

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

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Report of	CHIEF CONSTABLE and CHIEF FINANCE OFFICER (OPCC)
Subject	INTERNAL AUDIT RECOMMENDATIONS AND TRACKING
Date	FRIDAY 9TH DECEMBER 2016 – 1.00 PM
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Purpose of Report

- The following exception report provides the Panel with update progress responses from business owners and external auditors Baker Tilly and Mazars for the period 2013-2016. Progress on the recommendations is reported in terms of priority as High, Medium, Low and Advisory for Baker Tilly and Fundamental, Significant and Housekeeping for Mazars.
- The following table illustrates the number of Baker Tilly - High, Medium, Low and Advisory recommendations outstanding and completed since the last progress report.

Priority of Recommendation	Outstanding		Completed	Not Adopted	Total
	RED	AMBER	GREEN	GREY	
High	-	-	-	-	0
Medium	-	1	-	-	1
Low	-	-	-	-	-
Advisory	-	-	-	-	-
Total	0	1	0	-	

- The following table illustrates the number of outstanding and completed - Fundamental, Significant and Housekeeping recommendations for the Mazar's audits undertaken to date:

Priority of Recommendation	Outstanding		Completed	Superseded	Total
	RED	AMBER	GREEN	GREY	
Fundamental	-	1	1	-	2
Significant	-	11	6	-	17
Housekeeping	-	12	3	2	17
Total	0	24	10	2	36

Recommendation

4. For the panel to note the attached update on progress responses from business owners against each respective audit recommendation so far for 2013-2016.
5. For ease of reference the recommendations at Appendix A attached have been individually graded as follows:
 - I. **RED** – Outstanding and Exceeding the Target Date.
 - II. **AMBER** – Outstanding but Within the Target Date.
 - III. **GREEN** – Completed.
 - IV. **GREY** – Not Adopted

Implications

Financial : None

Legal : None

Equality Impact Assessment : None

Risks and Impact : Risk to efficiency and effectiveness of business functions where agreed recommendations are not implemented in a timely manner.

Link to Police and Crime Plan : Transparency and accountability for business functions.

List of Appendices

Appendix A - Audit Recommendations and business updates.

Appendix 1 – System Searches

Appendix 2 – Budget return flowchart

Appendix 3 – Contractor Charging

Appendix 4 – Security Vetting

Person to Contact

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