



To: Joint Audit Committee
From: Dr Natalie Benton, Head of Corporate Development
Date: 19 September 2017

Audit Recommendations – Non Financial Business Areas – Progress Report

1. Purpose

1.1 The purpose of this paper is to update the Joint Audit Committee on progress against outstanding non-financial audit recommendations for the Constabulary.

2. Recommendation

2.1 The Committee is asked to note the contents of the report.

3. Background

3.1 Monitoring of the recommendations from internal and external audit reports is undertaken by the Corporate Development Department (CDD). This is done via an action plan held by CDD.

3.2 Recommendations are prioritised into high, medium, or low importance by the auditors. These are then assessed by the Constabulary and strategic owners identified to progress each one.

3.3 Actions are placed on to the tri-force Action Monitoring System (AMS) and delivery is tracked through the Organisational Improvement Group (OIG) chaired by the Head of Corporate Development. On AMS actions are given a status of:

- i. Complete
- ii. Being progressed
- iii. Will not be progressed.

4. Recent Audit Reports

- 4.1. There have been two audits during the previous quarter.
- 4.2. An audit of Seized Property and Controlled Drugs was undertaken as part of the approved internal audit plan for 2017/18 (1).
- 4.3. The report is still in draft format. None of the recommendations have been signed off by the Constabulary at as the date of this briefing document.
- 4.4. An audit of Equality and Diversity was undertaken as part of the approved internal audit plan for 2017/18 (2).

Internal Audit Opinion: Taking account of the issues identified, the Constabulary can take reasonable assurance that the controls in place to manage this area are suitably designed and consistently applied. However, we have identified issues that need to be addressed in order to ensure that the control framework is effective in managing the identified area(s).

- 4.5. This resulted in 0 high, 4 medium, and 4 low recommendations. These have been added to the action plan, and will be actioned by the Ethics, Equality and Inclusion Board. The next meeting is scheduled for 16 November 2017.

5. Current Status

- 5.1 A full review of all outstanding audit actions was completed by the Constabulary in September 2017.
- 5.2 Recent actions and new actions arising out of recent audits have been placed onto AMS and a copy of the status report is attached at Appendix A. Complete actions from previous audits are not shown, as per a prior request from the Committee.

BIBLIOGRAPHY

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| Source Documents | |
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