the report in our opinion the organisation has demonstrated progress in implementing the agreed management actions to date, further work is required to complete the implementation of the outstanding actions where due dates have not yet been reached.

In summary:

From the original 12 priority actions identified in the original audit, 7 have been closed by RSM with 3 in progression and 2 outstanding.

It should be noted that none of these are outside their due date.

4.4 The BCH Health and Safety updated audit action plan is attached at Appendix 2, for the committee's attention.

4.5 At the January meeting, the committee requested an update on the Business Continuity and IT Disaster Recovery audit (3.19.20 dated 7 January), due to the short deadlines for the four medium priority actions. RSM have stated that responses have been submitted for all the priority actions and will be included in the follow up audit in 2021. This audit relates to BCH ICT which is monitored by Hertfordshire Constabulary.

5. Current Status

5.1 A full review of all outstanding audit actions was completed by the Constabulary in March 2020.

5.2 Recent actions and new actions arising out of recent audits have been placed onto AMS and a copy of the Excel status report is attached at Appendix 1.

BIBLIOGRAPHY

Source Documents	
Contact Officer	Supt Adam Gallop, Head of Corporate Development, Cambridgeshire Constabulary