



Warwickshire Police and West Mercia Police

Police and Crime Commissioners

Joint Audit Committee 12th December 2016

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 46 assurance audit recommendations open within this period. 12 have been completed. This leaves 34 ongoing assurance recommendations.

Summary of outstanding/ongoing recommendations:

Audit - SNT Websites

10 recommendations relating to the content and maintenance of SNT web sites. ACC has tasked the 3 Ch Sups to review as linked to the development of new Consultation and Engagement Strategy. Ch Sup Local Policing West Mercia has conducted several briefing days for staff directly affected. To be discussed at the December LPA Directorate meeting so target date not yet set.

Audit - Water Safety Kits

3 recommendations focused on the re-distribution of kits, management and inventory discrepancies. A method of implementation was discussed at the October Uniform and Equipment group. Kits will be re-distributed and briefings sent out to SPOCs. Progress will be assessed at the January U & E meeting. Target date will be March 2017.

Audit - Minor Operation Risk Assessment Form

4 recommendations focused on the use, quality of information and design of the form. Discussed at November Health & Safety meeting. Improvement will be assessed at the next meeting in spring 2017. Target date May 2017. Work has also taken place to incorporate this into the organisational learning framework.

Audit - ViSOR

13 recommendations relating to data quality and ownership of tasks required on ViSOR, PNC, PND and GENIE. ViSOR Central Point of Contact (CPC) has conducted feedback sessions with each MOSOVO to discuss the audit findings. DCI Vulnerability Team has started an internal review of the CPC role, as this is pivotal to data quality improvements. A member of the Vulnerability team has been tasked to liaise with the ATHENA project team to ensure that MOSOVO processes are planned and incorporated into ATHENA. DCI is also working with Intelligence Team DCI to consider the issue of who should complete initial ViSOR registration and checks. Reviews still ongoing so target dates not yet set.

Audit – PND Insecure Data

4 recommendations focused on staff awareness of sensitivity of data and management analysis of potential areas for concern. Preliminary discussions between PNSB and IPU have taken place in terms of current training provided and QA processes. Analytical work has commenced to identify context and any corrective action. Reviews still ongoing so target dates not yet set.

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 31 internal audit recommendations open within this period. 14 have been completed. This leaves 14 ongoing internal audit recommendations.

Summary of outstanding/ongoing recommendations:

Audit - Charging

3 recommendations for charging guidance and the need for a joint policy. Delayed due to cancellation of JNCC meeting. Not presented at JNCC 18 November 2016 as the policy is incomplete in one regard. Action is to rectify this position and send the policy to the next JNCC 17 February 2017.

Audit - Procurement

2 recommendations relating to contractor tenders and exemptions. Some delay in delivery due to staff vacancies and being unable to recruit Procurement Managers. However, draft Intranet guidance completed with a number of amendments being made following feedback from the Director of Finance (DoF) and Head of Contracts and Procurement (HoCP). Interim direction and signposting by existing staff is taking place and a full awareness programme will roll out in Q4. Target date of September 2016 not achieved, now April 2017.

Audit – Vetting

1 recommendation focused on clear timescales within vetting processes. This will form part of a demand review looking at staffing levels and department structure. The review was due to start in November 2016, but it will now be conducted in January 2017 and will last 12 weeks. The PSD HoD has a business case in for additional staff, but the numbers will be dependant on the review results. A realistic target date will therefore now be June 2017.

Audit - Vehicle Recovery

5 recommendations focused on aligning contracts and internal quality assurance processes. Following an internal review of VRS 2 target dates of December 2016 are no longer achievable as the action needed is now dependant on IT system upgrades which are taking place in April 2017. Target date is April 2017.

Audit – Infrastructure Security

3 recommendations focused on access rights, authentication modes and admin activities. Target dates were originally December 2016 and Q1 2017. Now April 2017 and Q2/2017, these are dependant on a new head of KIM and the input from a new team leader with specialist expertise still to be recruited.

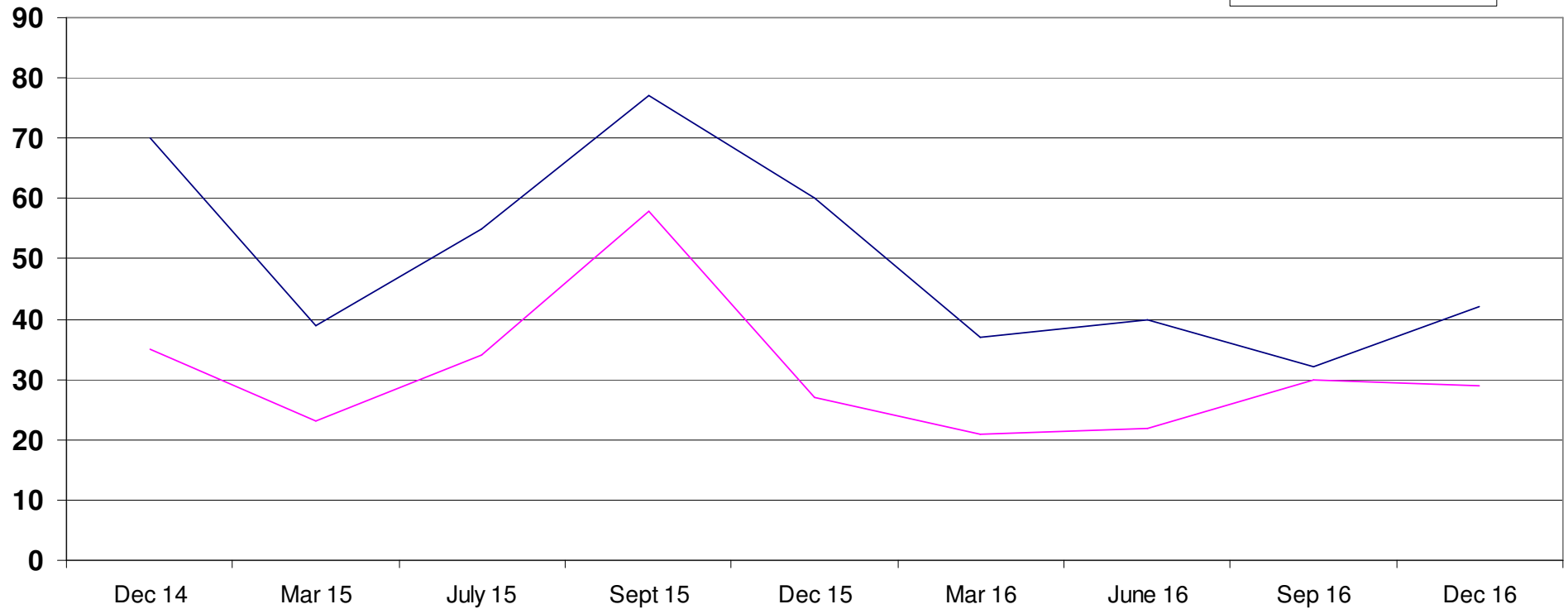
Conclusion

In total there were 77 recommendations from the assurance and internal audit reports open in this quarter, of which 26 have been closed. This leaves 48 recommendations outstanding.

Ch Supt Debra Tedds
Head of Strategic Service Improvement

JAC Quarterly Audit Recommendation Tracking

— Total Open Start
— Total Closed



Audit and Assurance Recommendations – Year to Date Summary Information

Update: 21/11/2016

	Quarter 1			Quarter 2			Quarter 3			Quarter 4		
	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	16	21	37	20	20	40	22	10	32	17	25	42
New Recommendations in quarter							15	22	34	14	21	35
Completed Recommendations in quarter	7	14	21	6	16	22	23	7	30	14	12	26
Recommendations outstanding at end of quarter	9	7	16	14	4	18	14	25	36	14	34	48
% Recommendations completed	43.8	66.7	56.8	30.0	80.0	55.0	62.2	21.9	45.5	45.2	26.1	33.8

% recommendations completed calculated as no of completed recommendations/(recommendations outstanding and new recommendations)

Note: Data compiled for Quarter 1 and 2 does not distinguish between outstanding recommendations at start of quarter and new recommendations so all have been updated as outstanding

Recommendation Owners Q4 2016

	Recommendation Owner / Business Owner	Audit Title	Auditors	Recs	High	Med	Low	Latest Update	latest update	Target Date
1	ACC - Local Policing	SNT Web Sites	Assurance	10	3	6	1	08/11/16	ACC tasked Ch Sups to give their views on timelines and maintenance of the strategy. Ch Sup LP has run a number of SNT briefing days. This will be discussed at December LP Directorate meeting	TBC
2	Superintendent LPA with WSK Portfolio	Water Safety Kits	Assurance	3	3			18/11/16	Raised at October U&E. Kits to be re-distributed and briefing sent to SPOCs. Situation will be re-assessed at January U&E. Will be complete by March 2017	Mar-17
3	Director Enabling Services	Minor Operation Form	Assurance	4	4			15/11/16	Improvements will be discussed at the January & Spring Health & Safety meetings. Health & Safety Manager will amend the form to incorporate the necessary changes.	Dec 16 Mar 17
4	Superintendent PVP	ViSOR	Assurance	13	7	3	3	21/11/16	Briefing sessions conducted, Reviews ongoing for CPC role and responsibility for input/checks between DCI Vulnerability Team and DCI Intelligence Team. This is ongoing. No target date set yet.	TBC
5	Superintendent Intelligence	PND Insecure Data	Assurance	4	2	1	1	15/11/16	Preliminary discussions and analytical work has commenced to identify context and any corrective action.	TBC
6	Director Financial Services	Charging	Council	3		3		21/11/16	Not been presented to November 2016 JNCC as the policy is incomplete in one regard. Action is to rectify this position and send the policy to the next JNCC.	Feb-17
7	Director Financial Services	Procurement	Council	2		2		11/11/16	Implementation will be Q4 following new procurement management starting in post. Interim measures are in place. Target date March 2017	Mar-17
8	Superintendent PSD	Vetting	Council	1			1	15/11/16	Review set for November 2016 has been pushed back to January 2017. The review will take 12 weeks. Target date now June 2017	Jun-17
9	Superintendent Operational Support	Vehicle Recovery	Council	5		3	2	15/11/16	Target date now April 2017 as changes are reliant on major ELVIS IT system upgrade	Apr-17
10	Director Enabling Services	Infrastructure Security Review	Council	3		3		21/11/16	Recommendations dependant on new head of KIM and a new team leader with specialist expertise.	Apr 17 Jun 17
11	Audit Lead County Council	Financial	Grant Thornton	1	1			05/10/16	A report containing proposals for assessments will be presented to the March 2017 JAC	Mar-17
				49	20	21	8			