**INTERNAL Audits 2020/22**

**Green- Recommendation is agreed closure by Mazars**

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| **Date** | **Title** | **Recommendations** | **Total Number Outstanding** | **Total Number Closed** |
| **March 2020** | **Balance Transfers 2020** |
|  |  | The Force should ensure that reconciliations are carried out on balances that they transfer to provide assurance that this has been correctly completed. The Force should ensure that a reconciliation is carried out over all balances following the final transfer to provide assurance that the transfer has been correctly completed and agrees to closing balances and signed accounts. | 1 | 0 |
| **March 2020** | **Health and Safety Follow-up 2020** |
|  |  | The Force should ensure that for all incidents where an investigation has been completed, that full and complete records are maintained.  | 3 | 4 |
|  |  | The Force should formalise what mandatory H&S training is required by staff, including any additional training for Supervisors, Managers and the Chief Officer team and whether annual refresher training is required. The Force should investigate whether the “Required” mark within NCALT allows for the ability to set deadlines for training courses and automatically send emails to the relevant individual and their line manager if deadlines are missed.The Force needs to designate whose responsibility it is to have overall oversight of training, including monitoring of completion and production of performance information around training. It then needs to be ensured that this individual has the resources in place to effectively monitor this. |  |  |
| **April 2020** | **Programme Management 2020** |
|  |  | Force should ensure that all individuals are identified for roles in PMO process on most recent version of Business Case. Force should ensure that documents produced as part of PMO process adhere to the guidance provided. | 1 | 1 |
| **Sep 2020** | **Victims’ Code of Practice September 2020 –All Recommendations closed by Mazars** |
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|  | **Estates Management Oct 2020** |
|  |  | The Force should report non-compliance with the SLA in the month in which the SR falls non-compliant, as opposed to amending historical data. This will ensure that the Force maintain the integrity of the reported KPI figure. | 1 | 1 |
|  |  | The Force should consider introducing a suite of KPI’s to effectively monitor the performance of the Estates and Facilities department.Furthermore, this will enable the Force to demonstrate value for money from the expenditure incurred in fulfilling the Capital and Planned Maintenance Programme. This suite of KPI’s could include but not be limited to:* Monitoring the number of repairs completed right the first time by contractors fulfilling SR’s.
* Recording and reporting on the results of customer satisfaction surveys for newly built and recently refurbished projects and;

Monitoring the number of SR’s received for newly built or recently refurbished projects in the first 12 months following completion |  |  |
| **Dec 2020** | **Workforce Planning December 2020** |
|  |  | The Force should complete a mapping exercise and produce a centralised log of all key roles across the organisation, including non-leadership roles which are critical or specialised. Alongside this exercise, individuals who are able to assume these positions in a short / medium / long term capacity should be highlighted. | 1 | 1 |
| **Jan 2021** | **Information Assurance Follow up January 2021** |
|  |  | As intended, the organisation must continue to liaise with NPRIMT in relation to the GIRR accreditation process. | 2 | 0 |
|  |  | Now the force has more resource in place to manage the process the force should look in the longer term to return to an annual cycle of compliance rather than an ongoing pattern of late submissions for the variety of frameworks it is required to comply with. |  |  |
| **Feb 2021** | **Core Financial Systems Assurance Feb 2021** |
|  |  | The Force should liaise with MFSS to ensure that historic balances are investigated and cleared down. | 1 | 0 |
| **Feb 2021** | **Debt Management Feb 2021 - All Recommendations closed by Mazars** |
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| **March 2022** | **GDPR Follow Up 21-22** |
|  |  | The Force should continue to address the issues identified in the ICO Controllers Checklist, all of which are currently in some level of implementation. | 3 | 0 |
|  |  | We continue to support the approach being taken to complete the Information Asset Register and this should look to be completed as soon as is practical and how the National Enabling Programme progresses. |  |  |
|  |  | The Force should review compliance statistics and take action to address the low take up of training. |  |  |
| **March 2022** | **Risk Management 2021-2022** |
|  |  | The Force should ensure that a thorough review is undertaken of the Force’s departmental risk registers, so that risks that are inherent to the respective departments are identified and scored, as stated in the Risk Management Strategy.  | 5 | 0 |
|  |  | The Force should ensure that all risk registers are complete and that appropriate controls are recorded for each risk. Where risk controls are being reviewed, the Force should ensure that interim controls are in place to effectively monitor risks. |  |  |
|  |  | The Force should ensure that further training is provided to users of the JCAD system to ensure that appropriate controls are recorded to mitigate the risks identified. |  |  |
|  |  | The Force could consider introducing guidance for users of the JCAD system, which outlines a criterion for controls and risk mitigation activities. |  |  |

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|  |  | The Force should ensure the meeting minutes for the Organisational Risk, Learning, Standards, and Integrity Board are well documented, which demonstrate at the very least:* The registers presented;
* The risks discussed; and

The decisions reached / action plans devised. |  |  |
| **Feb 2021** | **Seized Property February 2021** |
|  |  | Policies and Procedures in relation to seized property should be updated to reflect the current adopted process since implementation of Niche in February 2016. | 10 | 4 |
|  |  | Policies and Procedures should be made available for Staff and Officers to view on the intranet. |  |  |
|  |  | Officers within the Force should be provided with Niche training in relation to the continuity of property management, including the checking in and out of property from temporary storage. Consideration should be made as to how to record the training attendance for all Officers. |  |  |
|  |  | The Archives and Exhibits team at stores should reject acceptance of any items which do not have a property reference attached.  |  |  |
|  |  | A log should be maintained of instances where property has not been correctly labelled. Through use of this log, individuals responsible for the failures should be held accountable.  |  |  |
|  |  | The Force should regularly perform reconciliations of locations for property that is held against records maintained on the Niche system. |  |  |
|  |  | Where it is identified that property is not in the location stated on Niche, Niche should be updated to reflect that it is in the Officers’ possession. |  |  |
|  |  | The Force should review and streamline the C17 form. Where a C17 form has not been completed correctly, this should be recorded and referred to the Officer responsible.  |  |  |
|  |  | Access to the Temporary Stores should be restricted to only police officers or the Archive & Exhibit Team who require access. Those who do not have a job-related purpose should have their access to these areas removed. |  |  |
|  |  | In the interim period, the Force should consider if audit trail access for individuals entering the stores is available. This data could be analysed to show an inappropriate access. |  |  |
|  |  | The Force should ensure that regular reconciliations of the safe are performed, to highlight any errors/missing items. |  |  |
|  |  | For items of a high value of risk, appropriate action should be taken to escalate the issue and ensure items are located in a timely manner. |  |  |
|  |  | In the instance where property cannot be located appropriate actions should be taken to identify its whereabouts |  |  |
|  |  | Meetings for the RRD working group should be documented and consideration should be made for performance indicators to be introduced |  |  |
| **April 2021** | **Wellbeing April 2021 - All Recommendations closed by Mazars** |
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| **April 2021** | **Complaints Management April 2021 - All Recommendations closed by Mazars** |
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| **September 2021** | **Firearms Licensing September 2021 - All Recommendations closed by Mazars** |
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| **March 2022** | **Business Change March 2022** |
|  |  | The Force to ensure that activity requests and/or business cases include records of stakeholder engagement, including detail as per the business case template, to evidence that this has been carried out. | 3 | 0 |
|  |  | The Force should introduce a Quality Assurance check to be carried out by the Business Change Team over project documentation, not limited to activity requests, business cases and benefits realisation plans |  |  |
|  |  | The Force should ensure that Benefits Realisation Plans are in place for Business Change projects, in line with implemented policies and guidance. The Force should ensure that benefits monitoring is carried out for projects through communication with project leads and encouraged use of the Benefits Realisation Plans. |  |  |