

Response ID	Rec. No	Audit	Recommendation	Category of Rec.	Department	Action Owner	Management Response	Progress to Date	Target Completion Date	Revised Completion Date	Closed
13307	4	Financial Systems Testing of CC & PCC	NYP should ensure that a system of exception reporting from the payroll system is put in place once the current Payroll system has been replaced. This would identify changes to relevant data that have been made in a pay period and these changes can then be checked by a second person against the original authorising document.	Significant 6:3	Finance	Helen Raisbeck	Exception reporting was fully reviewed within Trent6 but the product had limitations on exception reporting. At an early stage during the current upgrade to iTrent, audit exception reporting will be reviewed as part of business process improvements during migration to iTrent in line with go live.	<p>Update February 2014 for Exception Report Internal Audit and Midland HR (NYP Payroll Suppliers) are to meet at HQ on 17 March 2014 to work together to review system exception reports to fulfil this audit recommendation. This should be embedded by 30 April 2014.</p> <p>Update 07 May 2014 The 17 March date was cancelled due to supplier resource not being available and was rescheduled and undertaken on 6 May 2014. The next phase is to evaluate the value of the payroll IT system audit capability in relation to current processes and level of risk to the organisation. Due to resourcing gaps and changes in the payroll team the date for the delivery of this work moves out to completion by end of December 2014.</p> <p>Reason for extension to deadline: The delay in commencing this recommendation was due to the supplier cancelling the initial proposed meeting date of 17 March 2014. There have also been resourcing gaps within the Payroll Team due to staff retiring, therefore the completion date has been moved to 31 December 2014.</p> <p>Risk: There is currently no risk to the organisation with this recommendation not being completed by 31 December 2014 as there are manual workarounds.</p>	30/01/14	31/12/14	
13416	8	Niche Exhibit	NYP should review the levels of approval required to dispose of specific categories of property. Consideration should be given to allowing general property items to be disposed of with the approval of the OIC.	Merits Attention 5:8	Response and Reassurance	Emma Connolly	<p>This is something that Business Admin Services (BAS) would also support and has previously been raised at the NYP Exhibit Steering group. At the time it was raised the decision was that authority was still required by an Inspector/Sgt. This recommendation will be raised again to establish if this can be implemented once all officers have received the exhibit training currently being delivered.</p> <p>The Exhibit steering group agreed in principle to a trial taking place at Northallerton (as long as supported by the commands Superintendent and the C/Supt for R&R) for the disposal of general property items to be authorised by the OIC. BAS will look into reports that can be provided to satisfy any concerns that officers are conducting appropriate reviews and adhering to CPIA.</p>	<p>Update February 2014 Due to the fact that Exhibits recording onto Niche is still a pilot and the decision notice does not go to the Executive Board until the end of February, these actions are on hold pending the decision to rollout Exhibits recording onto Niche forcewide. The audit recommendations will be referred to in the decision notice.</p> <p>Update 14 May 2014 - District Account Manager When the approval hierarchy was initially raised, the decision was due to be reviewed when all officers had received training on property handling. The training package has been reviewed and some gaps identified so Training Services are producing a supplementary NCALT training package to provide further information to officers on where the current gaps are. The decision notice has now been approved to rollout the recording of Exhibits onto Niche. Therefore the District Account Manager proposes that this will need to remain open until 31 December 2014 to ensure the successful rollout of Exhibits recording on Niche and that the training of officers is completed.</p> <p>Reason for extension to deadline: The training package has been reviewed and some gaps identified. Training Services are producing a supplementary NCALT training package to mitigate any current gaps. The District Account Manager proposes that this will need to remain open until 31 December 2014 to allow Training Services time to develop the NCALT training package and officers to undergo training.</p> <p>Risk: There is no risk to the organisation with the completion date of this recommendation being extended. The gaps have been identified in the training package and processes put in place to develop an NCALT package. Current approval hierarchy remains at Sgt/Insp level, which ensures there is no risk to exhibits being incorrectly disposed of. To ensure full compliance with the recommendation, the District Account Manager proposes that this will need to remain open until 31 December 2014 after which reports can be provided to satisfy any concerns that officers are conducting appropriate reviews and adhering to CPIA.</p>	30/04/14	31/12/14	
13277	4	Follow Up of 2013/14 Exercise One	<p>The Force should complete a formal review of the retention, market supplement and Essential Car User payments paid, involving the relevant Heads of Department, to ascertain whether these payments still need to be made. HR's role would be to provide objective evidence from the relevant market sector, including rates of pay, current labour market, comparative terms of employment, previous record of recruitment and whether or not there is any evidence to suggest that the cause of any problems relates to differences in pay between NYP and other employers.</p> <p>Consideration should then be given to the removal of these payments from those currently receiving it in the absence of any substantive evidence.</p> <p>In the future where contracts are created with these payments added, they should include a clause to stipulate that an annual review is to take place regards the continued payment of the allowance.</p>	Significant 4:12	Human Resources	Leanne Consett	<p>Interim work to gather information on which individuals are currently in receipt of an allowance and the amounts paid has now been completed. Research has also been undertaken with forces on what the market sector rates are in order to use as a comparison.</p> <p>Management will therefore complete a full review of the retention, market supplement and Essential Car User payments paid, involving the relevant Heads of Department, to ascertain whether these payments still need to be made.</p> <p>Once the outcome of the review is known consideration will be given to the removal of these payments and future processes.</p>	<p>Update November 2013 A Corporate HR Consultant has been tasked by the Corporate HR Manager and this is being progressed. A paper is currently being prepared for Command Team to consider. Still on target</p> <p>Update February 2014 A report on this area is scheduled to be presented to the Executive Board on 04 February 2014 for discussion and a decision. Completion date still expected 31 March 2014</p> <p>Update May 2014 The Executive Board has approved the start of the review. A timetable has been drafted which includes consultation with managers, staff and Unison. The review should be finalised by 30 September 2014. Propose a new deadline date 30 September 2014.</p> <p>Reason for extension to deadline: The Executive Board has approved the start of the review. A timetable has been drafted which includes consultation with managers, staff and Unison, consultation time has been built into the review. The review should be finalised by 30 September 2014.</p> <p>Risk: This extension to the deadline does not pose any risks for the organisation as the issue only affects a small number of staff.</p>	31/03/14	30/09/14	

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13710	2	Cash Handling Audit	<p>NYP should reconcile income received in relation to Firearms Licensing and Overseas Visitors Registrations against the actual number of certificates issued.</p> <p>This could be achieved by NYP determining a number of additional nominal codes, to enable analysis of the types of certificates produced by Firearms Licensing, i.e. breakdown by fee paid. In addition, Firearms Licensing would also need to explore the possibility of extracting management information from NFLMS, to provide detail as to the number/ type of certificates generated on the system. Similarly data on the number of Overseas Visitors Registration certificates issued would also need to be obtained from Special Branch.</p> <p>It is recommended that reconciliations occur on an annual basis, for example at the end of the financial year, starting at the beginning of 2014/ 15 for the previous financial year.</p>	Significant 6:3	Crime Ops Organisation & Development	Dave Coutts Simon Nott	<p>A total of 13 additional codes would be required for FLD, which can be supplied by Finance. This would create a significant increase in work load for the FLD. In addition, the NFLMS is very limited in the management information it can provide. The Head of Firearms Licensing will discuss the potential to obtain greater management information from NFLMS at a Regional Managers Meeting on 2 April 2014. However, the FLD maintain a detailed spreadsheet that is updated on a daily basis with details of all the licenses issued by the department.</p> <p>The Finance Department will carry out a comparative exercise between the total income recovered and accounted for and the record of the number of licences issued that is retained by the Firearms Licensing Department. Data will be obtained from FLD for 2013/14 and the reconciliation procedure developed. Full reconciliation will be attempted for 2013/14 data. If it is not possible to obtain data from NFLMS, the spreadsheet maintained by FLD will be utilised for the purposes of comparison.</p> <p>In addition, Finance will explore the possibility of obtaining information from Special Branch, that identifies the number of certificates issued that incurred a fee. If this information is available, a comparative exercise will be undertaken, to reconcile income received against the total number of certificates issued.</p> <p>These exercises will be carried out annually as part of the year end procedures. The appropriateness for reconciliation of firearms licenses issued will be</p>	<p>Recommendation 2 a) Update 17 April 2014 Head of Firearms Licensing Department Head of Firearms Licensing Department (FLD) raised this issue at the Regional Managers meeting 02 April 2014. The Head of FLD at Cleveland will take this forward as an item to investigate and will report back at the end of May. The team leaders from NYP FLD will visit Cleveland for fact findings in relation to this issue and will report back by the end of May 2014. It was reported at the meeting that Humberstone FLD are now tracking their work load through a spreadsheet function as NFLMS cannot facilitate the relevant management information. After consultation with Internal Audit, this recommendation will be extended to the 30 June 2014.</p> <p>Reason for extension to deadline: Head of Firearms Licensing Department (FLD) raised this issue at the Regional Managers meeting 02 April 2014. Further work is to be undertaken by The Head of FLD of Cleveland and this will not be available until 30 June 2014.</p> <p>Risk: The extension of the closure of this recommendation will not cause risk to the organisation as detailed manual records are kept in NYP FLD.</p>	30/04/14 31/05/15	30/06/2014	
13872	1	Property Handling Drugs	NYP should account for all of the drugs exhibits transferred from Whitby and Malton in 2012, to evidence the location of the items within stores or disposal.	Significant 5:10	Crime Ops	Jason Marchant	<p>All Exhibit/movement books from Whitby/Malton for 2012 have been requested by T/D Marchant for verification.</p>	<p>May Update Investigations are still ongoing to identify Exhibit/movement books from Whitby/Malton for 2012. Previous Drug Liaison Officers (DLO) have been contacted as part of the investigation. The DLO is currently in the process of confirming with Iron Mountain that the books are in secure storage. Due to the extent of the investigations required the completion date for this recommendation is now moved to 30 September 2014.</p> <p>Reason for extension to deadline: Investigations are still ongoing to identify Exhibit/movement books from Whitby/Malton for 2012. Due to the extent of the investigations required an end of May completion date was optimistic therefore it is recommended that the completion date for this recommendation is now moved to 30 September 2014.</p> <p>Risk: Current process and checks confirm the accuracy and robustness of the present system of drug exhibits transfers and most cases prior to 2012 have now been concluded. The Crime Management Unit are closely monitoring the issues to ensure that there are no risks to the organisation and the recommendation closed by 30 September 2014. The DCC has set up a Gold Meeting (Op Holst) to deal with high risk exhibit issues such as cash drugs etc.</p>	31/05/14	30/09/14	