



Warwickshire Police and West Mercia Police

Police and Crime Commissioners

Joint Audit Committee 20th June 2016

Joint Audit Committee Recommendations Tracking Report

1. Introduction

- 1.1 An audit is a means by which the Forces and Police and Crime Commissioners (PCCs) provide assurance that the Forces are following legislation and their policies and procedures, and also that data quality accords with the provisions of the Data Protection Act 1998. An audit is a key element to ensuring that the Forces identify and manage any internal risks, which could negatively impact on protecting the public from harm or could damage the reputation of the Forces or PCCs.
- 1.2 A single Assurance Team exists within Strategic Service Improvement (SSI), through which all audit and inspection activities across the two Forces, is coordinated. The Assurance Team owns a single Assurance Spreadsheet capturing all activity findings, recommendations and action plans. There is a clear focus on working **with** business areas to promote a continuous improvement approach, to support the need for Assurance activity to be transparent and visible, and for business areas to take ownership for improvement activity.
- 1.3 The approach agreed is that prior to the quarterly PCC Joint Audit Committee Meeting, the Warwickshire and West Mercia Assurance Lead Officer will consider updates received from the business owners for their open audit recommendations and corresponding action plans. Where the business owner provides an acceptable response - certifying completion of the actions for all recommendations - the Assurance Lead Officer will accept that certified statement, and close those recommendations.
- 1.4 Given the significance of internal recommendations classified as fundamental, it was determined that a decision to close such recommendations should be ratified by the Joint Audit Committee as the final step in the closure process.

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- 1.5 In total 16 assurance and Internal recommendations were carried forward from the last quarterly update report, including 24 new recommendations from the assurance and internal audit reports this makes a total of 40 recommendations at the beginning of the this quarter.

2. Monitoring of Open Assurance Team Recommendations

- 2.1 Assurance recommendations are those recommendations resulting from the audits carried out by the SSI Assurance Team.
- 2.2 The tracking spreadsheet contained 20 assurance recommendations at the beginning of this period. 16 assurance recommendations have been completed **shown in the second part of Appendix A.**
- 2.3 This leaves a reminder of 4 ongoing assurance recommendations which are subject to action plans. The remaining ongoing assurance recommendations with the latest progress updates are **shown in the first part of Appendix A.**
- 2.4 Of the remaining open assurance recommendations 2 have had the target date for implementation revised.

3. Monitoring of Open Internal Audit Recommendations

- 3.1 Internal audit recommendations are those resulting from the audits carried out by the Worcester and Warwickshire County Council Audit Departments as commissioned by the Forces and PCCs. They provide a key element of the PCC's approach to holding the Forces to account, providing assurance to the Chief Officers and the PCCs.
- 3.2 The tracking spreadsheet contained 20 internal audit recommendations at the beginning of this period. 6 internal recommendations have been completed **shown in the second part of Appendix B.**
- 3.3 This leaves a remainder of 14 remaining ongoing internal audit recommendations which are subject to ongoing action plans. The remaining ongoing internal audit recommendations with the latest progress updates are shown in **shown in the first part of Appendix B.**
- 3.4 Of the remaining ongoing internal audit recommendations 9 have had the target date for implementation revised.

4. Conclusion

- 4.1 A total of 18 remaining ongoing audit recommendations are therefore carried forward to the June JAC meeting compared with a total of 16 recommendations for the previous March JAC report.
- 4.2 No fundamental internal audit recommendations are referred to the Joint Audit Committee to approve closure on this occasion for closure.

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- 4.3 A graph showing outstanding recommendations reported to the committee since its inception in September 2013 is shown in **Appendix C** with the numbers of recommendations agreed as closed at each meeting.

T/Ch Supt Debra Tedds
Head of Strategic Service Improvement