

For Information	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	24th September 2015
Report of:	Ch Insp Andy Burton.
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Agenda Item:	12

AUDIT AND INSPECTION REPORT

1. Purpose of the Report

- 1.1 To provide the Audit and Scrutiny Panel with an update on progress against recommendations arising from audits and inspections that have taken place within the Force.
- 1.2 To inform the Panel of the schedule of planned audits and inspections.

2. Recommendations

- 2.1 That the Panel notes the progress made against audit and inspection recommendations.
- 2.2 That the Panel takes note of forthcoming audits and inspections.

3. Reasons for Recommendations

- 3.1 To enable the Panel to fulfil its scrutiny obligations with regard to the Force's response to audits and inspections.
- 3.2 To keep the Panel informed about forthcoming audits and inspections.

4. Summary of Key Points

- 4.1 The actions referred to in this report are the result of recommendations made by the Force's previous internal auditor Baker Tilly and external inspectorates, including Her Majesty's Inspectorate of Constabulary (HMIC). They are managed through the Force Activity Plan process and updated on a monthly basis.
- 4.2 Appendix 1 'Audit, Inspection and Review Status Report Quarter 1 2015/16' provides a summary of forthcoming audits and inspections that the Force is currently aware of.
- 4.3 The Force's internal audit contract for 2015/16 has been awarded to Mazars, who take over from Baker Tilly.

- 4.4 Appendix 2 'Audit and Inspection Actions Update Report Q1 2015/16' provides details of specific actions arising from audits and inspections that are either overdue, or at risk of being overdue.

Overdue actions.

- 4.5 There are currently 2 actions showing as overdue, both of which require a revised target completion date from the action owner.

Actions at risk of being overdue.

- 4.6 There is 1 action showing at risk, because the target completion date is the end of September 2015. Work is progressing; however it is likely that this action will require a new target completion date during the next reporting period.

5 Financial Implications and Budget Provision
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- 5.1 There is no additional budget provision required to implement any of the audit or inspection related actions currently on the Force's action plan. All actions will be resourced from within existing budgets.

6 Human Resources Implications

- 6.1 There are no HR implications.

7 Equality Implications

- 7.1 There may be equality implications arising from the following reviews of policy and process:
- Witness care unit review.
 - Protected characteristics data in PSD investigations.

8 Risk Management

- 8.1 None of the current actions are addressing specific risks on the Force's risk register. There are also no new risks arising from any of the agreed actions.
- 8.2 Some actions involve the completion of formal reviews of specific business areas. It is possible that some or all of these reviews will identify and evaluate significant risks, which will then be incorporated into the Force's established risk management process.

9 Policy Implications and links to the Police and Crime Plan Priorities
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- 9.1 There are likely to be policy implications in relation to the current action:
- Complaints process review.
- 9.2 The following action relate to aspects of current Police and Crime Plan priorities:
- Witness care unit review.

10 Changes in Legislation or other Legal Considerations

- 10.1 There are potential legal implications arising from the following action:
- Complaints against officers and staff with protected characteristics

11 Details of outcome of consultation

- 11.1 Following receipt of a final audit or inspection report a member of the Planning and Policy team consults with the Force lead and other responsible stakeholders to plan appropriate actions in response to each relevant recommendation, or to agree a suitable closing comment where no action is deemed necessary.
- 11.2 All planned actions are added to the Force's action planning system, 4Action, for management and review until completion.

12. Appendices

- 12.1 Appendix 1: Audit and Inspection Status Report Q1 2015/16
- 12.2 Appendix 2: Audit and Inspection Actions Update Report Q1 2015/16