



**Police and Crime Commissioners for Norfolk and Suffolk and Chief Constables of Norfolk and Suffolk Constabularies**

**Suffolk Internal Audit Progress Report**

**June 2016**

**INTRODUCTION**

1. This summary report provides an update on the progress of our work at the Police and Crime Commissioners for Norfolk and Suffolk and Chief Constables of Norfolk and Suffolk Constabularies as at 10<sup>th</sup> June 2016. The report is based on internal audit work carried out by TIAA and management representations that have been received during the period since our last progress report.

**PROGRESS AGAINST THE 2016/17 ANNUAL PLAN**

2. Our progress against the Annual Plans for 2016/17 is set out in Appendix A. The results of these reviews are summarised at Appendix B.

**AUDITS CARRIED OUT SINCE THE PREVIOUS PROGRESS REPORT**

3. The table below sets out details of audits carried out since the previous meeting of the Audit Committee.

Review	Evaluation	Key Dates			Number of Recommendations			
		Draft issued	Responses Received	Final issued	1	2	3	OEM
Corporate Communications	Reasonable	10/06/2016						
Firewalls	Substantial	09/06/2016						

OEM = Operational Effectiveness Matters

Summaries of the finalised reports are attached at Appendix B, Full reports are available to Audit Committee Members on request. The details for Norfolk only reports will not be included in the Suffolk progress report.

**CHANGES TO THE ANNUAL PLAN 2016/17**

4. There have been the following changes made to the annual plan:
  - The risk management and governance audits have been brought together to be undertaken as one audit with the assurance framework. This will provide some efficiencies in days, to be transferred to contingency.
  - Timing of audits across the year, to coincide with operational requirements.

**FRAUDS/IRREGULARITIES**

5. We have not been advised of any frauds or irregularities in the period since the last summary report was issued.

**LIAISON**

6. Liaison with external audit: We have liaised with EY during the year and kept them informed of our work and will make available to them all final audit reports. Liaison with the Chief Finance Officers: Regular progress meetings are held with the Chief Finance Officers.

**PROGRESS ACTIONING URGENT and NOT APPROVED RECOMMENDATIONS**

7. We have made no urgent recommendation (i.e. fundamental control issues on which action should be taken immediately) since the previous Progress Report.
8. We have made no recommendations which was not approved by management since the previous Progress Report.

**RESPONSIBILITY/DISCLAIMER**

9. This report has been prepared solely for management's use and must not be recited or referred to in whole or in part to third parties without our prior written consent. The matters raised in this report not necessarily a comprehensive statement of all the weaknesses that exist or all the improvements that might be made. No responsibility to any third party is accepted as the report has not been prepared, and is not intended, for any other purpose. TIAA neither owes nor accepts any duty of care to any other party who may receive this report and specifically disclaims any liability for loss, damage or expense of whatsoever nature, which is caused by their reliance on our report.

## Progress against the Annual Plan for 2016/17

System	Planned Quarter	Planned Days	Actual Days	Current Status	Comments
Transport Services	1	15	15	Draft report to issue	
Corporate Communications / Social Media	1	12	12	Draft report issued 10 <sup>th</sup> June 2016	Social Media aspects covered within Corporate Communications
HR Recruitment	1	12		In progress	
Duty Management System	1	15		Scheduled	Audit commencing 16 <sup>th</sup> June 2016
FoI / DP / Document Security	1	15		Scheduled	Audit commencing 27 <sup>th</sup> June 2016
ICT – Firewall	1	12	12	Draft report issued 9 <sup>th</sup> June 2016	
ICT – Network / Website Content Management	2	12	4	To be scheduled	Social Media aspects within Corporate Communications due to areas now within the same management responsibilities
Assurance Framework / Risk Strategy and Policy / Mitigating Controls Verification / Strategic Control and Corporate Governance	2	35		To be scheduled	Combined areas into one audit
Overtime, Expenses and Additional Payments	2	16		To be scheduled	Arranging to be undertaken in September 2016
Firearms Management	2	12		To be scheduled	Arranging to be undertaken in July 2016
Estates – Duty of Care / Cost Allocations	2	12		To be scheduled	Arranging to be undertaken in July 2016
Estates – Facilities (Catering – Suffolk)	2	6		To be scheduled	Arranging to be undertaken in July 2016
ICT – Disaster Recovery	2	12		Scheduled	Audit commencing 12 <sup>th</sup> July 2016
Performance Management	3	15		To be scheduled	Arranging to be undertaken in October 2016

System	Planned Quarter	Planned Days	Actual Days	Current Status	Comments
Purchase Cards	3	12		To be scheduled	Arranging to be undertaken in December 2016
Budgetary Control	3	12		To be scheduled	Arranging to be undertaken in October 2016
Pensions Administration	3	10		To be scheduled	Arranging to be undertaken in November 2016
HR – Strategy & Workforce Planning	3	10		To be scheduled	Arranging to be undertaken in October 2016
Complaints	4	10		To be scheduled	Moved from Q1 due to timing of the change in rules in November 2016
Collaborations	4	10		To be scheduled	
ICT – Exchange 2010 / Email Archiving	4	12		Scheduled	Arranging to be undertaken in February 2017
ICT – ERP Second / Third Line Support	4	12		Scheduled	Arranging to be undertaken in January 2017
Key Financial Controls	4	30		To be scheduled	
Payroll	4	10		To be scheduled	
Estates – Maintenance and Repair	4	12		To be scheduled	
Commissioners Grants (Norfolk)	4	10		To be scheduled	
Follow Up Work	2 / 4	10		Ongoing	Year-end reporting June 2016 / mid-year reporting
Contingency	1-4	18		As required	Possibility bring forward Lone Working or Safeguarding from 2018/19
Audit Management	1-4	20		Ongoing	
<b>Total Days</b>	-	<b>399</b>			

**KEY:**

	=	To be commenced
	=	Site work commenced
	=	Draft report issued
	=	Final report issued

## **Summaries of Finalised Audit Reports issued since the last report**

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Summaries will be included for final reports issued.