Warwickshire Police and West Mercia Police

Police and Crime Commissioners

Joint Audit Committee 17th September 2017

Joint Audit Committee Recommendations Summary Report

Monitoring of Assurance Recommendations

Assurance recommendations are those recommendations resulting from the audits carried out by the Analysis & Service Improvement (ASI) Audit & Assurance Team.

The tracking spreadsheet contained 29 assurance audit recommendations open within this period. 1 has been completed. This leaves 28 ongoing assurance recommendations.

Summary of outstanding/ongoing recommendations:

Audit - SNT Websites

10 recommendations relating to the content and maintenance of SNT web sites. Briefing days were conducted for staff directly affected. Surveys have been completed externally by those who receive Community Messaging Service (CMS) messages, and internally by SNT staff. Results have now been collated and the Volunteer Programme Manager has meetings with Ch Supt LPA and the Head of Corporate Comms in September to discuss target dates.

Audit - Stop and Search

5 recommendations focusing on IT system changes to ensure the information captured on stop and a search forms is accurate and relevant.   Due to ongoing Athena work taking priority, it is unlikely that ICT will complete any of the stop and search work or actions until at least December after Athena goes live. Target December 2017.

Audit - Children in Custody

3 recommendations for the improved recording of certain information on custody records. These are clear recording of first time entrants, updating of Inspector reviews and appropriate adult details. Also to complete the electronic 'Certificate for Court document' when detained overnight for court. Target December 2017.

Child Sexual Exploitation

10 recommendations focusing on ensuring that all parties involved in CSE are clearly identified on force and national systems and that the correct markers are added, but not over used. Also that there is clear communication between departments to ensure all relevant information is passed where it is needed. DCI for Vulnerability states that the actions are in hand and will be completed as a matter of course. Target November 2017.

Monitoring of Internal Audit Recommendations

Internal audit recommendations are those resulting from the audits carried out by the Worcestershire and Warwickshire County Council Risk and Assurance Service as commissioned by the Forces and PCCs.

The tracking spreadsheet contained 24 internal audit recommendations open within this period. 16 have been completed. This leaves 8 ongoing internal audit recommendations.

Summary of outstanding/ongoing recommendations:

Audit – Capital

1 recommendation to harmonise the Minimum Revenue Provision Policy (MRP). The review of MRP will be presented to JAC in December as this has been delayed due to other work pressures. This has been agreed with the Head of Accountancy and Financial Services and the Treasurer has been notified. Revised Target from July to December 2017.

Audit – Infrastructure Security

2 recommendations to review both SQL server database privileges and user Role Based Access (RBA). The Database Team Leader with specialist expertise has now been recruited and started in post 14/08/2017. He will be tasked by the Infrastructure Manager once familiarised with his role. Target October 2017.

Contract Management

1 recommendation for the introduction of contract terms and conditions. Further amendments were required, the final version being available from Warwickshire Legal Services end of July 2017. Changes incorporate forthcoming General Data Protection Regulations. This is currently with Information Security for review. Training for Contracts & Procurement is planned for early October. Revised Target from June to October 2017.

Safer Roads Partnership

2 recommendations. To develop a strategic plan for use of reserves and consideration of the appropriateness of the current practice of paying half of motorway enforcement income into the operational Support budget. Both being reviewed as part of 2018/19 budget proposals. Target December 2017.

Crime Property and Cash Handling

1 recommendation for all items on the Property Management System (PMS) to have their location recorded. It is not possible to change the PMS location description option locally. Business Support have requested that the supplier amend the heading from 'not received' to a more relevant description, such as 'pre store movement' to ensure more transparency and accuracy in the items movement and location. Target September 2017.

Treasury Management

1 recommendation to review levels of delegated authority. Due to staff turnover and interim arrangements Treasury Management delegations need to be reviewed to provide appropriate cover.   Consideration will then be given to including this in the Scheme of Delegation. Target September 2017.

Conclusion

In total there were 53 recommendations from the assurance and internal audit reports open in this quarter, of which 17 have been closed. This leaves 36 recommendations outstanding.

Supt Ben Smith
Head of Analysis & Service Improvement

## Audit and Assurance Recommendations - Rolling Quarter Summary
Update : 30/08/2017

	Quarter 4 2016			Quarter 1 2017			Quarter 2 2017			Quarter 3 2017		
	Audit Recs.	Assurance Recs.	Total Recs.	Audit Recs.	Assurance Recs.	Total Recs.	Audit Recs.	Assurance Recs.	Total Recs.	Audit Recs.	Assurance Recs.	Total Recs.
Recommendations outstanding at start of quarter	17	25	42	20	24	44	21	27	48	13	19	32
New Recommendations received in quarter	20	20	40	8	19	27	17	3	20	11	10	21
Completed Recommendations in quarter	17	21	25	7	16	25	25	11	36	16	1	17
Recommendations outstanding at end of quarter	20	24	44	21	27	48	13	19	32	8	28	36
% Recommendations completed	**45.9**	**46.7**	**30.5**	**25.0**	**37.2**	**35.2**	**65.8**	**36.7**	**52.9**	**66.7**	**3.4**	**32.1**

% recommendations completed calculated as number of completed recommendations/recommendations outstanding at start of quarter + new recommendations.

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	Recommendation Owner / Business Owner	Audit Title	Auditors	Recs	Priority			Latest Update	Update Narrative	Target
	Recommendation Owners Q3 2017				High	Med	Low			
1	ACC - Local Policing	SNT Web Sites	Assurance	10	3	6	1	04/08/17	Survey results have now been collated and the Volunteer Programme Manager has meetings with Ch Supt LPA and the Head of Corporate Comms in September to discuss target dates.	TBC
2	Superintendant Intelligence	Stop and Search	Assurance	5	5	0	0	17/08/17	BRC work is required. ICT to address after Athena roll out completed: Further target date review against Athena progress to take place in December.	Dec-17
3	Head of Criminal Justice	Children and Young People in Custody	Assurance	3	3	0	0	30/05/17	The changes can be made over a relatively short timescale. A further period will be needed sufficient to demonstrate the adoption of the corrective processes.	Dec-17
4	Superintendant Safeguarding	Child Sexual Exploitation	Assurance	10	8	2	0	18/08/17	The actions are in hand and will be completed as a matter of course.	Nov-17
5	Director of Finance	Capital	Council	1	0	1	0	24/08/17	The review of MRP will be presented to JAC in December, as this has been delayed due to other work pressures. This has been agreed with the Head of Accountancy and Financial Services and the Treasurer has been notified.	Dec-17
6	Director Enabling Services	Infrastructure Security Review	Council	2	0	2	0	14/08/17	Database Team Leader with specialist expertise now recruited and started 14/08/17. The Infrastructure Manager will task him once he is familiarised with his role.	Oct-17
7	Director Enabling Services & Director of Finance	Contract Management	Council	1	1	0	0	30/08/17	Currently with Information Security for review and training for Contracts & Procurement planned early October.	Oct-17
8	Director of Finance	Safer Roads Partnership	Council	2	0	2	0	04/08/17	Strategic plan for use of reserves is being reviewed as part of 2018/19 budget proposals. Mechanism being developed to identify income generated from offences detected by the police, to enable income to be paid to the correct budget.	Dec-17
9	Head of Business Support	Crime Property & Cash Handling	Council	1	0	0	1	04/08/17	Strategic plan for use of reserves is being reviewed as part of 2018/19 budget proposals. Meeting held with Warwickshire CC clarifying ownership of assets. Mechanism being developed to identify income generated from offences detected by the police, to	Sep-17
10	Director of Finance	Treasury Management	Council	1	0	0	1	21/08/17	Approval limits for Treasury Management transaction review. Consideration will then be given to including in the Scheme of Delegation.	Sep-17
				36	20	13	3			

JAC Audit Recommendation Tracking

Open at start of quarter
Closed during the quarter
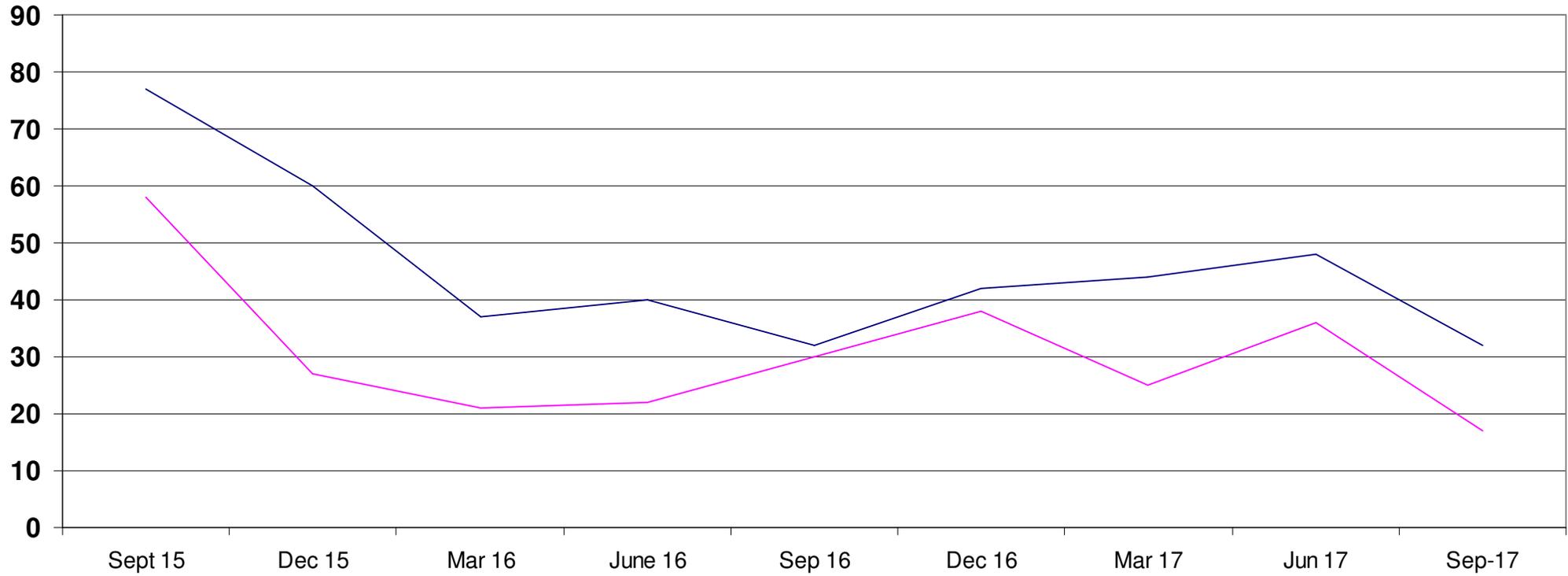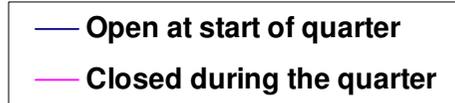
Recommendations Closed Q3 2017

Audit Title	Auditors	Qty	Date Closed
Performance Management	Internal	3	06/08/2017
Water Safety Kits	Assurance	1	02/08/2017
Capital	Internal	2	24/08/2017
Contract Management	Internal	2	01/07/2017
Crime Property and Cash Handling	Internal	4	31/07/2017
Safer Roads Partnership	Internal	2	30/06/2017
Treasury Management	Internal	2	21/08/2017
Vetting	Internal	1	30/08/2017
	Total	17	

All recommendations complete
Other recommendations outstanding