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AGENDA ITEM 6

### Report to the Joint Independent Audit Committee

### 19 March 2025

**Internal Audit Recommendations Summary Report**

**RECOMMENDATION**

The Committee is asked to note this report.

### PURPOSE OF THE REPORT

* 1. This report provides the Joint Independent Audit Committee (JIAC) with an update on the status of actions arising from recommendations made in internal audit reports.
  2. The report contains actions arising from audits of Northamptonshire Police and the Office of Northamptonshire Police, Fire and Crime Commissioner and East Midlands Collaboration Units.
  3. The attached Summary of Internal Audit Recommendations Report shows details and the current status of all open audit actions.
  4. The Force Assurance Board has oversight of all outstanding audit actions and directs the activities required to complete any actions that have passed their targeted implementation date.

1. **NORTHAMPTONSHIRE AUDITS**
   1. **Overall Status**

The report shows in 2023/24 and 2024/25 a total of fifteen audits have been completed, making fifty-one audit recommendations. Of those fifty-one recommendations:

* 41 recommendations have been completed and are closed.
* 3 recommendations have had their original implementation date revised and remain ongoing.
* 7 recommendations have not yet reached their implementation date and remain ongoing.
* No recommendation have passed their implementation date and are overdue.

Further details regarding mitigation activity and progress updates can be found within the attached report, Summary of Internal Audit Recommendations for JIAC March 2025.

1. **OVERVIEW**
   1. **2023/24 Audits**

* Ten audits were completed making forty-one recommendations.
* Thirty-six recommendations have been completed and are closed.
* Two recommendations have not yet reached their implementation date and remain ongoing.

Identity Access Management – June 2024

**Recommendation 1 – Lack of Periodic User Access Reviews.**

The process is currently conducted in conjunction with the Information Assurance and Systems admin teams and due to resource constraints is limited to ad hoc reviews at this time. However the new structure will facilitate the coordination of the ROPA, the underlying access required and then the audits will be planned and executed by the new information audit team. Consultation on the new structure is now complete and largescale recruitment underway. DDaT are working with the comms department to facilitate an effective and targeted recruitment campaign to ensure these roles are filled.

**Recommendation 4 – Password Management Tool Implementation.**

There is a PAM (Password Access Management) Project in progress that is being led by the Transformation and Change team with a project manager assigned. Budget has been allocated and we have collated requirements which include the ability to store all generic administration and service account passwords, and supplier demonstrations have now taken place. This will be reviewed bi- monthly to ensure progress is made. - Update January 2025 - The commercial activity has been placed on hold – Queries relating to Cloud viability now being explored as requested by stakeholders

* Three recommendations have had their implementation date revised and remain ongoing.

Identity Access Management – June 2024

**Recommendation 2 – Multifactor Authentication for Fire AD Accounts.**

As noted in the recommendation, we have started the process of implementing this security measure for administrative accounts and on a per project basis. The intention

would be to enable this for accounts within EntraID. Full implementation will require executive support from the organisation and of other affiliated bodies. We will commence this process, monitor the progress, and report any issues or challenges. Original implementation date September 2024. MFA still awaiting approval by the ECF and the Union. Additional paper being prepared. Revised date of April 2025 being proposed to allow time for this to be completed and approved.

**Recommendation 5 –** **Completion of Access Changes.**

Although tickets are already created from HR data, this process will now be reviewed to identify the capability of the current HR hub, ITSM tool and automation, if that cannot be easily done within these existing platforms then this will be developed with the new ITSM tool. The associated action will be to review this and report to key stakeholders.

Original implementation date July 2024. Update 31/10/24 - The procurement for the tool is progressing well. The revised project stage gates remain accurate. Revised date March 2025.

IT Asset Legacy Management – June 2024

**Recommendation 1 –** **Automated scanning of hardware and software is not used to identify inaccuracies in the IT asset register.**

The procurement and implementation of the new ITSM tool is ongoing and DDaT will implement the software in three phases, starting from the first quarter of the current fiscal year and ending by the fourth quarter of the next fiscal year.

Original implementation date December 2024. Due to procurement activity and delayed ITSM implementation delivery date adjusted to March 2025. Revised date 31 March 2025.

* 1. **2024/25 Audits**
* Five audits were completed making ten recommendations.
* Five recommendations have been completed and are closed.
* Five recommendations have not yet reached their implementation date and remain ongoing.

Asset Management – October 2024

**Recommendation 1 –** **Lack of equipment and inventory checks.**

The organisations will need to implement a new system to support the ongoing management of the equipment within operational fleet. A project mandate shall now be submitted to support the commencement of a new programme of work to implement a new system. The timeline for delivery shall then be determined by the project portfolio capacity, the data cleansing and the procurement process. Due date 30 November 2025.

**Recommendation 2 –** **Lack of updated policies and procedures.**

The Department is currently undergoing a review and potential restructure. As part of this work is also being undertaken to establish a single Asset Strategy. This shall be aligned to the revised organisational Strategies and Plans. Linked to this will then be a full review of all Policies and Procedures to take into account the revised delivery model. Due date 30 September 2025.

**Recommendation 3 –** **Lack of equipment testing.**

The organisations will need to implement a new system to support the ongoing management and testing of the equipment within operational fleet. A project mandate shall now be submitted to support the commencement of a new programme of work to implement a new system. The timeline for delivery shall then be determined by the project portfolio capacity, the data cleansing and the procurement process. Due date 30 November 2025.

Joint Core Financials – November 2024

**Recommendation 5 –** **Credit notes.**

Credit notes will be completed within the finance operations team. A request will be made via a service request and then entered into Unit 4. Investigations into Unit 4 and automatic matching will continue. Training has been carried out across the team for awareness. Due date 01 March 2024.

Workforce Planning – February 2025

**Recommendation 1 –** **No formal succession plans for critical roles.**

Liaison with Workforce Planning to identify critical roles. Work on going to look at skills for critical roles and how individuals can identify their current skill set and identify any development required. Looking at utilising about me section on Talent Tile of PDR and to utilise the Talent Tile to produce talent pools which indicate when individuals would be ready for role e.g. ready now/short/medium or long term. Due date 01 September 2025.

1. **COLLABORATION AUDITS**

* Two collaboration audits were completed in 2023/24 making three recommendations. All three recommendations are complete and are closed.

#### EQUALITY, DIVERSITY AND HUMAN RIGHTS IMPLICATIONS

None

#### HUMAN RESOURCES IMPLICATIONS

None

#### RISK MANAGEMENT IMPLICATIONS

None.

#### ENVIRONMENTAL IMPLICATIONS

None

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**Background Papers:** Summary of Internal Audit Recommendations for JIAC March 2025.