

POLICE & CRIME COMMISSIONER FOR LEICESTERSHIRE JOINT AUDIT, RISK & ASSURANCE PANEL

PAPER MARKED

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Report of	OFFICE OF POLICE AND CRIME COMMISSIONER
Subject	INTERNAL AUDIT PROGRESS REPORT
Date	WEDNESDAY 26 JUNE 2013 – 2.45 P.M.
Author :	CHIEF FINANCE OFFICER

Purpose of Report

1. This report provides an update of work completed to date against the internal audit plan for 2012/13 and 2013/14.

Recommendation

2. The Panel is recommended to note the report.

Background

3. The internal audit plan for 2012/13 was approved by the previous Audit and Risk Committee in March 2012.
4. The internal audit plan for 2013/14 was approved by the Joint Audit, Risk and Assurance Panel in March 2013.
5. Progress against this plan is summarised in the Internal Auditors Progress Report with copies of high and medium recommendations.

Progress Report

6. The following report has been finalised and details are included within this report:
 - Payroll Provider Review (1.13/14)

Implications

Financial: none.

Legal: none.

Equality Impact Assessment: none.

Risks and Impact: none.

Link to Police and Crime Plan: none.

List of Appendices

Appendix 1: Internal Audit Progress Report

Background Papers

Internal Audit Strategy 2012/13 presented to the Audit and Risk Committee in March 2012 and Internal Audit Strategy 2013/14 presented to the Audit, Risk and Assurance Panel March 2013.

Persons to Contact

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**Office of the Police and Crime Commissioner for Leicestershire
and Leicestershire Police**

Internal Audit Progress Report
Joint Audit, Risk and Assurance Panel Meeting:
June 2013

Prepared by Daniel Harris, Head of Internal Audit

Introduction

The internal audit plan for 2013/14 was approved by the Joint Audit, Risk and Assurance Panel in March 2013. This report provides an update on progress against that plan and summarises the results of our work to date. Further details of the reports presented to this meeting can be found in the Key Findings from Internal Audit Work below including all High and Medium priority recommendations (we have not included Low priority recommendations).

Summary of Progress against the Internal Audit Plan

Assignment <i>Reports considered today are shown in bold</i>	Status	Opinion	Actions Agreed (by priority)		
			High	Medium	Low
2012/13					
IT Disaster Recovery (DR) Control Framework (17.12/13)	Draft – 16 May 2013				
HR - Regional Review Learning and Development (18.12/13)	Draft – 16 May 2013				
HR - Regional Review - Occupational Health (19.12/13)	Draft – 31 May 2013				

All 2012/13 reports are awaiting management comments

Assignment <i>Reports considered today are shown in bold</i>	Status	Opinion	Actions Agreed (by priority)		
			High	Medium	Low
2013/14					
Payroll Provider Review (1.13/14)	Final	Green	0	0	2
Health and Safety	Fieldwork in Progress				
Winsor Review	23 Jul 13				
Zanzibar - Advisory	24 Jul 13				
Risk Management	06 Aug 13				
HR – Absence Management	14 Aug 13				
Change Programme	21 Aug 13				
General Ledger	31 Oct 13				
Payroll (including Pensions and Expenses)	13 Nov 13				
Governance	19 Nov 13				
Follow Up	17 Feb 14				
Key Financial Controls (systems notes only)	03 Dec 13				
Budgetary Control	05 Dec 13				
Governance and Delivery of the Police and Crime Plan	11 Mar 14				

Zanzibar - Assurance	12 Mar 14				
Data Security	TBC				
Collaboration (to be completed as part of a joint review with the East Midlands)	TBC				

Other Matters

Planning and Liaison: We have met with management to discuss the progress of the audit plan and scope the reviews for 2013/14.

Our Annual Report is included as separate agenda item.

Internal Audit Plan 2013/14 - Change Control:

There have been no further changes to the Audit Plan since the last meeting.

Internal Audit Team:

Daniel Harris, Director - Head of Internal Audit

Suzanne Lane, Senior Manager

Completion of 2012/13 Internal Audit Plan

Total year allocation	130 days
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Year to date used	130 days
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Expected total days	130 days
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Completion of 2013/14 Internal Audit Plan

Total year allocation	153 days
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Year to date used	12 days
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Expected total days	153 days
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Information and Briefings: We have not issued any updates electronically since the last Audit Committee.

Key Findings from Internal Audit Work (High and Medium Recommendations only)

Assignment: Payroll Provider Review (1.13/14)	Opinion:	Green
	Recommendations	High – 0 Medium – 0 Low - 2
Key Findings: There were no High or Medium priority made within this review.		

The matters raised in this report are only those which came to our attention during our internal audit work and are not necessarily a comprehensive statement of all the weaknesses that exist, or of all the improvements that may be required. Whilst every care has been taken to ensure that the information provided in this report is as accurate as possible, based on the information provided and documentation reviewed, no complete guarantee or warranty can be given with regard to the advice and information contained herein. Our work does not provide absolute assurance that material errors, loss or fraud do not exist.

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