

OFFICE OF THE POLICE & CRIME COMMISSIONER

OFFICE OF CHIEF CONSTABLE

TITLE:	Outstanding Audit Inspection Recommendations
DATE:	13th September 2018
TIMING:	Routine
PURPOSE:	For Monitoring

1.	<u>RECOMMENDATION</u>
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1.1	That the Joint Audit Committee monitors the implementation of recommendations arising from reviews undertaken by External and Internal Audit as set out in the annual internal audit plan.
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2.	<u>INTRODUCTION & BACKGROUND</u>
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2.1	<p>This report provides details of:</p> <ul style="list-style-type: none">i) the status of all high and medium outstanding audit recommendations where the agreed completion date has not been met and an extension of the completion date is sought;ii) the status of all the other high priority outstanding audit recommendations; andiii) a list of all those audit recommendations that have been completed since the last Joint Audit Committee. This is for information only.
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3.	<u>ISSUES FOR CONSIDERATION</u>
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3.1	Attached at Appendix 1 is the status report of the outstanding recommendations from internal audit reports. Each appendix has been split into three sections in line with paragraph 2.1. The external audit recommendations will be included following completion of the WAO Management Letter and these will be addressed in the accounts process for 2018/19.
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3.2	Each recommendation shows the officer responsible for completing the required actions, the date by which it is planned to complete the necessary work and the current status of that work.
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3.3	The following tables summarise the current implementation status of all outstanding audit recommendations to date:
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External Audit

Findings	High	Medium	Low	Total
B/Fwd	0	0	0	0
New reports	0	0	0	0
Completed	0	0	9	0
Ongoing	0	0	0	0

The Wales Audit Office will issue the Management Letter 2017/18 in the coming month and the recommendations will be included in this report.

Internal Audit				
Findings	Urgent Priority 1	Important Priority 2	Routine Priority 3	Total
B/Fwd	2	16	19	37
New Recommendations	3	21	6	30
Completed	3	8	18	29
Ongoing	2	29	7	38

3.4	<p>The following audit reports have been produced this financial year:</p> <p>Internal Audit –</p> <ul style="list-style-type: none"> • Finance and Resource System Implementation (FIRMS) • Collaborative Project – Joint Scientific Investigations Unit • Contract Management – Review 1 • Data Breach – Freedom of Information • Review of GDPR Compliance • Compliance Review of Vetting <p>In addition, the following TCBC Internal Audit report has issued but not yet been added to the audit recommendations tracker.</p> <ul style="list-style-type: none"> • IT Service Continuity Management
4.	<u>NEXT STEPS</u>
4.1	Appropriate steps to implement the latest audit recommendations are being taken and progress is monitored on an ongoing basis.
5.	<u>FINANCIAL CONSIDERATIONS</u>
5.1	There are no financial implications arising from this report.
6.	<u>PERSONNEL CONSIDERATIONS</u>
6.1	There are no personnel implications arising from this report.
7.	<u>LEGAL IMPLICATIONS</u>
7.1	There are no legal implications arising from this report.
8.	<u>EQUALITIES AND HUMAN RIGHTS CONSIDERATIONS</u>
8.1	This report has been considered against the general duty to promote equality, as stipulated under the Strategic Equality Plan and has been assessed not to discriminate against any particular group.
8.2	In preparing this report, consideration has been given to requirements of the Articles contained in the European Convention on Human Rights and the Human Rights Act 1998.
9.	<u>RISK</u>
9.1	The risk of not completing the recommendations is that it exposes the organisation to operational and financial loss.

10.	<u>PUBLIC INTEREST</u>
10.1	The report will be made available to the public.
11.	<u>CONTACT OFFICER</u>
11.1	Nigel Stephens, ACO - Resources.
12.	<u>ANNEXES</u>
12.1	Appendix 1: Internal audit recommendations - Status Report as at September 2018.