

Nottinghamshire Office of the Police & Crime Commissioner & Nottinghamshire Chief Constable

Internal Audit Progress Report

Audit Committee meeting: 12TH February 2015

Introduction

The internal audit plan for 2014/15 was approved by the Joint Audit & Scrutiny Panel in June 2014. This report provides an update on progress against that plan and summarises the results of our work to date.

Summary of Progress against the Internal Audit Plan

The table below provides a progress summary of the reports that have been finalised, in draft or are work in progress. There are no fundamental issues to report to the Committee that may impact on our annual Head of Internal Audit opinion at this time.

| Assignment <i>Reports considered today are shown in italics</i> | Status | Opinion | Actions Agreed (by priority) | | |
|--|--|--------------------|------------------------------|--------|-----|
| | | | High | Medium | Low |
| Audits to address specific risks | | | | | |
| Information Management Arrangements | Final Report | Advisory | - | 8 | 2 |
| <i>Information Security – Disaster Recovery</i> | <i>Final Report</i> | <i>Amber/Green</i> | - | 2 | 3 |
| Commissioning | Q4 | | | | |
| Governance – Delivery of Police & Crime Plan | In progress | | | | |
| Partnerships | Fieldwork planned to commence 02/03/2015 | | | | |
| Policy Review | As and When | | | | |
| Scrutiny Panel | Fieldwork planned to commence 16/02/2015 | | | | |
| Crime Recording Follow Up | Q4 | | | | |
| Volunteering | Draft Report issued | | | | |
| Regional HR – Training & Skills | Refer to comments included in the Change Control section | | | | |
| Victims Code of Compliance | Draft Report issued | | | | |
| Key Financial Controls | Draft Report issued | | | | |
| Forensics Support Scientific Support | Refer to comments included in the Change Control section | | | | |

| Assignment <i>Reports considered today are shown in italics</i> | Status | Opinion | Actions Agreed (by priority) | | |
|--|--|---------|------------------------------|--------|-----|
| | | | High | Medium | Low |
| Financial Regulations | Refer to comments included in the Change Control section | | | | |
| Corporate Governance / Policy Making | Refer to comments included in the Change Control section | | | | |
| Follow Up | Draft Report issued | | | | |
| Regional Review | The scope has been agreed | | | | |

Other Matters

Planning and Liaison: We have met with management to discuss the progress of the 2014/15 audit plan.

We have commenced our regional collaboration assurance review and it is intended that the outcome of this review will be reported to the next meeting.

Internal Audit Plan 2014/15 - Change Control:

| Action <i>Changes considered today are shown in italics</i> | Date | Agreed By |
|--|----------------|---|
| The regional HR Training & Skills audit has been requested to be deferred until 2015/16. However, it is intended to utilise the allocation for this review to complete the regional review (with Northamptonshire Police) on System Licensing. | September 2014 | To be agreed by the Joint Audit & Scrutiny Panel – September 2014 |
| We had an allocation for Financial Regulations & Corporate Governance, but this has not been required. Instead, the allocation will be utilised to complete regional work around the Assurance Framework for Collaborations. | December 2014 | To be agreed by the Joint Audit & Scrutiny Panel – December 2014 |
| We had an allocation for Forensics – Scientific Support, but this has not been required. Instead, the allocation will be utilised to complete some audit work around grants and grant allocations within Force. | December 2014 | To be agreed by the Joint Audit & Scrutiny Panel – December 2014 |

The matters raised in this report are only those which came to our attention during our internal audit work and are not necessarily a comprehensive statement of all the weaknesses that exist, or of all the improvements that may be required. Whilst every care has been taken to ensure that the information provided in this report is as accurate as possible, based on the information provided and documentation reviewed, no complete guarantee or warranty can be given with regard to the advice and information contained herein. Our work does not provide absolute assurance that material errors, loss or fraud do not exist.

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