



## **Warwickshire Police and West Mercia Police**

### **Police and Crime Commissioners**

**Joint Audit Committee 11<sup>th</sup> January 2018**

## **Joint Audit Committee Recommendations Summary Report**

### **Monitoring of Assurance Recommendations**

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

The tracking spreadsheet contained 33 assurance audit recommendations open within this period. 12 have been completed. This leaves 21 ongoing assurance recommendations.

Summary of outstanding/ongoing recommendations:

#### **SNT Websites**

10 recommendations relating to the content and maintenance of SNT web sites. Briefing days and surveys were conducted for staff directly affected. The Volunteer Programme Manager (VPM) met with Ch Supt LPA and the Head of Corporate Comms to discuss what is put both on the websites and also expectations around what SNTs would be required to publish. 2 Digital Corporate Comms Officers are being recruited. One candidate has been successful, the second position is currently being re-advertised with the hope that both will be in post in February 2018. Ch Sup LPA will then work with them to get this up and running, along with issues such as Facebook Neighbourhood Watch. Due to this no target date is set at this stage.

#### **Stop and Search**

4 recommendations focusing on IT system changes to ensure the information captured on stop and a search forms is accurate and relevant. Due to Athena work taking priority this needs to be rescheduled into the new year with a revised target date. The work will involve about 4 days of development time plus testing. Target February 2018.

## **Child Sexual Exploitation**

1 recommendation highlighting the need for officers and staff to have further understanding of CSE to ensure correct application of CSE markers on force systems to enable clear focus and analysis of those subject to CSE. A review of training requirements for HAU staff and DDM was undertaken and the findings highlighted a training need. Training will be conducted by the CSE Team. Target January 2018.

## **COMPACT Missing persons**

6 recommendations, 3 focusing on communications to staff, reminding them of the steps necessary to ensure that all relevant information is recorded on force systems and in the correct location. Target January 2018. 3 to explore ICT solutions for markers and photographs to be shared across force systems and LPA briefing pages to continue to show live missing persons on the relevant LPA dealing with the investigation following transfers between LPA, or from other forces. Target March 2018.

## **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 31 internal audit recommendations open within this period. 13 have been completed. This leaves 18 ongoing internal audit recommendations.

Summary of outstanding/ongoing recommendations:

## **Capital**

1 recommendation to harmonise the Minimum Revenue Provision Policy (MRP). The MRP report has been drafted and is with the PCC Treasurer for review. The report will be presented to JAC in January if considered complete. Target December 2017.

## **Place Partnership Limited**

2 recommendations, that once KPIs are agreed by the Alliance they should be formally adopted via a Deed of Variations to the Service Agreement. This should be signed, dated and sealed by both parties and also reported to the PPL Board and the Police Executive Board. There will be further development of the KPI's with the implementation of the new Computer Aided Facilities Management (CAFM) system which is due March 2018. The new system will improve the ability to measure performance and therefore report on KPI's. The current partnership arrangements, including roles and responsibilities, service provision, administration and governance and

reporting arrangements, should be formally reviewed. An element of this work has already been completed following a review by the PCC. Head of Business Support and Contract Relationship Manager will undertake a root and branch review. Target March 2018.

### **Service Delivery Standards**

5 recommendations, to define target KPI for resolution of incidents, Monthly Management reporting to demonstrate performance against targets, creation and maintenance of an ICT service catalogue, a review of service desk documents and an investigation of options for obtaining and reporting on customer feedback. An ICT Strategic review is being undertaken by 3rd party consultants and this action will form part of the review. Target March 2018.

### **Multi Agency Safeguarding Hub (MASH)**

10 recommendations, for defining financial resource commitments, agreed documented governance arrangements, a review of the current structure of each MASH to ensure demand is met. To ensure there is a full and appropriate training and development programme, also determining the requirement for triage meetings and the introduction of a performance management framework which can be monitored for both strategic and operational data. Target December 2018.

### **Conclusion**

In total there were 64 recommendations from the assurance and internal audit reports open in this quarter, of which 25 have been closed. This leaves 39 recommendations outstanding.

**Supt Ben Smith**  
**Head of Analysis & Service Improvement**

## Recommendations - Rolling Quarter

Update : 15/12/2017

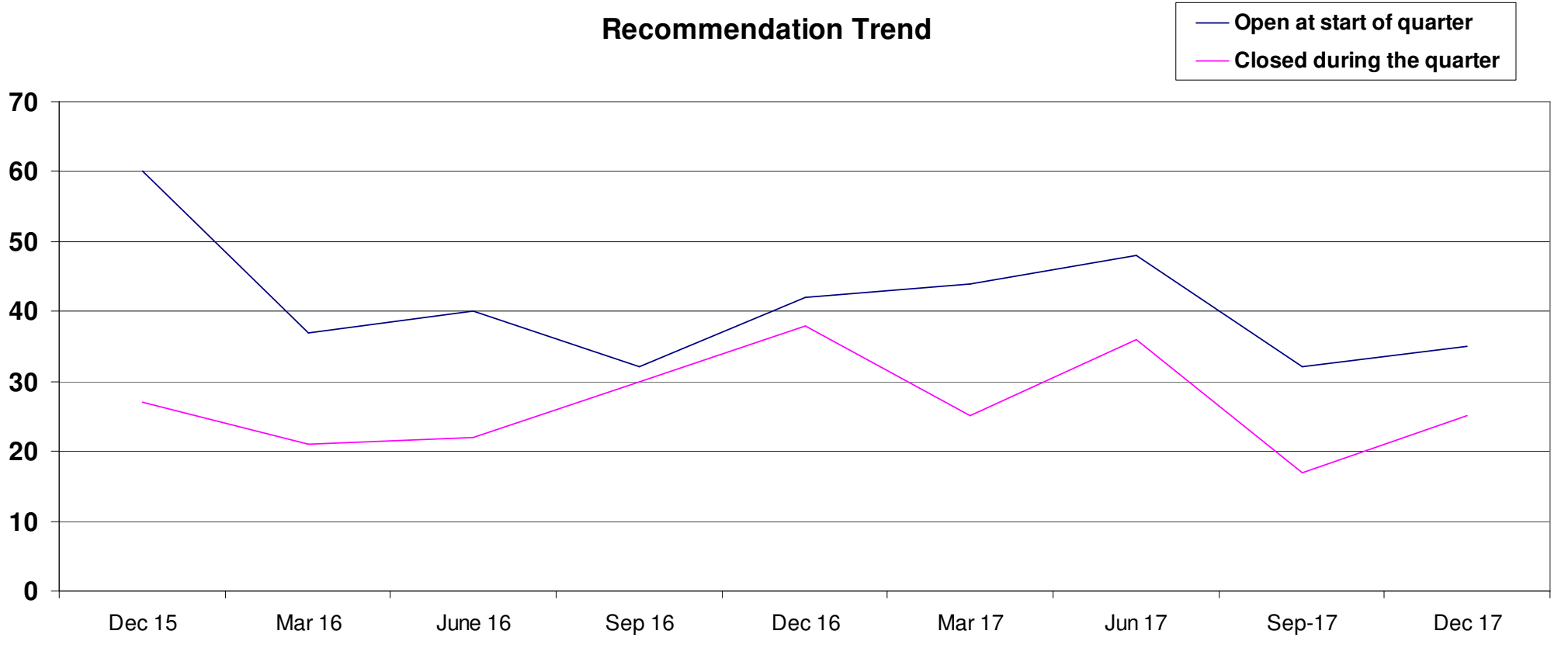
	Quarter 1 2017			Quarter 2 2017			Quarter 3 2017			Quarter 4 2017		
	Audit Recs.	Assurance Recs.	Total Recs.	Audit Recs.	Assurance Recs.	Total Recs.	Audit Recs.	Assurance Recs.	Total Recs.	Audit Recs.	Assurance Recs.	Total Recs.
Recommendations outstanding at start of quarter	20	24	44	21	27	48	13	19	32	8	27	35
New Recommendations received in quarter	8	19	27	17	3	20	11	10	21	23	6	29
Completed Recommendations in quarter	7	16	25	25	11	36	16	2	18	13	12	25
Recommendations outstanding at end of quarter	21	27	48	13	19	32	8	27	35	18	21	39
<b>% Recommendations completed</b>	<b>25.0</b>	<b>37.2</b>	<b>35.2</b>	<b>65.8</b>	<b>36.7</b>	<b>52.9</b>	<b>66.7</b>	<b>6.9</b>	<b>34.0</b>	<b>41.9</b>	<b>36.4</b>	<b>39.1</b>

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

## Open Recommendation Summary Q4 2017

	Recommendation Owner / Business Owner	Audit Title	Auditors	Recs	High	Med	Low	Latest Update	Update Narrative
1	Chief Superintendant WMP North Local Policing	SNT Web Sites	Assurance	10	3	6	1	29/11/17	VPM is waiting to recruit Digital Corp Comms Officers before this can be progressed further. Ch Sup LPA will work with them in the new year to get this up and running along with issues such as Facebook Neighbourhood Watch.
2	Strategic Lead Stop & Search	Stop and Search	Assurance	4	4	0	0	30/11/17	Due to Athena work taking priority, the ICT updates to systems need to be rescheduled into the early new year with a revised target date.
3	Head of Vulnerability & Safeguarding	Child Sexual Exploitation	Assurance	1	1	0	0	11/12/17	A review of training requirements for HAU staff and DDM was undertaken and the findings highlighted a training need. Training will be conducted by the CSE Team.
4	Strategic Lead Missing Persons	COMPACT Missing Persons	Assurance	6	6	0	0	27/11/17	Communications to staff of the steps necessary to ensure that all relevant information is recorded on force systems and that it is recorded in the correct location. Explore ICT solutions for shared information across force systems.
5	Director of Finance	Capital	Council	1	0	1	0	11/12/17	The MRP report has been drafted and is with the PCC Treasurer for review. The report will be presented to JAC in January if considered complete.
6	Head of Business Support	Place Partnership	Council	2	0	2	0	12/12/17	KPI's will be developed with the implementation of the new CAFM system. Head of Business Support and Contract Relationship Manager will undertake a root and branch review.
7	Head of ICT	Service Delivery Standards	Council	5	0	4	1	27/11/17	An ICT Strategic review is being undertaken by 3rd party consultants and this action will form part of the review.
8	Head of Vulnerability & Safeguarding	MASH	Council	10	0	5	5	07/12/17	Defining financial resource commitments, agreed documented governance arrangements, a review of the structure of MASHs. Training and development programme, triage meetings, introduction of a performance management framework.
				39	14	18	7		

## Recommendation Trend



## Recommendations Closed Q4 2017

<u>Audit Title</u>	<u>Auditors</u>	<u>Qty</u>	<u>Date Closed</u>
Children in Custody	Assurance	3	08/11/2017
Child Sexual Exploitation	Assurance	8	31/10/2017
Stop & Search	Assurance	1	30/09/2017
PCC Grants - Warkwickshire	Internal	1	01/11/2017
PCC Grants - West Mercia	Internal	3	30/10/2017
Crime Property and Cash Handling	Internal	1	20/11/2017
Contract Management	Internal	1	11/12/2017
IT Infrastructure Security	Internal	2	11/12/2017
Place Partnership Limited	Internal	2	11/12/2017
Safer Roads Partnership	Internal	2	11/12/2017
Treasury Management	Internal	1	15/12/2017
Total		25	

All recommendations complete
Other recommendations outstanding

## Narrative for Recommendations Closed Q4 2017

Audit	Auditors	Recommendations	Management Response	Completed
Children & Young People in Custody	Assurance	3 recommendations. 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.	Focus areas were shared by the Head of Custody with Custody Inspectors with the direction to cascade the findings to staff and implement ways of addressing and improving performance in these areas. Custody Sgts have additional responsibilities to their core role, one being C&YP. C&YP is a standing agenda item at the monthly Custody Management Team meetings.	08/11/2017
Child Sexual Exploitation	Assurance	8 recommendations. CAWN guidance and process to be made available on the intranet and shared in force orders. CSE and Missing co-ordinators and HAU staff to be briefed in relation to these changes. All staff to be briefed on Athena go live to ensure roles and responsibilities are clearly defined.	CAWN guidance refreshed and circulated. Learning and development to be updated to ensure that current CSE/ Missing training reflects the new process. Roles and Responsibility was included in the Athena 'Go Live' communication strategy to all staff.	11/12/2017
Stop & Search	Assurance	1 recommendation. IT adjustment to interface 'Updated Grounds' information to Stop and Search record. This would then be viewable to everyone with access to the Stop and Search database.	ICT were already working on a search screen which incorporated viewable 'updated grounds'. This is now complete	30/09/2017
PCC Grants Warks	Internal	1 recommendation. The decision of the Chief Executive to award a grant to Warwickshire County Council should be clearly documented	The recommendation has been complied with. The new Deputy PCC will sign off all grants made to the County Council as per his delegations. This recommendation is now completed.	01/11/2017
PCC Grants West Mercia	Internal	3 recommendations. 1) Staff must complete a declaration of interests form. These should be reviewed and updated on an annual basis. 2) Processes should be in place to ensure all expected monitoring/progress reports are received. 3) Clearly measurable outcomes should be agreed for each project.	The visitation cycle is standardised and objectively conducted by the use of OPCC templates. The visitation policy drafted by the Commissioning Officer sets out a variety of questions and outcomes to be assessed. This was implemented and all visits were completed at the end of October 2017. All grant recipients this year were allocated to a commissioning lead and documented on the grant spreadsheet which is a working document updated throughout each year.	30/10/2017



Contract Management	Internal	1 recommendation. Where possible performance indicators as well as the performance reporting arrangements should be established prior to the start of the contract. Performance requirements should be measurable to ensure that contracts can be managed and monitored effectively. Minimum acceptable performance levels should also be established to enable monitoring.	New contracts will be subject to proper performance management and with each new contract this will be clear through ownership of the contact within local management structures. This will be implemented with immediate effect. This will be in addition to the training and revised terms and conditions.	11/12/2017
Crime Property and Cash Handling	Internal	All items entered onto PMS should have a location recorded against them. If this item is part of a larger investigation and is to be stored with the rest of the exhibits this should be transferred to H.O.L.M.E.S.2 as per the procedure document.	Our approach did not recognise the notes within PMS indicate the location of items. Follow up/reminder emails are sent to officers ensuring the correct level of scrutiny is applied. However "Property Not Received (PNR)" may indicate an item has not been moved into the correct property store. Property Stores therefore place a heavier focus on PNR and this continues to be monitored on a monthly basis by the management team.	30/09/2017
IT Infrastructure Security	Internal	2 recommendations that management should identify all SA accounts in use and disable them, replacing them with individually named accounts where possible. Also to review database configuration settings and investigate the feasibility of restricting authentication to Windows only.	Database Team Leader has assessed the risk and recommendations: Database team policy is to always, where possible use individual SQL accounts and not the SA account but also to again where technically feasible use Windows only authentication mode.	11/12/2017
Place Partnership Limited	Internal	2 Recommendations 1) The Terms of Reference for the Operations and Assurance Group should be submitted to the next Group meeting for review and approval, which should be documented in the relevant minutes.  2) After the delivery of projects there will be a review of the benefits detailed in Business Cases against the actual benefits realised. Each Project will be subject to Post Implementation Review.  To further aid the achievement and review of the expected benefits, the new process once fully developed, should be formally documented and made available to all relevant staff. This will ensure all key staff are aware of the requirements for monitoring progress during the project and for undertaking a post implementation review to assess the outcomes and lessons to be learnt and shared where applicable.	1) The new TOR were approved by Ops & Assurance. Following changes at PPL, they have been updated again and were approved on 28/11/17.  2) Strategic Asset Manager has been appointed. He has take responsibility for benefits realisation. This will be in conjunction with the project delivery process.  Contract Relationship Manager will continue to track the spreadsheet created from the Full Business Case (FBC), feeding in to PPL Lead for the Transformation Plan.	11/12/2017

Safer Roads Partnership	Internal	2 recommendations. 1) Documented strategic plan for the use of reserves moving forward. This should be monitored and subject to periodic review. 2) Consider the current practice of paying half of all motorway enforcement income into the operational Support budget. Consideration should be given to ceasing the current arrangement and paying all of this income into the Safer Roads budget, given that associated expenditure is met from this budget.	1) On projected programmes there are no planned works that will involve the receipt of any such income in short to medium term. The DoF has been advised and should any future receipts be received we will ensure the recommendation is implemented. 2) For the Strategic Spend Plan this has been noted and work will be undertaken to include a formal plan alongside the 2018/19 budget. In the interim the planned spend plan from capital reserves in 2017/18 will continue and both proposals will be monitored through the strategic Safer Roads Partnership board at the bi-annual meetings with the PCC.	11/12/2017
Treasury Management	Internal	The approval limits for Treasury Management (TM) transaction should be reviewed and included in the Scheme of Delegation.	TM delegations have been reviewed following the departure of the Head of Financial Management & Business Change. The interim arrangements that are now in place provide sufficient cover for Treasury authorisations. We are of the view that the scheme of delegation relates to ordering and invoice authorisation and that due to the nature of treasury transactions that TM approvals and authorisations sit outside of this.	15/12/2017