**INTERNAL Audits 2021/22**

**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** |
| CD/C4b5/30320 |  | 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 - All Recommendations closed by Mazars** |
| **April 2020** | **Programme Management 2020 – All Recommendations closed by Mazars** |
| **Sep 2020** | **Victims’ Code of Practice September 2020 – All Recommendations closed by Mazars** |
| **Oct 2020** | **Estates Management October 2020** |
| CC/64bc/91120 |  | 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. | 2 | 0 |
| CC/c4b3/91120 |  | 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** |
| MS/34a9/231220 |  | 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 – All Recommendations closed by Mazars** |
| **Feb 2021** | **Core Financial Systems Assurance Feb 2021** |
| CC/74a8/2322 |  | The Force should review all aged debts prior to the handover of the debt management process from MFSS. | 2 | 1 |
| **Feb 2021** | **Debt Management Feb 2021 - All Recommendations closed by Mazars** |
| **Feb 2021** | **Seized Property February 2021 – All Recommendations closed by Mazars** |
| **April 2021** | **Wellbeing April 2021 - All Recommendations closed by Mazars** |
| **April 2021** | **Complaints Management April 2021 - All Recommendations closed by Mazars** |
| **September 2021** | **Firearms Licensing September 2021 - All Recommendations closed by Mazars** |
| **February 2022** | **Core Financials** |
| CC/74a8/2322 |  | The Force should review all aged debts prior to the handover of the debt management process from MFSS. | 1 | 0 |
| **March 2022** | **Business Change**  |
| CC/b483/2322 |  | 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 |
| CC/e481/2322 |  | 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 |  |  |
| CC/848e/2322 |  | 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. |  |  |
| **March 2022** | **GDPR Follow Up 21-22** |
| MS/b4aa/10322 |  | 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 |
| MS/9495/10322 |  | 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. |  |  |
| MS/b4ad/10322 |  | The Force should review compliance statistics and take action to address the low take up of training. |  |  |
| **March 2022** | **Information Assurance Follow Up – March 2022** |
| MS/648c/10322 |  | As intended, the organisation must continue to liaise with NPRIMT in relation to the GIRR accreditation process.The Force must 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. | 2 | 0 |
| MS/64a9/10322 |  | The Force needs to consider how best to address the responsibilities of an Information Security Officer role and how best to accommodate it within the structure. |  |  |
| **March 2022** | **Risk Management 2021-2022** |
| MS/3485/2322 |  | 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.  | 4 | 0 |
| MS/84bd/2322 |  | 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. |  |  |
| MS/0496/2322 |  | 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. |  |  |

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| MS/e4a4/2322 |  | The Force should ensure the meeting minutes for the Organisational Risk, Learning, Standards and Integrity Board are well documented. |  |  |
| **April 2022** | **Health and Safety Follow Up** |
| CC/f4ab/20422 |  | The Health and Safety team should undertake trend analysis of cases where there are report errors and non-engagement from managers in order to highlight repeat offenders.The results of trend analysis and incidents of non-engagement from line managers should be flagged and escalated to the H&S Board (Gold).Whether a minor injury is considered as a near miss during reporting should be clarified in guidance documents. | 2 | 0 |
| CC/74b2/20422 |  | The Health and safety team should continue to monitor and prioritise the completion of mandatory training for staff.The importance of completing the training should be effectively communicated to ensure completion rates are increased. |  |  |
| **May 2022** | **Procurement - May 2022** |
| TBA |  | The Force to review the Financial Regulations, including the Contract Standing Orders, to reflect any changes following the cessation of services from Mint and changes due to UK’s exit from the EU. | 3 | 0 |
| TBA |  | The Force to implement monitoring and testing of procurement activity to ensure compliance with the temporary limits. |  |  |

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| TBA |  | The Force to determine and publish clear expectations for requestors and the procurement team with respect to the lead times required for procurement activities, including the authorisation of STAs, to ensure that services can be delivered when required and following appropriate procurement activity.  |  |  |
| **May 2022** | **Partnerships** |
| TBA |  | The OPCC should map out partnership activity into a central record.The central record should include key information including but not limited to:Legal statusStaff liaisonLead/ChairMembershipStart/End dateFunding | 3 | 0 |
| TBA |  | The OPCC should ensure that controls including the use of risk assessments and that controls outlined in the Financial Regulations are followed in regard to partnerships. |  |  |
| TBA |  | The OPCC should implement a formal review of partnerships to ensure that they remain fit for purpose. |  |  |