



Warwickshire Police and West Mercia Police

Police and Crime Commissioners

Joint Audit Committee 20th March 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 43 assurance audit recommendations open within this period. 16 have been completed. This leaves 27 ongoing assurance recommendations.

Summary of outstanding/ongoing recommendations:

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 (U & E) group. Progress was assessed at the January U & E meeting. The group requested the Supt with WSK portfolio progress the necessary action. Target March 2017.

Audit - Minor Operation Risk Assessment Form

1 recommendation to improve the uptake of the form. This was discussed at the November & February Health & Safety (H & S) meeting. There has been a marked improvement in the numbers of forms being completed, particularly in areas that were lagging behind. Management will continue to monitor uptake, this will be re-assessed at the spring 2017 H & S meeting. Target May 2017.

Audit - SNT Websites

10 recommendations relating to the content and maintenance of SNT web sites. Briefing days were conducted for staff directly affected. Following feedback from these sessions and discussions with the Community Messaging Service (CMS) Volunteer Programme Team and Head of Corporate Comms it has been agreed that an evaluation is needed to establish where we are with CMS now before consideration is given to investing in a new bespoke system.

There is also the potential to utilise Facebook in the same way as Neighbourhood Watch is being adopted in parts of Worcestershire. At this stage no timescale is set.

Audit – PND Insecure Data

1 recommendation for the review of historic source records to identify the high risk keywords. Work is now ongoing to establish which keywords are worthy of further investigation. This will assist the Intelligence management team in determining the level of risk and will enable them to reach an informed decision. Target June 2017.

Audit - Stop and Search

10 recommendations focusing on improving data quality and IT system changes to ensure the information captured on stop and search forms is accurate and relevant. As well as IT changes, some back record conversion (BRC) work is also required. Target June 2017.

Audit – PNC Wanted on Warrant

2 recommendations. To raise Warrants Officer awareness of the need and process for submitting duplicate nominal merges to the Data Management Team (DMT) Target March 2017. Improve officer understanding and uptake for adding detained markers on PNC in a timely manner. Target May 2017.

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 28 internal audit recommendations open within this period. 6 have been completed. This leaves 22 ongoing internal audit recommendations.

Summary of outstanding/ongoing recommendations:

Audit - Charging

3 recommendations for charging guidance and the need for a joint policy. Fees and Charges policy is now complete and was to be presented to February Joint Negotiation & Consultation Committee (JNCC) for sign off, however JNCC was cancelled. Policy will be presented at the next JNCC. Target May 2017.

Audit - Procurement

2 recommendations relating to contractor tenders and exemptions. Intranet site is up and running. 2 of 3 Procurement Manager posts now filled and operating, with final one identified and start date to be confirmed. Procurement awareness training delivered to key ICT and Programme Manager Groups. Training and documentation package being developed and rolled out in ICT. Procurement Managers are developing relationships with business areas and will roll out further awareness sessions to identified staff groups. Target April 2017.

Audit - Bank Reconciliation

1 recommendation to improve matching transactions with respective cash books and bank statements. Recommendation agreed and responsibility is with the Senior Finance Officer. Target March 2017.

Audit - Cashiers & Collection of Income

1 recommendation for review and update of Accounting Instruction 1 – Security of Cash, to ensure it reflects the alliance. Cash handling Policy has been harmonised, and is awaiting approval by JNCC. February JNCC was cancelled. Policy will now be presented at the May JNCC. Target May 2017.

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. For MRP a report has been prepared by Treasury Advisors Arlingclose which will be considered by DoF and the Treasurer to the PCC with a view to have a harmonised policy from 1 April 2017. Target March 2017. Timetables will be incorporated into the business planning process and procedure notes will be prepared prior to commencement of the 2018/19 budget setting process. Target July 2017.

Audit – Vetting

1 recommendation to have clear timescales within vetting processes. This forms part of a current ongoing demand review looking at staffing levels and department structure. The PSD HoD has a business case in for additional staff, the numbers will be dependant on the review results. Target June 2017.

Audit - Vehicle Recovery

5 recommendations focused on aligning contracts and internal quality assurance processes. An internal review of VRS highlighted that the action needed to improve processes was dependant on IT system upgrades which are taking place in April 2017. Current contracts have been extended for three months to ensure the smooth transition from the old contracts to the new ones. Target April 2017.

Audit – Infrastructure Security

3 recommendations. New Head of Knowledge Information Management (KIM) and new Information Security Officer (ISO) in process of ascertaining current Information Asset Owners (IAO) and agreeing appropriate access rights for user accounts. Target April 2017. Database Team Leader with specialist expertise still to be recruited to review user Role Based Access (RBA) requirements. Target July 2017.

Audit - Risk Management

3 recommendations for the strategic risk register to be enhanced to include the initial evaluation and mitigating controls and for the Risk Management Strategy, Processes and Procedures document to be expanded to detail the full risk map structure with more supporting detail. Target March 2017.

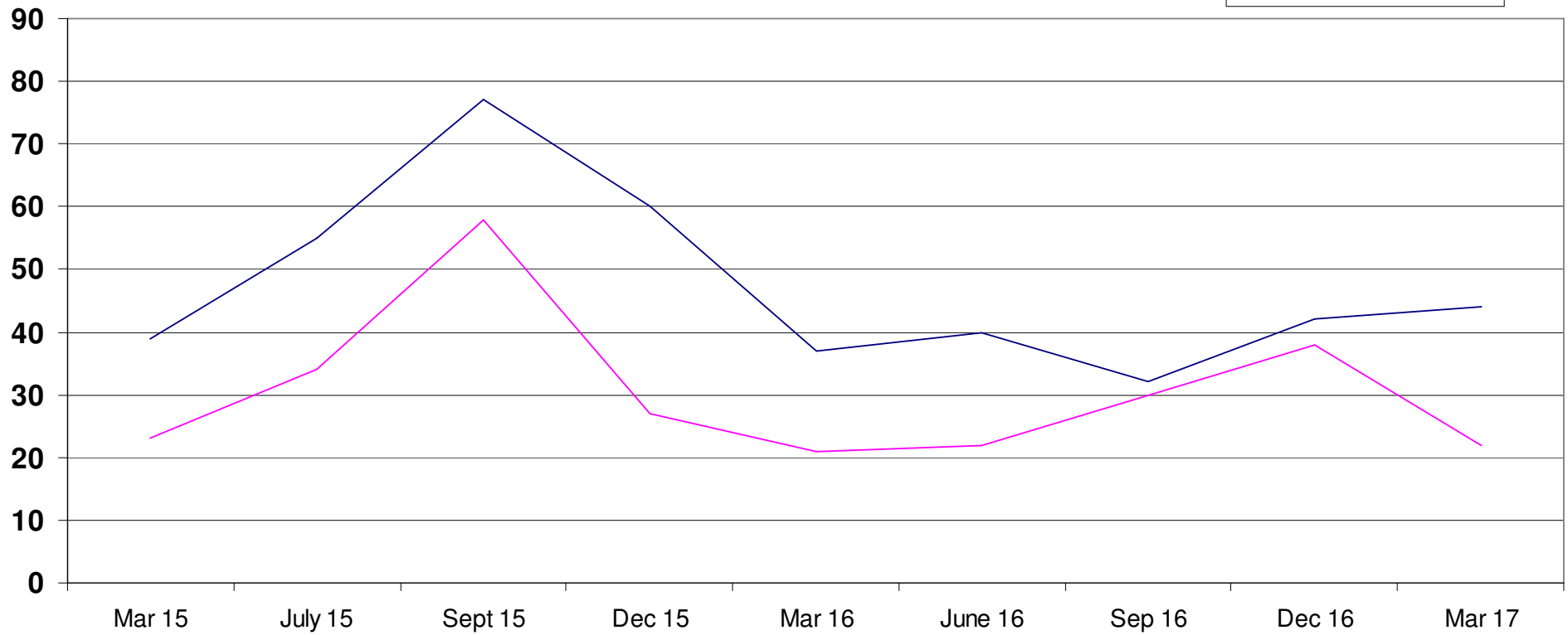
Conclusion

In total there were 71 recommendations from the assurance and internal audit reports open in this quarter, of which 22 have been closed. This leaves 49 recommendations outstanding.

Ch Insp Jennie Mattinson
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: 24/02/2017

	Quarter 2 2016			Quarter 3 2016			Quarter 4 2016			Quarter 1 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	20	20	40	22	10	32	17	25	42	20	24	44
New Recommendations received in quarter	8	6	14	18	22	40	20	20	40	8	19	27
Completed Recommendations in quarter	6	16	22	23	7	30	17	21	38	6	16	22
Recommendations outstanding at end of quarter	22	10	32	17	25	42	20	24	44	22	27	49
% Recommendations completed	21.4	61.5	40.7	57.5	21.9	41.7	45.9	46.7	46.3	21.4	37.2	31.0

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

Recommendation Owners Q4 2016

	Business Owner	Audit Title	Auditors	Recs	High	Med	Low	Latest Update	Latest Update	Target Date
1	Superintendent LPA with WSK Portfolio	Water Safety Kits	Assurance	3	3	0	0	22/02/17	Progress was assessed at the January U & E meeting. The group requested the Supt with WSK portfolio progress the necessary action.	Mar-17
2	Director Enabling Services	Minor Operation Form	Assurance	1	1	0	0	07/02/17	Improvement in numbers being completed, particularly in areas that were lagging behind. Management continue to assess uptake. To be re-assessed at spring meeting 2017	May-17
3	ACC - Local Policing	SNT Web Sites	Assurance	10	3	6	1	08/02/17	SNT briefing days conducted. Feedback and discussion with CMS Team leads. Evaluation needed to establish direction to take. New version of CMS, or utilise Facebook.	TBC
4	Superintendent Intelligence	PND Insecure Data	Assurance	1	0	0	1	07/02/17	Work ongoing to identify the high risk keywords which should assist the management team in determining the level of risk and reach an informed decision	Jun-17
5	Superintendent Intelligence	Stop and Search	Assurance	10	8	2	0	10/02/17	Work under way to make IT changes that will aid data capture and improve data quality.	Jun-17
6	Head of Criminal Justice	PNC Wanted on Warrant	Assurance	2	2	0	0	23/02/17	Ongoing Training for Warrants Officers to submit duplicate nominal reports and raising officer awareness of timeliness and need to add detained markers on PNC.	Mar 17 May 17
7	Director Financial Services	Charging	Council	3	0	3	0	09/02/17	Policy complete, but February JNCC was cancelled. Policy will be presented at the May JNCC.	May-17

	Business Owner	Audit Title	Auditors	Recs	High	Med	Low	Latest Update	Latest Update	Target Date
8	Director Financial Services	Procurement	Council	2	0	2	0	21/02/17	Training and documentation package being developed by ICT. New Procurement Managers developing relationships with business areas, further awareness sessions to identified staff.	Apr-17
9	Director Financial Services	Bank Reconciliation	Council	1	0	0	1	07/02/17	Recommendation agreed and responsibility with the Senior Finance Officer.	Mar-17
10	Director Financial Services	Cashiers & Collection of Income	Council	1	0	0	1	07/02/17	Cash handling Policy has been harmonised, and is awaiting approval by JNCC. February JNCC was cancelled. Policy will now be presented at the May JNCC	May-17
11	Director Financial Services	Capital	Council	3	0	2	1	08/02/17	MRP Report harmonised. Timetables to be incorporated in the business planning process and procedure notes will be prepared prior to 2018/19 budget setting process	Mar 17 July 17
12	Superintendent PSD	Vetting	Council	1	0	0	1	22/02/17	Current ongoing demand review looking at staffing levels and department structure. The review will take 12 weeks.	Jun-17
13	Superintendent Operational Support	Vehicle Recovery	Council	5	0	3	2	13/02/17	Current contracts extended for three months to ensure the smooth transition from the old contracts to the new ones. On track for system update and go live in April 2017.	Apr-17
14	Director Enabling Services	Infrastructure Security Review	Council	3	0	3	0	24/02/17	New Head of KIM and ISO in post, ascertaining IAO. New team leader with specialist expertise still to be recruited to review user RBA.	Apr 17 Jun 17
15	Head of SSI	Risk Management	Council	3	0	2	1	13/02/17	Discussions with new ACC ongoing but on target.	Mar-17
				49	17	23	9			