



RSM: Tenon

CLEVELAND POLICE AUTHORITY

Internal Audit Progress Report

Audit and Internal Control Panel Meeting: 20th October 2011

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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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1. INTRODUCTION

1.1 The periodic internal audit plan for 2010/11 was approved by the Audit and Internal Control Panel on 21 April 2011. This report summarises the outcome of work completed to date against that plan. Appendices A and B provide cumulative data in support of internal audit performance.

2. FINAL REPORTS ISSUED

2.1 No final reports have been issued since the last Panel meeting.

3. KEY FINDINGS FROM INTERNAL AUDIT WORK

3.1 There are no issues that we need to bring to the Panel's attention.

4. WORK IN PROGRESS OR PLANNED

4.1 The Following audits are in the process of being completed:

- Succession Planning
- Futures Working Group and Efficiency Savings
- Financial Planning and Budgetary Control
- Payroll and Expenses
- Key Financial Controls

5. LIAISON WITH MANAGEMENT AND EXTERNAL AUDIT

5.1 Quarterly meetings are held with the Chair and Vice Chair of the Panel, Treasurer, Deputy Chief Constable, ACO Finance and Commissioning and the Audit Commission. The next meeting is planned for 22nd November 2011.

5.2 During 2011/12 we have met with the Treasurer, ACO Finance and Commissioning and the Audit Commission.

6. CHANGES TO OUR PLAN

6.1 There has been no change to the audit plan.

APPENDIX A: 2010/11 WORK COMPLETED TO DATE INCLUDING SUMMARY OF ASSURANCE LEVELS AND RECOMMENDATIONS

There are no final reports to be considered at this Committee meeting.

APPENDIX B: WORK IN PROGRESS OR YET TO START (INCLUDING REPORTS STILL IN DRAFT)

Auditable Area	Start Date	Debrief date	Draft report issued	Planned Audit and Internal Control Panel	Days Used (Planned)	
Assurance	Succession Planning	26/08/11	02/09/11	30/09/11	08/12/11	5 (5)
	Futures Working Group and Efficiency Savings	05/09/11	23/09/11	11/10/11	08/12/11	7 (7)
	Financial Planning and Budgetary Control	19/09/11	07/10/11		08/12/11	9 (9)
	Payroll and Expenses	03/10/11	07/10/11		08/12/11	7 (7)
	Key Financial Controls	10/10/11			08/12/11	3 (8)
	Purchasing and Payments	17/10/11			22/02/12	0.5 (7)
	Network Security	25/10/11			08/12/11	1.5 (10)
	Performance Management of the Steria Contract	Dec 2011			22/02/12	0.5 (9)
	DPA Compliance	07/11/11			22/02/12	1 (8)
	Transitional Governance – Abolition of the Authority	TBC			TBC	(7)
	Project Management of Relocation of HQ	TBC			TBC	(8)
	Follow Up – HR Policies and Procedures	14/11/11			22/02/12	0.5 (4)
	Follow Up – Data Quality / Data Accuracy	14/11/11			22/02/12	0.5 (4)
Follow Up	January 2012			19/04/12	1 (4)	
Management	-	-	-	-	7 (18)	
Contingency	-	-	-	-	(5)	
Other						