

For Information	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	30th May 2018
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	
Agenda Item:	9

Follow-up Review: EM Legal Services

1. Purpose of the Report

- 1.1 During 2016-17 Internal Audit reviewed a numbers of areas of collaboration. One of those review resulted in a Limited Assurance being given to EM Legal Services.
- 1.2 The lead force for this work is Derbyshire and therefore they undertook a follow-up review of the collaboration and a copy of this report is provided at **Appendix A**.

2. Recommendations

- 2.1 Members are requested to note this report.

3. Reasons for Recommendations

- 3.1 This complies with good governance.

4. Summary of Key Points

- 4.1 The attached report details the findings of the follow-up review. The risks identified in the precious audit report have been addressed and the risk is now considered to be low.

5. Financial Implications and Budget Provision

- 5.1 None as a result of this review

6. Human Resources Implications

- 6.1 None as a resu8lt of this review.

7. Equality Implications

- 7.1 None as a result of this review

8. Risk Management

8.1 As reported the risks are now considered to be low.

9. Policy Implications and links to the Police and Crime Plan Priorities

9.1 None as a result of tis review.

10. Details of outcome of consultation

10.1 Not applicable

11. Appendices

A Report from Derbyshire Joint Audit, Risk and Assurance Committee

JOINT AUDIT, RISK AND ASSURANCE COMMITTEE
15 JUNE 2017
REPORT OF THE CHIEF FINANCE OFFICER / DIRECTOR OF FINANCE

7D: EMPLS (COLLABORATIVE LEGAL SERVICES) AUDIT UPDATE

1. PURPOSE OF THE REPORT

- 1.1 To provide an update to the JARAC on progress made by the East Midlands Police Legal Services (EMPLS) collaboration against the recommendations made by Internal Audit and tabled at the December 2016 JARAC

2. INFORMATION AND ANALYSIS

- 2.1 Following a robust and helpful discussion at December 2016's JARAC, the Chief Finance Officer and Director of Finance gave further updates at March 2017's JARAC concerning action taken by the management team of EMPLS to address the recommendations that were made to counter the "Limited Assurance" assessment by Internal Audit.
- 2.2 Since that update was given a further, more formal, request was made to the Head and Deputy Head of the EMPLS unit such that it could be provided to the Committee.
- 2.3 The Deputy Head of EMPLS provided the following update (note that the numerical references relate to the recommendations made in the Final Audit Report at Appendix A):

4.1 – Management Board

Although addressed elsewhere, I confirm that a meeting of the Management Board took place in February this year, when it received a report on and approved the matters set out hereafter.

4.2 – Business Planning and Monitoring

An updated Business Plan covering the period 2017 – 2020 was presented to the Management Board and approved. The Business Plan continues to be a standing item at senior management (Silver) meetings within the Department.

4.3 – Key Performance Indicators

The Management Board approved a refreshed set of KPIs and received information on compliance with those indicators.

However, going forward, the Department is procuring a new case management system which includes, within its specification, the ability to produce detailed management information, primarily focussed around the key measures of cost, volumes and timeliness. The system is required to be capable of producing user-configurable bespoke reports as well as standard management information. On installation, budget provision has been made for optimum configuration to ensure key information can be produced.

4.4 – Performance Reports

Please see response at 4.3 above.

4.5 – Performance Monitoring

Information was produced to the Management Board in relation to the performance of the Department, in terms of the scope of the work undertaken, volumes and general budget performance. The ability to produce more detailed information will be enhanced by the introduction of a new case management system.

4.6 – Risk Management

The Department maintains two registers. The Departmental Register contains details of risks relating to the Department itself. It is now RAG rated using a 5x5 risk scoring matrix. It is a standing item at Silver Meetings.

Additionally, risk is a standing item at team (Bronze) Meetings, which also consider the Third Party Risk Register, identifying risks to Forces. That Register is also considered at the Silver Meeting and any risks rated at Red or Amber notified to the relevant Force(s).

3. RECOMMENDATION

- 3.1 To note the update from EMPLS and discuss, as appropriate, any concerns with the Internal Auditor such that the future ‘follow-up’ exercise can take account of the Committee’s views.

IMPLICATIONS

All implications are assessed and scored to the table below.

HIGH – supporting explanation and narrative required and to be contained within the report

MEDIUM – narrative to be contained within the report at the discretion of the author

LOW – no narrative required

	LOW	MEDIUM	HIGH
Crime & Disorder	X		
Environmental	X		
Equality & Diversity	X		
Financial	X		
Health & Safety	X		
Human Rights	X		
Legal	X		
Personnel	X		

Contact details in the event of enquiries	Andrew Dale External telephone number: 0300122 6000 Email address: andrew.dale.16973@derbyshire.pnn.police.uk
--	--

BACKGROUND PAPERS

None

ATTACHMENTS

Appendix A: Final Internal Audit Report for EMPLS