



THE POLICE, FIRE AND CRIME COMMISSIONER FOR NORTH YORKSHIRE AND THE CHIEF CONSTABLE OF NORTH YORKSHIRE

[Follow Up of Previous Internal Audit Management Actions – Visit 2](#)

Internal audit report 10.23/24

FINAL

8 August 2024

This report is solely for the use of the persons to whom it is addressed. To the fullest extent permitted by law, RSM UK Risk Assurance Services LLP will accept no responsibility or liability in respect of this report to any other party.

1. EXECUTIVE SUMMARY

Background

As part of the approved internal audit plan for 2023 / 2024, we have undertaken a review to follow up on the progress made to implement the previously agreed management actions from the following internal audit reports:

- Fleet Management (6.22/23) – **minimal assurance**.
- Key Financial Controls – Accounts Payable (9.22/23) – **partial assurance**.
- Collaborations (10.22/23) – **partial assurance**.
- Custody Detention (11.22/23) – **partial assurance**.
- Freedom of Information Requests (1.23/24) – **partial assurance**.
- Seized Exhibits – Firearms and Bladed Articles (2.23/24) – **minimal assurance**.

A total of 40 management actions that have been marked as closed were proposed for review by management, consisting of 32 medium and eight high priority management actions. As agreed with management, we reviewed all eight high priority actions and a sample of 14 medium priority actions to give a total of 22 actions reviewed.

Conclusion

The initial fieldwork for this review was completed, with an initial draft report issued in May 2024, which resulted in a split opinion being provided due to a lack of response in one area. This opinion was reflected within the initial draft of the Head of Internal Audit's annual report for 2023/24. We have since received responses from management on the outstanding actions included within the initial report and carried out further testing. The revised draft report has therefore been updated to reflect the additional work and information received. To maintain our independence, we have considered whether information has been updated since our testing (and therefore subsequently implemented), or whether information provided is new evidence and had not already been considered as part of this review.

As a result of the full fieldwork completion, we have been provided with satisfactory evidence in respect of five high and 11 medium priority management actions and have considered these to be fully implemented. One further medium priority management action was considered to have been superseded. Details of the implemented and superseded actions can be found under Appendix A of this report.

We consider the remaining five actions to all be partly but not yet fully implemented, which comprised of three high and two medium priority actions. Of the high priority actions, we have confirmed that management has made progress to address the agreed actions and we have reduced the priorities of each action to reflect progress made resulting in two medium and one low priority actions outstanding. Of the medium priority actions, we have since received information to confirm that one action has been partly implemented but was ongoing at the time of the initial review and reduced the priority to low. The remaining medium action remains as medium priority.

Taking account of the issues identified in the remainder of the report and in line with our definitions set out in Appendix A, we have determined that the Police, Fire and Crime Commissioner for North Yorkshire and the Chief Constable of North Yorkshire has demonstrated **reasonable progress** in implementing agreed management actions.

Progress on Actions - Overview

The following table shows an overview of the 22 management actions:

Implementation status by category of action	Number of actions agreed	Status of management actions				
		Implemented	Implementation ongoing	Not implemented	Superseded	Implemented + superseded
Medium	14	11	2	0	1	12
High	8	5	3 *	0	0	5
Total:	22 (100%)	16 (73%)	5 (23%)	0 (0%)	1 (4%)	17 (77%)

* Three high actions have been identified as ongoing and have been reprioritised as medium or low to represent the work undertaken by the organisations.

Progress on actions

The following table includes details of the status of each management action:

Implementation status by review	Number of actions agreed	Status of management actions				
		Impl. (1)	Impl. Ongoing (2)	Not impl. (3)	Superseded (4)	Completed or no longer necessary (1) + (4)
Fleet Management (6.22/23)	6	4	2	0	0	4
Key Financial Controls – Accounts Payable (9.22/23)	2	1	1	0	0	1
Collaborations (10.22/23)	3	2	1	0	0	2
Custody Detention (11.22/23)	3	2	1	0	0	2
Freedom of Information Requests (1.23/24)	6	5	0	0	1	6
Seized Exhibits – Firearms and Bladed Articles (2.23/24)	2	2	0	0	0	2
Total	22 (100%)	16 (73%)	5 (23%)	0 (0%)	1 (4%)	17 (77%)

2. FINDINGS AND MANAGEMENT ACTIONS

Status	Detail
1	The entire action has been fully implemented.
2	The action has been partly though not yet fully implemented.
3	The action has not been implemented.
4	The action has been superseded and is no longer applicable.
5	The action is not yet due.

Assignment: Fleet Management (6.22/23)

Original management action / priority	<p>The Fleet and Logistics Team will ensure that all supporting documentation for vehicle disposals are retained centrally on file.</p> <p>The Tranman system will be updated to fully record the details of the disposed vehicles, including date of disposal and sale price.</p> <p>Priority: Medium</p> <p>Agreed implementation date: 31 March 2023</p>
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Audit finding / status	<p>During the initial fieldwork, we were unable to meet with the Fleet and Logistics Manager and have since met with them following the issuing of the initial draft report. We discussed the process for disposed vehicles. Vehicles proposed for disposal are either sold or scrapped via an approved framework. All documents are retained on SharePoint to maintain full audit of any disposed vehicles, and the details relating to the disposal are logged in Tranman against the relevant vehicle. We undertook a walkthrough of the systems with the Fleet and Logistics Manager, showing how documentation is saved against each vehicle and informed updated on the Tranman system. In addition, to process a sales invoice, a form 52 is completed and authorised by the Fleet and Logistics Manager for vehicles intended for disposal. We requested that the documents from the SharePoint folder for each vehicle be provided, with a screenshot from the Tranman system showing the disposed vehicle and evidence of the completed form 52. Whilst we noted through our walkthrough that the process had improved since the previous audit, we were not provided with the complete supporting documentation requested, as follows:</p> <ul style="list-style-type: none"> from the five disposed vehicles, files were provided in all five cases. Documents within those files included evidence that the Force was no longer the registered owner of the vehicle from the DVLA, evidence of radio re-installation, parts requests and service sheets for the vehicles; however, the documentation was inconsistent and for one vehicle, only one document (a radio de-installation form) was available in the folder; we received Tranman screenshots to evidence that the vehicle was recorded as disposed, with the reason and sale price, in only three cases. There was no information provided for the remaining two vehicles; in two cases, we obtained the supporting sales invoice evidencing the agreed sales price of the vehicle, and confirmed this reconciled to the screenshot provided from Tranman for both vehicles; however, in the remaining three cases, no sales invoices were retained within the folders for each vehicle provided;
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Assignment: Fleet Management (6.22/23)

- we were provided with an extract of the form 52s processed in SharePoint, which evidenced the process for raising and authorising the forms. 15 completed form 52s were evidenced on the screenshot, all of which were authorised by the Fleet and Logistics Manager; however, from review of the detail on the forms, only one of these related to the samples requested as part of our testing.

Whilst we note that the process for retaining information relating to disposals has been further strengthened since the previous audit, our review of the information retained within each vehicle folder and from consideration of the supporting information provided, we have concluded that the action remains ongoing as the complete audit trail was not available on file. We have therefore categorised the action as ongoing.

2: The action has been partly though not yet fully implemented.

Management Action 1		Responsible Owner:	Date:	Priority:
	The Fleet and Logistics Team will ensure that all supporting documentation for vehicle disposals are retained centrally on file.	Fleet and Logistics Manager	31 March 2025	Medium
	The Tranman system will be updated to fully record the details of the disposed vehicles, including date of disposal and sale price.	Head of ICT		

Assignment: Fleet Management (6.22/23)

Original management action / priority The Force will consider whether the use of the Tranman system for vehicle orders is appropriate to enable adequate monitoring of repairs and maintenance costs to ensure value for money is achieved. The Force will consider alternative solutions and as a minimum, adequate controls will be put in place to ensure any expenditure incurred within the Tranman system is subject to adequate checks, and that Tranman costs are appropriately accounted for in the ledger in a timely manner.

In addition, the Tranman system will be reviewed to confirm whether approvers of job costs can be viewed for audit purposes.

A sample of repair jobs should be tested to confirm that jobs are authorised in line with delegated authorities.

The Fleet and Logistics Team will ensure that email evidence of file transfers submitted to the P2P Team is retained on file to confirm adequate authorisations have been sought.

Priority: High

Agreed implementation date: 31 October 2023

Audit finding / status The Tranman system is still in use for vehicle orders relating to repairs and maintenance; however, discussions with the Fleet and Logistics Manager and Head of ICT established that the system is limited in its financial controls. The Tranman system was reviewed following the original audit, and the limitations of the current system have been reflected in the Force Management Statement produced for fleet, with a request for a new system included. However, without the introduction of a new system, the Fleet and Logistics Team is still working within the current system parameters.

The Fleet and Logistics Manager explained that they have taken vehicles off the road where they are deemed to be uneconomical to repair; however, maintaining the Force's fleet capacity is the priority when making decisions to repair fleet vehicles. The current process for raising vehicle repairs and maintenance orders is that the Workshop Manager considers the request for repair, and whether works are required for the vehicle (considering total cost and benefit of repairing) and confirms with the Fleet and Logistics Manager via Microsoft Teams whether the order can be placed. To note, the Tranman system does not enable orders to be approved until the invoice has been received, which does not occur until the works have been carried out, meaning orders are placed on the system for the cost agreed, but approved formally once orders have been completed. Whilst the Fleet and Logistics Manager has introduced a prior check via Microsoft Teams (which we reviewed an example of), this is carried out through the chat function, and therefore does not enable an effective audit trail to be maintained. We have therefore been limited in our testing of authorisation for repairs and maintenance orders and consider the action to be ongoing. In addition, we did note that the Force has introduced a Power BI dashboard to support additional monitoring of repairs and maintenance orders against fleet vehicles.

During discussions with the Fleet and Logistics Manager and the Head of ICT that a formal recording mechanism for repairs and maintenance orders should be implemented (for example, checking spreadsheet) to evidence that authorisation was granted prior to the orders being placed. Without authorisation recorded, there is a risk that repairs and maintenance orders are placed for vehicles that the Force does not intend to repair, and value for money may not be considered.

2: The action has been partly though not yet fully implemented.

Assignment: Fleet Management (6.22/23)

Management Action 2	<p>The Fleet and Logistics Manager will introduce an overarching record of repairs and maintenance orders, evidencing authorisation for decisions made to repair fleet vehicles and place orders in the Tranman system. Orders should only be placed once appropriate authorisations received in line with the scheme of delegation. Invoices received should then be cross-referenced against these records and authorised formally on the Tranman system.</p> <p>The Fleet and Logistics Team will ensure that email evidence of file transfers submitted to the P2P Team is retained on file to confirm adequate authorisations have been sought.</p>	Responsible Owner: Fleet and Logistics Manager Head of ICT	Date: 31 March 2025	Priority: Medium
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Assignment: Key Financial Controls – Accounts Payable (9.22/23)

Original management action / priority	<p>A supplier amendment form will be created. This will be to ensure all details regarding amendments to supplier details are correctly recorded.</p> <p>Staff will be informed of the requirement to fully complete the new supplier forms and amendment forms where appropriate.</p> <p>This process will also be reviewed to consider potential changes which could include secondary review and approval by a separate member of the Finance Team to ensure details have been accurately input into the system.</p> <p>Priority: High</p> <p>Agreed implementation date: 31 July 2023</p>
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Audit finding / status	<p>From discussion with the Accounts Payable Manager, we confirmed that a supplier amendment form had been created and we obtained a copy of the form as evidence. The Accounts Payable Manager informed us the use of the new supplier forms and amendment forms were discussed in weekly team meetings, and we confirmed this was included as an agenda item on 10 October 2023. The forms are available via SharePoint.</p> <p>The Accounts Payable Manager maintains a supplier change spreadsheet, from which we selected a sample of both new suppliers and amendments to existing suppliers.</p> <p>New Supplier Setup - For our sample of five new suppliers, we confirmed that in three instances a new supplier form was fully completed and in the remaining two a Form 41 was fully completed. A Form 41 is completed where the payment is a one-off. In all five cases, evidence of secondary checks and approvals was retained on file.</p> <p>Supplier Amendments - The Accounts Payable Manager retains the email trail showing the secondary checks of documents to evidence the change as well as a copy of the form completed (Form 41 or supplier amendment).</p> <p>From the supplier change spreadsheet, we selected a sample of 10 supplier amendments, and requested the email trail as evidence and found:</p> <ul style="list-style-type: none">• in all 10 sample items there was evidence of secondary checks carried out for the amendment by more than one member of staff;• in six cases, there was a completed supplier amendment form or Form 41 on file;• for one sample, a new supplier form had been completed, although the Accounts Payable Manager agreed they would have expected a supplier amendment form is used instead. The change was a supplier name change, so the use of a different form is only a minor discrepancy;• in two sample items no form was completed. In both cases, the changes were reviewed via email, but no forms were completed; and• in the final case, the sample was not actually a supplier amendment, but a request for faster payment. In this case, a request for faster payment form was completed and retained on file.
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Assignment: Key Financial Controls – Accounts Payable (9.22/23)

We are satisfied that the Force has implemented a revised process to support supplier amendments through the supplier amendment form, and our testing confirmed that audit trail was retained to confirm the change was approved. However, in two instances, no form was completed to support the change. We have therefore reduced the management action to low priority and revised the management action.

2: The action has been partly though not yet fully implemented.

Management Action 3	The Finance Team will ensure a correct form is completed and retained on file to support requests for supplier amendments.	Responsible Owner: Accounts Payable Manager	Date: 1 May 2024	Priority: Low
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Assignment: Collaborations (10.22/23)

Original management action / priority The Force will ensure decisions and actions made at governance and performance monitoring meetings are documented and retained. The Force will maintain a corporate log of the governance arrangements in place for each collaborative arrangement which documents information such as attendees from NYP, the Force's lead for the collaboration and the frequency of governance meetings. The Force will ensure the relevant member of the Force attends the governance meetings where the performance of the collaboration is monitored. Where the individual is unable to attend these meetings, the Force will either:

- ensure a delegated representative attends on their behalf; or
- request and retain a copy of the meeting minutes, papers, actions, and decisions logs documenting decisions made and reported.

Priority: Medium

Agreed implementation date: 31 December 2023

Audit finding / status From discussion with the Benefits and Collaboration Assurance Officer it was noted that the Corporate Log is incorporated into the NYP collaborations agreement register, which includes the collaboration log. From review of the collaboration log, we could see the following five collaborations are listed ROCU, YaTH RSSS, Evolve, EnableNY and YaTH USMU. The log records the Senior Lead, Tactical Lead, lead Force and name, meeting schedule and whether clear performance metrics were available. We noted from review of the log that:

- one of the five agreements did not have a senior lead or tactical lead outlined from NYP;
- for two of the agreements there was a lead force documented, but not a lead name;
- the meeting schedule for four of the agreements had not yet been confirmed on the log and was marked as 'to be confirmed'; and
- for two of the agreements, clear performance metrics were marked as 'to be confirmed', and for another agreement, this was marked as 'no'.

The Benefits and Collaboration Assurance Officer noted that an updated copy of the corporate log was due to be circulated pending the confirmation of Assistant Chief Constables in the next six to eight weeks.

2: The action has been partly though not yet fully implemented.

Update since the initial draft report:

We have since been provided with an update on the above findings to confirm that the outstanding elements of the corporate log have been completed, such as, inclusion of the assigned leads and meeting schedule. It also outlines how the meeting papers and minutes are made available to support continuity where the assigned lead may not be able to attend. We were also informed that the Force is satisfied that performance measurements are in place for agreements where required. However, as the initial information supplied for the audit did not include this detail, we have marked the action as ongoing for our opinion, although note that this element of the action has since been implemented. We did, however, not receive evidence to confirm the Force leads have attended governance meetings, nor obtain any evidence of retained meeting minutes or papers, therefore have marked this element of the action as ongoing, but reduced the ongoing action to low priority to reflect progress made.

Assignment: Collaborations (10.22/23)

Management Action 4	<p>The Force will ensure the relevant member of the Force attends the governance meetings where the performance of the collaboration is monitored. Where the individual is unable to attend these meetings, the Force will either:</p> <ul style="list-style-type: none">• ensure a delegated representative attends on their behalf; or• request and retain a copy of the meeting minutes, papers, actions, and decisions logs documenting decisions made and reported.	Responsible Owner: Head of Business Design and Assurance Governance and Assurance Lead	Date: 31 October 2024	Priority: Low
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Assignment: Custody Detention (11.22/23)

Original management action / priority Officers will be reminded of the requirement to ensure events added to the custody records are accurate and reflect the correct action undertaken with the detainee. A particular focus will be undertaken on ensuring intimate searches and intimate samples are correctly recorded.

A review is currently underway to look at the last 18 months' worth of intimate samples to identify the extent of this issue and to also determine whether this is localised to certain individuals. If this exercise does identify repeat offenders, training will be provided to those on an individual basis.

Priority: High

Agreed implementation date: 31 December 2023

Audit finding / status From discussion with the Criminal Justice Policy Development Manager, we identified that following the findings of the review, changes were made to the detention log in order for intimate searches / intimate samples to be more clearly identified when submitting custody records. The Criminal Justice Policy Development Manager confirmed that the differentiation between the two was implemented via training sessions for new officers. We obtained a copy of the PowerPoint used in this training and, additionally, we were able to obtain attendance records for officers in May, September and October 2023. Although there was no specific reference within the training presentation to intimate searches and samples, the content slide on the presentation did include a point around the results of the RSM audit and HMICFRS inspection report.

The Criminal Justice Policy Development Manager noted that an exercise to review the last 18 months of intimate samples had not taken place due to resource limitations and noted that a review of the last 18 months was not planned to take place owing to resource limitation. They noted that with changes to the data which is recorded in relation to the detention and the inclusion of this in training material they felt this was sufficient. As part of the custody record review process, the Criminal Justice Policy Development Manager noted that daily sampling of the records takes place, however this is not a set process, and as a review of past records has not taken place the Force is unable to confirm whether specific individuals require further training.

The prior audit had identified that Niche records were not always updated with the correct distinction between an intimate search or sample, and in some cases, the intimate search was actually the detainee being provided with food or drink. Given that the details on intimate searches are required to be reported to the Home Office annually, the Force should risk assess the decision to not implement a review of compliance with intimate search and sample procedures, as this could impact on reported results to the Home Office. As the overall numbers of searches and samples are particularly low, we have revised the management action to medium priority.

We requested a list of intimate searches and samples for the last three months in order to select a sample and determine whether the custody records had been accurately recorded and determine whether the training delivered has improved compliance with recording requirements; however, we were not provided a list from which to select our sample.

2: The action has been partly though not yet fully implemented.

Assignment: Custody Detention (11.22/23)

Management Action 5	<p>The Force will assess the risk associated with not completing a review of Niche records pertaining to intimate searches and samples, which will be considered at an appropriate authority level.</p> <p>The Force should consider how to monitor compliance with custody record requirements pertaining to intimate searches and samples, with a focus on ensuring Home Office statistics can be accurately reported.</p>	Responsible Owner: Head of Custody and Firearms Licensing Criminal Justice Policy Development Manager	Date: 31 July 2024	Priority: Medium
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APPENDIX A: DEFINITIONS FOR PROGRESS MADE

The following opinions are given on the progress made in implementing actions. This opinion relates solely to the implementation of those actions followed up and does not reflect an opinion on the entire control environment.

Progress in implementing actions	Overall number of actions fully implemented	Consideration of high priority actions	Consideration of medium priority actions	Consideration of low priority actions
Good	75% +	None outstanding	None outstanding	All low actions outstanding are in the process of being implemented.
Reasonable	51 – 75%	None outstanding	75% of medium actions made are in the process of being implemented.	75% of low actions made are in the process of being implemented.
Little	30 – 50%	All high actions outstanding are in the process of being implemented.	50% of medium actions made are in the process of being implemented.	50% of low actions made are in the process of being implemented.
Poor	< 30%	Unsatisfactory progress has been made to implement high priority actions.	Unsatisfactory progress has been made to implement medium actions.	Unsatisfactory progress has been made to implement low actions.

APPENDIX B: ACTIONS COMPLETED OR SUPERSEDED

From the testing conducted during this review we have found the following actions to have been fully implemented and superseded.

Assignment title	Management actions
Fleet Management (6.22/23)	<p>Implemented</p> <p>The Force will review its full ordering process in respect of fleet from the procurement request form completion to invoice payment to ensure that processes are streamlined and there is sufficient oversight of ordering.</p> <p>The fleet capital budget holder will ensure that only vehicles within the approved fleet management plan or vehicles within an approved business case are ordered.</p> <p>Any changes to vehicle orders or changes to vehicle specifications will require additional approval. Should any orders be delayed, this will be reported in a timely manner to the Chief Finance Officers.</p> <p>Priority: High</p>
Fleet Management (6.22/23)	<p>Implemented</p> <p>Orders will not be placed outside of the approved fleet capital budget without an approved business case in place, which has been presented to the Chief Finance Officers (Chief Constable and OPFCC) for approval.</p> <p>Clear instructions will be issued to this effect and detail provided on the source of the required approval route.</p> <p>Should any changes to the approved plan occur, including requirements for additional vehicles, changes to vehicle numbers, type or specification, the Fleet and Logistics Team will ensure that budget is requested from the Chief Finance Officers in advance of the orders being placed.</p> <p>Priority: High</p>
Fleet Management (6.22/23)	<p>Implemented</p> <p>The Fleet and Logistics Manager will include vehicle order windows and lead time estimates within the five-year fleet plan to ensure that all approved orders can be placed and there is clear indication when orders will be receipted to support in budget planning.</p> <p>This will include an indication of conversion requirements and timings and will be completed for 2023 / 2024 orders as a minimum. The Fleet and Logistics Team will maintain a scheduled cashflow document to clearly outline when vehicle and conversion charge payments are expected.</p> <p>The cashflow document will be included as a standing agenda item for monthly fleet budget holder meetings.</p> <p>Priority: Medium</p>

Assignment title	Management actions
Fleet Management (6.22/23)	<p>Implemented</p> <p>The Force will develop a process to standardise the assessment of need for fleet vehicles and ensure that there is adequate scrutiny and challenge around fleet requirements. This will be embedded within an approved policy or process document.</p> <p>The Fleet and Logistics Team will meet with individual departments to understand their vehicle requirements and the Fleet and Logistics Team will make a fleet recommendation in line with policy and dependent on the availability of vehicles on the frameworks.</p> <p>Should individuals not agree with the Fleet and Logistics Team recommendation, the respective business case will outline the desired fleet vehicles and the Fleet and Logistics Teams recommendations to ensure full transparency and scrutiny of fleet requests.</p> <p>The business cases will be submitted for approval by the COT, Chief Finance Officers and above, where applicable.</p> <p>Priority: Medium</p>
Collaborations (10.22/23)	<p>Implemented</p> <p>Once the corporate log of the governance arrangements in place for each collaborative arrangement has been established, this will be shared with relevant members of the Force to ensure members are aware of their role in monitoring performance of collaborations through attendance at governance meetings.</p> <p>Priority: Medium</p>
Collaborations (10.22/23)	<p>Implemented</p> <p>The Force will ensure all collaborative agreements are reviewed to ensure the following:</p> <ul style="list-style-type: none"> • the agreement is up to date; • the agreement is signed by all parties; and • the agreement clearly documents the services to be provided. <p>Priority: High</p>
Custody Detention (11.22/23)	<p>Implemented</p> <p>Cases with strip search records will be reviewed on a regular basis to ensure compliance with the new records management module and required information (results of a strip search and sign-off by the officer) will be clearly documented.</p> <p>Priority: Medium</p>

Assignment title	Management actions
Custody Detention (11.22/23)	<p>Implemented</p> <p>Staff will be reminded of the difference between a Section 18.1 and a Section 18.5 and the requirement to ensure this is correctly documented.</p> <p>This will be incorporated into training sessions with custody staff.</p> <p>Priority: Medium</p>
Key Financial Controls – Accounts Payable (9.22/23)	<p>Implemented</p> <p>The Finance Team will ensure a regular review of leavers and those no longer requiring access from the Force is undertaken to ensure they are removed from the accounts payable system in a timely manner.</p> <p>Priority: Medium</p>
Freedom of Information Requests (1.23/24)	<p>Implemented</p> <p>The OPFCC will ensure the date an FOI is received and the 20 working day deadline (from the receipt of the request) is clearly documented on Caseworker.</p> <p>Priority: Medium</p>
Freedom of Information Requests (1.23/24)	<p>Implemented</p> <p>The OPFCC will ensure the review due date for an FOI request is assigned on Caseworker in line with the FOI process note to ensure FOI requests are monitored and reviewed on a regular basis and in a timely manner.</p> <p>Priority: Medium</p>
Freedom of Information Requests (1.23/24)	<p>Implemented</p> <p>The OPFCC will ensure FOI requests are shared with the relevant business area within the OPFCC or the Civil Disclosure Unit at Evolve where the FOI relates to NYFRS data in a timely manner.</p> <p>Priority: Medium</p>
Freedom of Information Requests (1.23/24)	<p>Implemented</p> <p>FOI requests will be actively monitored to identify and prioritise any which are at risk of missing the 20-day deadline and which are not otherwise eligible for an extension.</p> <p>Whilst every effort will be made to comply with the FOI timescales, in the event that a case is likely to exceed this, an apology will be issued to the requestor with an indication of when the response will be issued.</p> <p>Priority: Medium</p>

Assignment title	Management actions
Freedom of Information Requests (1.23/24)	<p>Implemented</p> <p>The OPFCC will ensure a process is established to report compliance statistics through the relevant governance arrangements, and implement action plans to address underperformance, where required.</p> <p>Priority: Medium</p>
Freedom of Information Requests (1.23/24)	<p>Superseded</p> <p>The OPFCC will ensure the designated FOI officers (the Business Manager and Data Protection Officer and the Business Governance Assistant) undertake FOI decision makers training as advised by the College of Policing.</p> <p>Priority: Medium</p> <p><i>From discussion with the Business Manager and Data Protection Officer, we confirmed that the designated FOI officers have been unable to attend the FOI Decision Maker Training course due to availability of the course. We have obtained correspondence between the OPFCC and the National Police Chiefs' Council in which the designated FOI officers were placed on the waiting list for the course in August 2023. The Business Manager and Data Protection Officer followed up with further requests over March 2024, where it was confirmed the dates for the courses post April 2024 had not yet been organised.</i></p> <p><i>Whilst the designated FOI officers have been unable to attend decision maker training, we have confirmed that on 18 December 2023 both officers attended a Freedom of Information Act 2000 A-Z Guide course provided by Act Now. As the OPFCC are limited by the availability of the Decision Maker course, for which dates are not currently available and have made efforts to provide alternate training, we have marked the action as superseded.</i></p>
Seized Exhibits – Firearms and Bladed Articles (2.23/24)	<p>Implemented</p> <p>The exhibit recorded as a machete will be escalated following the 'exhibit issue reporting and recording procedure' and an investigation should be undertaken to determine where the bladed article has gone.</p> <p>Additionally given the severity of the missing exhibit, a full reconciliation will be completed of the York armoury to ensure all property is accounted for.</p> <p>Priority: High</p>
Seized Exhibits – Firearms and Bladed Articles (2.23/24)	<p>Implemented</p> <p>The Exhibits and Firearms Licensing teams will collaborate to create a procedure for firearms which are requested to be returned to owners to allow Officers and the Exhibits Team to be able to easily identify property which cannot be returned to owners from the Niche system.</p> <p>Priority: High</p>

Debrief held	9 May 2024	Internal audit contacts	Dan Harris, Head of Internal Audit
Draft report issued	15 May 2024		Phil Church, Associate Director
Revised draft report issued	19 July 2024		Hollie Adams, Assistant Manager
Responses received	5 July 2024		
Final report issued	8 August 2024		
		Client sponsor	Chief Finance Officer (Chief Constable) Governance and Assurance Lead
		Distribution	Chief Finance Officer (Chief Constable) Governance and Assurance Lead

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The matters raised in this report are only those which came to our attention during the course of our review and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. Actions for improvements should be assessed by you for their full impact. This report, or our work, should not be taken as a substitute for management's responsibilities for the application of sound commercial practices. We emphasise that the responsibility for a sound system of internal controls rests with management and our work should not be relied upon to identify all strengths and weaknesses that may exist. Neither should our work be relied upon to identify all circumstances of fraud and irregularity should there be any.

Our report is prepared solely for the confidential use of **The Police, Fire and Crime Commissioner for North Yorkshire and the Chief Constable of North Yorkshire** and solely for the purposes set out herein. This report should not therefore be regarded as suitable to be used or relied on by any other party wishing to acquire any rights from RSM UK Risk Assurance Services LLP for any purpose or in any context. Any third party which obtains access to this report or a copy and chooses to rely on it (or any part of it) will do so at its own risk. To the fullest extent permitted by law, RSM UK Risk Assurance Services LLP will accept no responsibility or liability in respect of this report to any other party and shall not be liable for any loss, damage or expense of whatsoever nature which is caused by any person's reliance on representations in this report.

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We have no responsibility to update this report for events and circumstances occurring after the date of this report.

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