



Warwickshire Police and West Mercia Police

Police and Crime Commissioners

Joint Audit Committee 19th June 2017

Joint Audit Committee Recommendations Summary Report

Monitoring of Assurance Team Recommendations

Assurance recommendations are those recommendations resulting from the audits carried out by the SSI Assurance Team.

The tracking spreadsheet contained 30 assurance audit recommendations open within this period. 11 have been completed. This leaves 19 ongoing assurance recommendations.

Summary of outstanding/ongoing recommendations:

Audit - Water Safety Kits

1 recommendation focused on the re-distribution of kits. D LPA holds 25% of the alliance kits. A method of implementation was discussed at Uniform and Equipment (U & E) group meetings. Progress was re-assessed 10 May 2017 and Ch Supt Local Policing has delegated a Central Point of Contact (CPC) to oversee the re-distribution. Discussion is now ongoing to ascertain a balance against geographical structure, water courses, number of staff and cars etc. Target was March 2017, an extension is required.

Audit - SNT Websites

10 recommendations relating to the content and maintenance of SNT web sites. Briefing days were conducted for staff directly affected. A Community Messaging Service (CMS) survey is being distributed for completion by CMS Users. A new alliance Volunteer Programme Manager and Watch Review Officer are in post, they are helping with the review. Once the survey has been evaluated a decision will be made to proceed further with more investment into CMS, or consideration will be given to other options. At this stage no timescale is set.

Audit - Stop and Search

5 recommendations focusing on IT system changes to ensure the information captured on stop and a search form is accurate and relevant. As well as IT changes, some back record conversion (BRC) work is also required. Original target June 2017, revised for ICT to address after Athena roll out completed: Further target date review against Athena progress to take place December 2017.

Audit - Children in Custody

3 recommendations for the improved recording of certain information on NSPIS custody records. These are clear recording of first time entrants. Updating of Inspector reviews and appropriate adult details. To complete the electronic 'Certificate for Court document' when detained overnight for court. This is a recently completed audit awaiting the initial management response.

Monitoring of Internal Audit Recommendations

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

The tracking spreadsheet contained 38 internal audit recommendations open within this period. 24 have been completed. This leaves 14 ongoing internal audit recommendations.

Summary of outstanding/ongoing recommendations:

Audit – Capital

3 recommendations to harmonise the Minimum Revenue Provision Policy (MRP), introduce timetables for capital project proposals and for formal procedure notes, documenting development, monitoring and reporting of the Capital Programme. MRP Arlingclose report has been considered and in consultation with Grant Thornton, the Treasurer decided to implement a change in policy effective 1 April 2017. There is some work to do ensuring asset lives in the MRP calculations are consistent with those in the asset register and this will be presented at September JAC. Timetables will be incorporated into the business planning process and procedure notes will be prepared following completion of Statement of Accounts. Target July 2017.

Audit – Vetting

1 recommendation to have clear timescales within vetting processes. This formed part of a demand review looking at staffing levels and department structure. The timescale for the preparation of the business case in relation to the review was extended due to delays with obtaining demand figures for the vetting unit, ICT implementation and other pressures in PSD. Target June 2017.

Audit – Infrastructure Security

2 recommendations. Review of SQL server database privileges and user Role Based Access (RBA). Database Team Leader with specialist expertise now recruited and going through vetting, refs, medical assessment prior to scheduling start date. Target July 2017.

Youth Justice Service

1 recommendation for Purchase orders to be raised and approved by an appropriate authorising officer prior to amounts of expenditure being committed. Recently submitted report, so no update on the original management response given. Target May 2017.

Contract Management

3 recommendations for appropriate contract review processes to be put into place and approved copies of contracts being held by relevant staff. Measurable performance indicators as well as the performance reporting arrangements should be established prior to the start of contracts and minimum performance levels should be established to enable monitoring. Copies of contracts are now held by Contracts & Procurement (C&P). Statement of requirements document is finalised and in use. Final draft of Terms & Conditions provided by Warwickshire Legal Services (WLS) and is being reviewed. Update meeting with Force Solicitor (prior to agreement) set for 7 June. A number of guidance documents are now available on the Intranet for use as a basis for future working practices. Target June 2017.

Safer Roads Partnership

4 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. Clarification of the ownership and maintenance of assets. Meeting held with Warwickshire County Council (WCC) which clarified the ownership of the assets. This is included in the final draft of the SLA which is currently with WCC Legal Department. SLA will then be presented to Director of Finance for approval and sign off. Currently developing a mechanism with Finance Officer to identify income generated from offences detected by the police, to enable income to be paid to the correct budget. Target June 2017.

Conclusion

In total there were 68 recommendations from the assurance and internal audit reports open in this quarter, of which 35 have been closed. This leaves 33 recommendations outstanding.

Supt Ben Smith
Head of Strategic Service Improvement

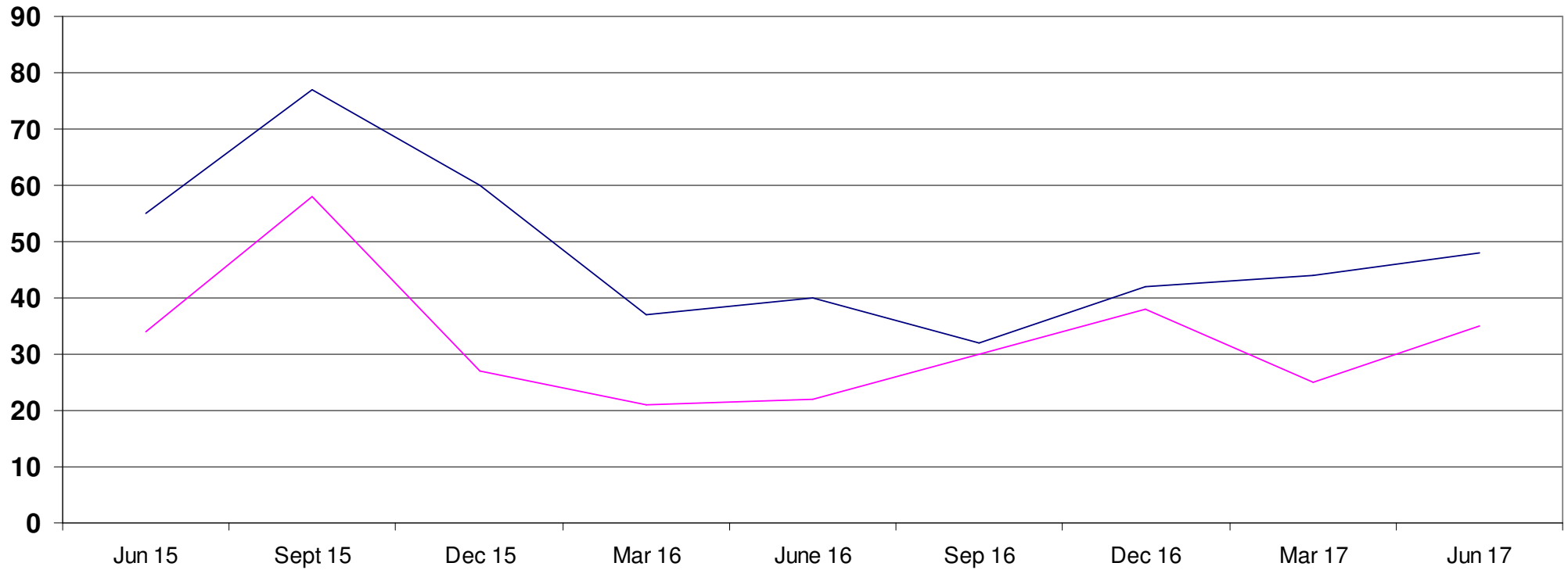
Audit and Assurance Recommendations – Summary Information

Update: 02/06/2017

	Quarter 3 2016			Quarter 4 2016			Quarter 1 2016			Quarter 2 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	22	10	32	17	25	42	20	24	44	21	27	48
New Recommendations received in quarter	18	22	40	20	20	40	8	19	27	17	3	20
Completed Recommendations in quarter	23	7	30	17	21	38	7	16	25	24	11	35
Recommendations outstanding at end of quarter	17	25	42	20	24	44	21	27	48	14	19	33
% Recommendations completed	57.5	21.9	41.7	45.9	46.7	46.3	25.0	37.2	35.2	63.2	36.7	51.5

JAC Audit Recommendation Tracking

— Open at start of quarter
— Closed during the quarter



	Recommendation Owner / Business Owner	Audit Title	Auditors	Recs	High	Med	Low	Latest Update	Update Narrative	Target
1	Superintendent LPA with WSK Portfolio	Water Safety Kits	Assurance	1	1	0	0	15/05/17	Progress was assessed at U & E meetings. Ch Supt Local Policing has now delegated a Central Point of Contact (CPC) to oversee the re-distribution which is ongoing.	Mar-17
2	ACC - Local Policing	SNT Web Sites	Assurance	10	3	6	1	02/05/17	Community Messaging Service (CMS) survey being distributed for completion by CMS Users. Once the survey has been evaluated a decision will be made how to proceed	TBC
3	Superintendent Intelligence	Stop and Search	Assurance	5	5	0	0	30/05/17	BRC work is required. Original target June 2017, revised for ICT to address after Athena roll out completed: Further target date review against Athena progress to take place December	Dec-17
4	Head of Criminal Justice	Children and Young People in Custody	Assurance	3	3	0	0	30/05/17	This is a recently completed audit awaiting the initial management response.	TBC
5	Director of Finance	Capital	Council	3	0	2	1	03/05/17	MRP Report considered, to be presented to Sept JAC.. Timetables will be worked on following the completion of the Statement of Accounts	Sep 17 Jul 17
6	Superintendent PSD	Vetting	Council	1	0	0	1	31/05/17	The timescale for the preparation of the business case in relation to the review was extended due to delays with obtaining demand figures for the vetting unit, ICT implementation and other pressures in PSD.	Jun-17
7	Director Enabling Services	Infrastructure Security Review	Council	2	0	2	0	30/05/17	Database Team Leader with specialist expertise now recruited and going through vetting, refs, medical assessment prior to scheduling start date.	Jul-17
8	WMP PCC	Youth Justice Service	Council	1	0	1	0	30/05/17	Recently submitted report, 2 recommendations complete, 1 awaiting further update since original management response given.	Jun-17
9	Director Enabling Services & Director of Finance	Contract Management	Council	3	1	2	0	01/06/17	Copies of contracts now held by C&P. Statement of Requirements document finalised and in use. Final draft of Terms & Conditions provided and being reviewed. Update meeting with Force Solicitor set for 7 June.	Jun-17
10	Director of Finance	Safer Roads Partnership	Council	4	0	4	0	30/05/17	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 enable income to be paid to the correct budget.	Jun 17 Dec 17