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**FINAL**

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| --- | --- |
|  | **The Police and Crime Commissioner for Cleveland and the Chief Constable Cleveland Police** |
|  | **Internal Audit Progress Report**  **Audit Committee: 14 November 2019** |
|  | **2019/20** |

**November 2019**

****

Introduction

1. This summary report provides the Audit Committee with an update on the progress of our work at Cleveland Police as at 30 October 2019.

# Progress against the 19/20 Annual Plan

2. Our progress against the Annual Plan for 2019-20 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 Joint Audit Committee.

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | **Key Dates** | | | **Number of Recommendations** | | | |
| **Review** | **Evaluation** | **Draft issued** | **Responses Received** | **Final issued** | **1** | **2** | **3** | **OE** |
| **Assurance Review of Governance – Ethical Standards and Embedding Culture** | **Substantial** | **08/08/19** | **10/09/19** | **13/09/19** | **-** | **-** | **2** | **-** |
| **Assurance Review of Commissioner’s Grants** | **Substantial** | **24/06/19** | **18/07/19** | **18/07/19** | **-** | **-** | **1** | **1** |
| **Assurance Review of Governance – Data Quality/ Information Governance** | **Reasonable** | **16/07/19** | **04/09/19** | **09/09/19** | **-** | **2** | **2** | **-** |
| **Assurance Review of Digital Data** | **Substantial** | **14/08/19** | **15/08/19** | **20/08/19** | **-** | **-** | **1** | **-** |
| **Assurance Review of Collaborations** | **Reasonable** | **17/10/19** | **17/10/19** | **22/10/19** | **-** | **1** | **-** | **-** |

# Changes to the Annual Plan 19/20

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) since the previous Progress Report.

## 

## Responsibility/Disclaimer

8. 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.

**Appendix A**

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| --- |
| **Progress against the Annual Plan for 2019/20** |

| **System** | **Planned Quarter** | **Days** | **Current Status** | **Comments** |
| --- | --- | --- | --- | --- |
| Governance – Data Quality/Information Governance | 1 | 6 | **Final report issued 9 September 2019** |  |
| Commissioners Grants | 1 | 6 | **Final report issued 8 July 2019** |  |
| Governance – Ethical Standards and Embedding Culture | 2 | 7 | **Final report issued 13 September 2019** |  |
| Digital Data | 2 | 6 | **Final report issued 20 August 2019** |  |
| HR – Learning and Development | 2 | 6 | **Deferred to Q4 at client request** |  |
| ICT – Disaster Recovery | 2 | 6 | **Planned start date 21 November 2019** |  |
| ICT – Data Assurance | 2 | 6 | **Planned start date 21 November 2019** |  |
| Collaborations | 2 | 6 | **Final report issued 22 October 2019** |  |
| Governance – Performance Management | 3 | 6 | **Deferred to Q4 at client request** |  |
| Key Financial Controls | 3 | 6 |  |  |
| Payroll | 3 | 4 |  |  |
| Accounts Payable | 3 | 6 |  |  |
| Proceeds of Crime | 3 | 6 | **In progress** |  |
| Internal Audit review of HMICFRS AFIs progress by Force (from contingency time) | 3 | 8 |  |  |
| Internal Audit compare to HMICFRS report (from contingency time) | 3 | 2.25 |  |  |
| Seized cash follow up to 2018/19 (from Contingency time) | 3 | 1.75 | **Commencing 4th November 2019** |  |
| Seized Cash | 4 | 4 |  |  |
| 2019/20 CONTINGENCY –  Audits that flow from the Force’s Corporate Risk Register | tbc | 1(12) |  |  |
| 2019/20 Follow-up | 4 | 4 |  |  |

**KEY:**

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