

To: Joint Audit Committee
Date: 26th September 2017
By: Daniel Harris, RSM UK
Title: Internal Audit Progress Report

Purpose of Report/Issue:

To update the Joint Audit Committee of Internal Audit's progress in achieving the 2017/18 Internal Audit Strategy since the last meeting of the Committee.

Recommendation

The Committee is invited to comment on RSM UK's progress to date in achieving the Internal Audit Strategy.

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OFFICE OF THE POLICE AND CRIME COMMISSIONER FOR SURREY AND SURREY POLICE

Internal Audit Progress Report

Joint Audit Committee presented to:

26 September 2017

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1 INTRODUCTION

The internal audit plan for 2017/18 was approved by the Joint Audit Committee in March 2017. Below provides a summary update on progress against that plan and summarises the results of our work to date.

This table informs of the audit assignments that have been completed and the impacts of those findings since the last Joint Audit Committee held.

We have finalised the last report from the 2016/17 plan, this is shown in bold below.

Assignments	Status	Opinion issued	Actions agreed		
			H	M	L
2016/17					
Staff experience (13/16.17)	Final	Partial Assurance	2	4	-

Assignments	Status	Opinion issued	Actions agreed		
			H	M	L
2017/18					
Tasers (1.17/18)	Draft Report Issued 1 September 2017				
Evidential property (2.17/18)	Draft Report Issued 4 September 2017				
Governance	Debrief meeting 14 September 2017				
Commissioning - Grants	Fieldwork completed, undergoing quality review				
Follow up	Fieldwork completed, undergoing quality review				
Collaboration strategy	Fieldwork commences 2 October 2017				
Financial Controls	Fieldwork commences 30 October 2017				
Data Protection	Fieldwork commences 4 December 2017				

Assignments	Status	Opinion issued	Actions agreed		
			H	M	L
2017/18 (cont)					
Estates Strategy and Disposals	Scoping meeting held				
Proceeds of Crime Act	Dates and scope under discussion				
Business Interests	Dates and scope under discussion				
Small assets/uniform	Dates and scope under discussion				
Mandatory Training	Dates and scope under discussion				
IT Strategy	Dates and scope under discussion				
Information Governance	Dates and scope under discussion				
Follow Up	Dates and scope under discussion				

1.1 Impact of findings to date

We have yet to issue any final 2017/18 reports.

2 OTHER MATTERS

2.1 Changes to the 2017/18 audit plan

Since the last meeting of the Joint Audit Committee responsibility for auditing those areas shared between Sussex and Surrey has been agreed. The reviews of procurement and vehicle maintenance originally within our internal audit plan are now to be completed by the internal auditors of Sussex, whilst RSM will complete two IT reviews – Information Governance and IT strategy.

We are also completing a Financial Forecasting review, as previously reported to the Joint Audit Committee.

2.2 Added value work

We have issued one Emergency Services client briefings in September 2017 since the last Joint Audit Committee e.

Articles include

- Technical update – guidance and publications
- Collaboration – barriers, risks and assurance
- Gearing up for change – how collaborative is your culture?

APPENDIX A: 2017/18 INTERNAL AUDIT ASSIGNMENTS COMPLETED TO DATE

Reports previously seen by the Audit Committee and included for information purposes only:

Assignment	Opinion issued	Actions agreed		
		H	M	L
NO 2017/18 REPORTS HAVE BEEN FINALISED TO DATE				

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