|  |  |
| --- | --- |
|  |  |



|  |  |
| --- | --- |
|  | **The Police and Crime Commissioner for Cleveland and the Chief Constable Cleveland Police** |
|  | **Audit Progress Report**  **Audit Committee: 28th February 2019** |
|  | **FINAL** |

INTRODUCTION

1. This summary report provides the Joint Audit Committee with an update on the progress of our work at Cleveland Police as at 13th February 2019.

# PROGRESS AGAINST THE 2018/19 ANNUAL PLAN

2. Our progress against the Annual Plan for 2018-19 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** |
| **HR Recruitment** | **Reasonable** | **19/12/2018** | **29/01/2019** | **04/02/2019** | **0** | **2** | **0** | **1** |
| **Lone Working** | **Reasonable** | **16/10/2018** | **19/11/2018** | **22/11/2018** | **0** | **1** | **4** | **3** |
| **Duty Management System** | **Substantial** | **21/12/2018** | **29/01/2019** | **04/02/2019** | **0** | **0** | **2** | **1** |
| **Key Financial Controls** | **Substantial** | **22/11/2018** | **23/11/2018** | **30/11/2018** | **0** | **0** | **1** | **0** |
| **Budgetary Control** | **Substantial** | **14/11/2018** | **20/11/2018** | **22/11/2018** | **0** | **0** | **0** | **0** |
| **OPCC – SARC and ISVA Contract** | **Advisory** | **22/01/2019** | **13/02/2019** | **14/02/2019** | **0** | **1** | **7** | **0** |

# CHANGES TO THE ANNUAL PLAN 2018/19

5. Following discussions with senior management and the OPCC the days set aside for contingency was utilised to undertake a review of the arrangements for the OPCC’s Sexual Assault Referral Centres (SARC) and the Independent Sexual Violence Advisers (ISVA) contract.

## 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 issues on which action should be taken immediately) since the previous Progress Report.

## OTHER MATTERS

8 We have issued the following briefing notes since the last Audit and Risk Committee:

* Audit and Risk Committee Newsletter – January 2019

## 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.

**Appendix A**

|  |
| --- |
| **Progress against the Annual Plan for 2018/19** |

| **System** | **Planned Quarter** | **Days** | **Current Status** | **Comments** |
| --- | --- | --- | --- | --- |
| Risk Management – Mitigating Controls | 1 | 6 | Complete | July 2018 Audit Committee |
| Fleet Management - Procurement | 1 | 6 | Complete | November 2018 Audit Committee |
| Governance – Transformation and Change Management | 1 | 6 | Complete | November 2018 Audit Committee |
| Estates Management - Procurement | 2 | 6 | Complete | November 2018 Audit Committee |
| HR Recruitment | 2 | 6 | Complete | February 2019 Audit Committee |
| Lone Working | 2 | 6 | Complete | February 2019 Audit Committee |
| Overtime, Expenses and Additional Payments | 2 | 6 | Complete | November 2018 Audit Committee |
| Duty Management System | 3 | 8 | Complete | February 2019 Audit Committee |
| Pensions Administration | 3 | 4 | To commence 11th March 2019 |  |
| ICT – Firewall | 3 | 6 | Audit delayed until first week in March 2019 | Audit was delayed by request of client until the end of Q3. The ICT auditor has been busy and has been looking to re-engage with IT at the Force. This has now happened and the audit will conclude early March 2019. |
| Key Financial Controls | 3 | 6 | Complete | February 2019 Audit Committee |
| Budgetary Control | 3 | 6 | Complete | February 2019 Audit Committee |
| Payroll | 4 | 6 | Draft issued 13th February 2019 |  |
| ICT Network Security | 4 | 6 | Audit planned for first week in March 2019 | This audit will be undertaken concurrently with ICT – Firewall audit above |
| Seized Cash | 4 | 4 | Arranged for 25th February 2019 |  |
| OPCC Contract for SARC and ISVA | 4 | 6 | Complete | February 2019 Audit Committee |
| Follow-up | 1-4 | 4 | Arranged for 1st April |  |

**KEY:**

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