

INTERNAL AUDIT Actions Update

1. 2017 - Police Payroll Processing Procedures

2	Audit / Inspection	OWNER:	Wendy Sherratt (06809)
		DATE ACTION SET:	31/03/2017
		DUE DATE:	30/06/2019
	On Track	RECOMMENDATION:	Rec 2 (Page 6) Payroll should ensure that key processes are documented and kept in a central location accessible to all appropriate staff. Payroll Manager plans to document all relevant processes over the next 9 months.
	Priority Medium	ACTION:	As processes are carried out, a procedure note should be produced. A full procedure manual will be kept electronically and as a hard copy. Payroll manager to review and update current documented processes by March 2018 and to produce documentation for all other procedures by 30 September 2018.
		LATEST UPDATE:	(23/05/2019) Progress has been made on this, the action has been reassigned to the new payroll manager. However, a risk based approach is currently in operation as to documenting those procedures that are business critical.

2. 2017 - Police - IT Governance

3	Audit / Inspection	OWNER:	Justine Kenny (25988)
		DATE ACTION SET:	11/10/2017
		DUE DATE:	30/06/2019
	On Track	RECOMMENDATION:	It may become challenging to effectively manage a large amount of changes if reviews are only performed annually
	Priority Low	ACTION:	Depending on the outcome of the Annual Service Review, it is recommended that further consideration is given to managing and tracking changes to the contract effectively, especially if a large number of changes are required to further align to the Force's needs. It would be advisable to review supplier delivery and the contract more frequently, for example bi-annually or quarterly. In addition, as part of regular reviews there should be an exercise completed to provide assurance that all items listed within the contract are being delivered and none are being missed.

LATEST UPDATE: Progress Update: (21/05/2019) Assigned to J Kenny - new governance arrangements in place suggest completion of this action, however that is a decision for J Kenny
Reviewer's Comments: (22/05/2019) As per meeting with John Bloomer 21/05/2019 - reassigned to Justine Kenny for decision.

3. 2018 – Key Financial Controls

7	Audit / Inspection	OWNER:	Julian Owen (06797)
		DATE ACTION SET:	05/12/2018
	Off Track	DUE DATE:	30/06/2019
	Priority Low	RECOMMENDATION:	(6b) - A New Creditor Request (NCR1) form is completed by the member of staff who wants a new supplier set up. This form captures details such as the name of the requestor, date requested, reason for set up, supplier detail and who the goods are to be used by (PCC, Police, Both). The declaration 'I confirm that I hold no pecuniary or other interest in the business of the supplier named above and no connection with the supplier that could be deemed as a conflict of interest or compromise in integrity of Staffordshire Police' is then signed and dated by the requestor.

ACTION: Furthermore, a review of the NCR1 and NCR2 forms will be carried out for the following to ensure the form: contains only data fields that are required to be captured; captures the name of and when the details on the form are entered onto the Finance system; captures the name of and who checked that the details entered onto the Finance system are correct and complete; The NCR2 form captures a signed and dated declaration for the supplier to confirm details are accurate/correct; The new procedure and forms will be shared with all relevant staff.

LATEST UPDATE: Progress Update: (23/05/2019) Action is off track as we have recently implemented a new approval hierarchy (which improves the control environment), which in terms of order of precedence came first. This piece of work will form part of the commercial services operational plan for 2019/20
Reviewer's Comments: (22/05/2019) As per meeting with John Bloomer 21/05/2019 action reassigned to Julian Owen.

8	Audit / Inspection	OWNER:	Julian Owen (06797)
		DATE ACTION SET:	05/12/2018
	Off Track	DUE DATE:	30/06/2019
	Priority Medium	RECOMMENDATION:	Amendments to supplier details can only be undertaken by the Procurement Assistants. These are completed following notification from the supplier.
		ACTION:	A form will be developed for supplier amendments which will capture the following: Details of the supplier amendment notification; Date of the notification; Record of the

confirmation from the supplier that the requested changes are genuine using contact details held on the finance system. This will be supported by a record of the date the action was completed and who the action was completed by; and A second member of staff will sign and date the form to confirm that the details have been entered onto the Finance system to ensure that there is segregation of duties between those who contact the supplier to seek confirmation of the change and those who make them.

LATEST UPDATE: Progress Update: (23/05/2019) See Action 7 of this audit. These will both be covered off under the same piece of work
Reviewer's Comments: (22/05/2019) As per meeting with John Bloomer 21/05/2019 action reassigned to Julian Owen.

9	Audit / Inspection	OWNER:	Jasraj Purewal (25840)
		DATE ACTION SET:	05/12/2018
	On Track	DUE DATE:	30/06/2019
		RECOMMENDATION:	An authorised signatories list is not in place.
		ACTION:	The listing of authorised signatories and specimen signatures should be located in order to ensure that nonpop invoices are authorised and processed appropriately.
	Priority Medium	LATEST UPDATE:	(23/05/2019) An authorised list was in place, however following the changes to the procurement hierarchy as new list will be required to reflect that hierarchy. see action 7 and 8 as this form part of the same piece of work

4. Audit 2019 Data Quality – Niche Implementation (Governance)

3	Audit / Inspection	OWNER:	John Bloomer (26316)
		DATE ACTION SET:	31/01/2019
	Awaiting First Update	DUE DATE:	31/03/2019
		RECOMMENDATION:	Ref 2- At the time of review, the Force were in the process of drafting the business case for Phase two, which incorporates those lessons learned from Phase one. Lessons learned from the completion of Phase one had not been formally documented or presented prior to the commencement of Phase two.
	Priority High	ACTION:	Ref 2- The proposed savings included within the Business Case should then be mirrored within the Force wide savings programme and tracked accordingly, ideally broken down between Phase one and Phase two
		LATEST UPDATE:	