

Unit Order Eleven - External Audit Follow-up Procedures

Reference:

Audit Recommendation Status

Purpose of order:

The purpose of this order is to establish follow-up policies and procedures regarding audit recommendations received by the Audit and Accountability Bureau (AAB) from any external entities outside of the Department.

Scope of Order:

This order applies to personnel assigned to the follow-up team at The Audit and Accountability Bureau.

Order:

Personnel assigned to the follow-up team will be responsible for monitoring assigned external audit recommendations. Details of the follow-up will be memorialized on a recommended follow-up process guide, which will contain the most current process.

External audit recommendation follow-up:

External audits sent to AAB for follow-up will be assigned a project number. Personnel assigned to the follow-up team will contact the concerned auditee or process owner and request a status update (i.e., corrective action plan or supporting documents). The status will be recorded under the respective audit project number.

Responses to external audits:

After receiving the response from the concerned unit, AAB will provide a response to the external entities. In instances where the nature of the request deems it appropriate to do so, AAB may forward the response to the concerned Department executive for dissemination approval. Should a formal response be provided by the executive level of the Department, or if AAB forwards the response directly to the external entity, AAB will

receive and retain a copy of the response.

Tracking follow-up actions:

All audit recommendations and follow-up action information will be recorded on a tracker maintained by personnel assigned to the follow-up team. An annual report of all outstanding recommendations will be completed and made available for review by the Director of The Office of Constitutional Policing.

Filing and documentation retention:

All documentation, whether physical copies or electronic files, shall be maintained at AAB and subject to the guidelines of AAB Unit Order #6, Document Retention.
