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| **The Police and Crime Commissioner for Cleveland and the Chief Constable Cleveland Police** |
| **Internal Audit Progress Report**  **2017/18** |

**INTRODUCTION**

1. This summary report provides the Audit Committee with an update on the progress of our work at Police and Crime Commissioner for Cleveland and the Chief Constable Cleveland Police as at 1st December 2017.

# PROGRESS AGAINST THE 2017/18 ANNUAL PLAN

2. Our progress against the Annual Plan for 2017-18 is set out in Appendix A.

# EMERGING GOVERNANCE, RISK AND INTERNAL CONTROL RELATED ISSUES

3. We have identified no emerging risks which could impact on the overall effectiveness of the governance, risk and internal control framework of the organisation.

# AUDITS COMPLETED SINCE THE LAST REPORT TO COMMITTEE

4. The table below sets out details of audits finalised since the previous meeting of the Audit Committee.

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | **Key Dates** | | | | **Number of Recommendations** | | | |
| **Review** | **Evaluation** | **Draft issued** | **Responses Received** | **Final issued** | **1** | | **2** | **3** | **OE** |
| **Estates Management - Strategy** | **Substantial** | **13/09/2017** | **09/10/2017** | **11/10/2017** | **-** | | **-** | **2** | **1** |
| **ICT Cyber Security** | **Reasonable** | **20/09/2017** | **26/09/2017** | **27/09/2017** | **-** | | **4** | **3** | **5** |
| **Strategic Control and Corporate Governance** | **Reasonable** | **21/09/2017** | **20/11/2017** | **22/11/2017** | **-** | | **2** | **-** | **-** |
| **Key Financial Controls** | **Reasonable** | **17/10/2017** | **01/11/2017** | **06/11/2017** | **-** | | **2** | **1** | **-** |
| **HR Absence Management and Occupational Health** | **Reasonable** | **24/10/2017** | **09/11/2017** | **14/11/2017** | **-** | | **4** | **1** | **-** |

# CHANGES TO THE ANNUAL PLAN 2017/18

5. There are no changes proposed to the Annual Plan at this time.

## FRAUDS/IRREGULARITIES

6. We have not been advised of any frauds or irregularities in the period since the last summary report was issued.

**PROGRESS ACTIONING PRIORITY 1 RECOMMENDATIONS**

7. We have made no Priority 1 recommendations (i.e. fundamental control issue on which action should be taken immediately) in the work completed.

**OTHER MATTERS**

8. We have issued the following briefing notes and digests since the last meeting of the committee:

* Fraud Alert – Fake Parking emails; and
* Lessons Learned Briefing: Fleet Management.

## RESPONSIBILITY/DISCLAIMER

9. This report has been prepared solely for management's use and must not be recited or referred to in whole or in part to third parties without our prior written consent. The matters raised in this report not necessarily a comprehensive statement of all the weaknesses that exist or all the improvements that might be made. No responsibility to any third party is accepted as the report has not been prepared, and is not intended, for any other purpose. TIAA neither owes nor accepts any duty of care to any other party who may receive this report and specifically disclaims any liability for loss, damage or expense of whatsoever nature, which is caused by their reliance on our report.

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**Appendix A**

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| **Progress against the Annual Plan for 2017/18** |

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| **System** | **Strategic Risk Reference** | **Planned Quarter** | **Days** | **Current Status** | **Comments** |
| --- | --- | --- | --- | --- | --- |
| Purchase Cards |  | 1 | 4 | **Complete** |  |
| ICT – Cyber Security | 1451 | 2 | 7 | **Complete** |  |
| Estates Management - Strategy | 1512 | 2 | 6 | **Complete** |  |
| Governance – Strategic Control and Corporate Governance |  | 3 | 6 | **Complete** |  |
| Key Financial Controls |  | 3 | 8 | **Complete** |  |
| Budgetary Control |  | 3 | 8 | **Draft report to be issued: 4th**  **December 2017** |  |
| Fleet management – Maintenance, Repairs, Disposal and Fuel Use |  | 3 | 8 | **Planned Start Date: 1st December 2017** |  |
| HR Management – Absence Management and Occupational Health | 1439 | 3 | 8 | **Complete** |  |
| FOI/Data Protection and Document Security | 1451, 1449 | 3 | 8 | **Site work completed. Draft to be issued** |  |
| Risk Management – Business Continuity |  | 4 | 6 | **Planned start date: 7th February 2018** |  |
| Payroll |  | 4 | 8 | **Planned start date: 29th January 2018** |  |
| ICT – Business Continuity |  | 4 | 6 | **Planned start date 15 January 2018** |  |
| Seized Cash |  | 4 | 4 | **Planned start date: 5th March 2018** |  |
| Corporate Communications |  | 4 | 7 | **Planned start date: 10th January 2018** |  |
| Follow Up |  | 4 | 2 | **To be confirmed** |  |

**KEY:**

|  |  |  |
| --- | --- | --- |
|  | = | To be commenced |
|  | = | Site work commenced |
|  | = | Draft report issued |
|  | = | Final report issued |