

**PUBLIC**

**AGENDA ITEM 8**

**Police and Crime  
Commissioner  
North Yorkshire**



**JOINT INDEPENDENT AUDIT COMMITTEE**

**16 MARCH 2015**

**REPORT OF THE CHIEF EXECUTIVE OFFICER**

**UPDATE ON INTERNAL AUDIT RECOMMENDATIONS CONDUCTED FOR  
THE OFFICE OF THE POLICE AND CRIME COMMISSIONER AND THE  
CHIEF CONSTABLE OF NORTH YORKSHIRE POLICE**

**1. PURPOSE OF THE REPORT**

- 1.1 To present to the Joint Independent Audit Committee the updated Internal Audit recommendations conducted by the appointed Internal Auditors to the Office of the Police and Crime Commissioner (Commissioner) and the Chief Constable (CC) of North Yorkshire Police (NYP).

**2. KEY INFORMATION**

- 2.1 The OPCC/CC Internal Auditors produce an annual plan of audits for NYP's Police and Crime Commissioner and CC. The annual plan for 2014/15 was reported by the OPCC/CC to the Joint Independent Audit Committee at the beginning of this financial year.
- 2.2 The 2015/16 annual plan will be presented to the Joint Independent Audit Committee. It will be a six month plan, due to the contractual arrangements currently in place with the OPCC/CC Internal Auditors.
- 2.3 The Risk and Assurance Unit within the Organisation and Development Department input audit recommendations onto Active Risk Management system, which collates the Risk Register, and monitor compliance and progress with action owners.
- 2.4 Initial acceptance of audit recommendations and the management responses are critically assessed, and the effect of work with audit action owners has led to deadlines being more realistic and achievable.
- 2.5 Any failure to progress an audit recommendation is reported to the relevant Command Team portfolio lead. The Risk and Assurance Unit's Service Review Manager conducts an assessment of the outstanding audit recommendations, obtains details on progress and rationale for deadline extension. This process has been enhanced with a quarterly dip sample of closed audit recommendations.

- 2.6 This report aims to assist members of the Joint Independent Audit Committee in carrying out their assurance role for the Commissioner, the CC and the public, by providing reassurance on the internal overview of recommendations.

### 3. AUDIT RECOMMENDATION STATUS

- 3.1 Since the last reporting of audits at the Joint Independent Audit Committee on 16 December 2014, of the original audits three audits remain ongoing. There have been four new audits in this reporting period, two of which have been closed. The audit status is shown in the attached Appendix A.

- 3.2 For this reporting period three recommendations have exceeded their target completion date (i.e. become an exception), as detailed below:

#### 3.3 Niche Exhibit Audit

**Recommendation 7:** Going forward NYP should consider permitting officers to create property entries directly on Niche.

- 3.4 The Niche Exhibit Audit was requested by NYP for Internal Audit to evaluate whether the pilot, to use Niche to record and manage exhibits, had delivered the required benefits before a decision was made to rollout this project forcewide. One recommendation for this audit remains open, and requires an extension to the 30 June 2015.

- 3.5 NYP have identified that they are reliant on Niche (which is provided by an external provider) to action this recommendation and the Force is still awaiting system development by the external provider. There is no risk to the organisation with this recommendation being extended.

#### 3.6 Hi-Tech Crime Unit Audit

There are currently six recommendations open for the Hi-Tech Crime Unit (HTCU) audit, with two recommendations requiring an extension to the 31 March 2015:

**Recommendation 3:** The HTCU should consider providing estimates of when the work on the submission will be completed by.

**Recommendation 8:** Consideration should be given by NYP as to what level of analysis HTCU should undertake on each submission. This should include consideration of targeted investigations and analysis of all the images retained on a submitted device.

- 3.7 The HTCU have reviewed and rewritten the internal process and procedures to ensure recommendations three and eight are encapsulated within proposed internal changes to the process. These proposals have been submitted to the Command Team for approval. Once approved these two recommendations will be complete. There is no risk to the organisation with these recommendations being extended.

### 4. RECOMMENDATIONS

- 4.1 This report is provided to members of the Joint Independent Audit Committee to set out the information on the latest position with regard to audit recommendations. The report is intended to provide a clear summary in order to give reassurance, on both the level of understanding and proposed activity, across a range of internal audit issues. The Joint Corporate Risk Group are provided with the information and actively oversee and manage audit recommendations in the wider corporate risk context.

NOT PROTECTIVELY MARKED

CEO Carter

Appendix A IA Recommendation Status March 2015

NOT PROTECTIVELY MARKED