



# POLICE, FIRE AND CRIME COMMISSIONER FOR NORTH YORKSHIRE AND THE CHIEF CONSTABLE OF NORTH YORKSHIRE

## Internal Audit Progress Report

**23 July 2019**

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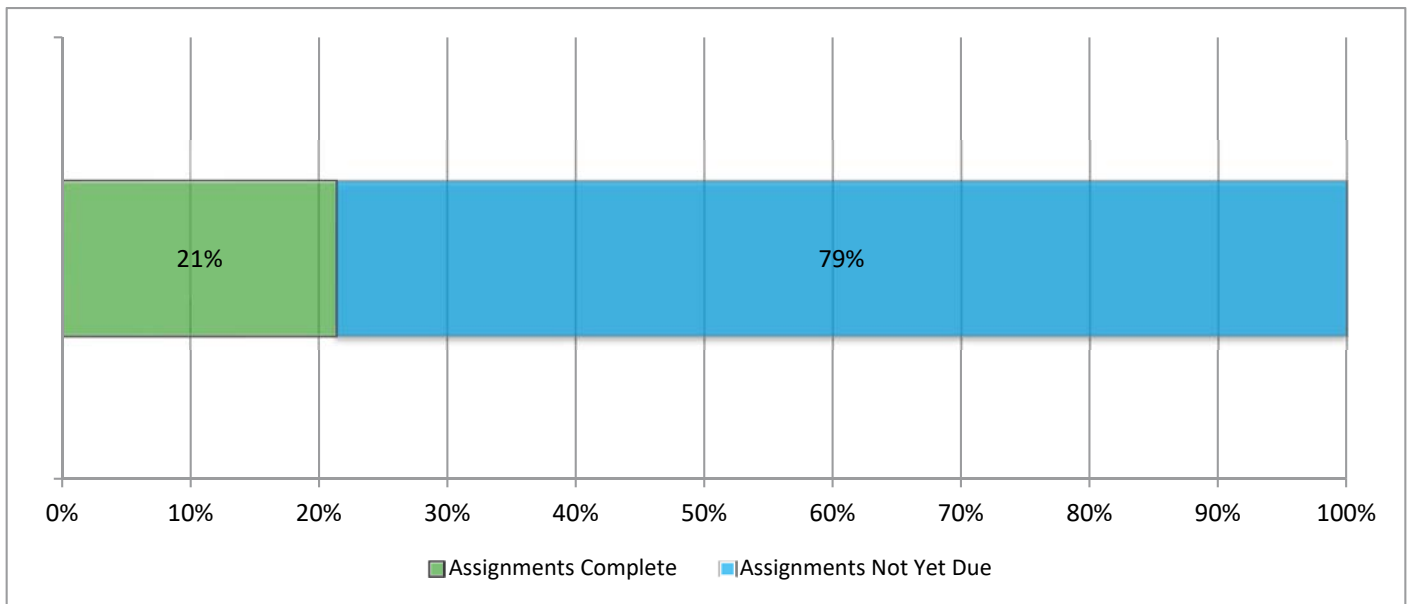
# CONTENTS

- 1 Introduction..... 2
- 2 Reports considered at this Joint Independent Audit Committee..... 3
- 3 Looking ahead..... 4
- 4 Other matters ..... 5
- Appendix A: Sector Briefing ..... 6
- For further information contact.....

# 1 INTRODUCTION

The internal audit plan for 2019 / 2020 was approved by the Joint Independent Audit Committee on 19th March 2019.

The graphic below provides a summary update on progress against the 2019 / 2020 plan.



## 2 REPORTS CONSIDERED AT THIS JOINT INDEPENDENT AUDIT COMMITTEE

This table informs of the audit assignments that have been completed since the last Joint Independent Audit Committee held.

We have finalised three reports since the previous meeting and these are detailed in the table below:

Assignments	Status	Opinion issued	Actions agreed		
			L	M	H
Vetting	Final		2	0	0
Positive Action Plan	Final		1	4	0
Follow Up of Internal Audit Management Actions: Visit 1	Final	Little progress	0	1	2

### 2.1 Impact of findings to date

The Joint Independent Audit Committee (JIAC) should note that the assurances given in our audit assignments are included within our Annual Assurance Report. In particular, the JIAC should note that any negative assurance opinions will need to be noted in the annual report and may result in a qualified or negative annual opinion.

### 3 LOOKING AHEAD

Assignment area	Status	Target Joint Independent Audit Committee
Risk Management	Fieldwork scheduled to be completed week commencing 29 July 2019	November 2019
Human Resources: Wellbeing	Fieldwork scheduled to take place week commencing 29 July 2019.  <b>Planning document issued.</b>	November 2019
Criminal Disclosure	Fieldwork scheduled to take place week commencing 12 August 2019.	November 2019
Firearms Licensing	Fieldwork scheduled to take place week commencing 19 August 2019.	November 2019
Integrated Offender Management	Fieldwork scheduled to take place week commencing 23 September 2019  <b>Planning document issued and approved.</b>	November 2019
Misconduct and Disciplinary Process	Fieldwork scheduled to take place week commencing 23 September 2019.	November 2019
Seized Exhibits / Cash Spot Checks	Fieldwork scheduled to take place week commencing 7 October 2019	November 2019
Human Resource Management and Succession Planning	Fieldwork scheduled to take place week commencing 18 November 2019.	March 2020
IT	Fieldwork scheduled to take place week commencing 18 November 2019.	March 2020
Follow Up of Internal Audit Management Actions: Visit 2	Fieldwork scheduled to take place week commencing 13 January 2020.	March 2020
Transform 2020	Fieldwork scheduled to take place week commencing 27 January 2020	March 2020

## 4 OTHER MATTERS

### 4.1 Changes to the audit plan

There has been one changes to the audit plan, please see details below:

Victims' Code

The Government are consulting on a new victims' law at the moment and a new Victims' Commissioner has been appointed. As there is some uncertainty if a law is implemented rather than a code a decision has been made to defer the review until 2020 / 2021.

Subject to approval, the Victims' Code review will be replaced with Firearms Licensing.

### 4.2 Key performance indicators (KPIs)

Delivery	Quality		Quality	Quality	
	Target	Actual		Target	Actual
Draft reports issued within 10 working days of debrief meeting	10 working days	8 working days (average)	Conformance with PSIAS and IIA Standards	Yes	Yes
			Liaison with external audit to allow, where appropriate and required, the external auditor to place reliance on the work of internal audit	Yes	As and when required
Final report issued within 3 working days of management response	3 working days	1 working day (average)	% of staff with CCAB/CMIIA qualifications	>50%	66% ytd
High and Medium recommendations followed up	Yes	Yes	Response time for all general enquiries for assistance	2 working days	2 working days (average)
			Response for emergencies and potential fraud	1 working days	N/A

# APPENDIX A: SECTOR BRIEFING

# FOR FURTHER INFORMATION CONTACT

**Dan Harris, Head of Internal Audit**

RSM  
1 St. James' Gate  
Newcastle upon Tyne  
NE1 4AD

M: 07792 948767  
[Daniel.Harris@rsmuk.com](mailto:Daniel.Harris@rsmuk.com)

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We have no responsibility to update this report for events and circumstances occurring after the date of this report.

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