



Joint Independent Audit Committee

20 March 2018

Internal Audit Recommendations Tracker

Audit Title	Internal Audit Opinion	Date Reported to JIAC	No of Recs	No of Recs Completed	Live Recs	Overdue/ Exceptions	Remarks
Follow Up Visit 1	Opinion not given for Follow Ups	December 2017	High 0 Med 1 Low 0	Med 1	0		Audit closed
Exhibits: Seizure, Storage and Disposal of Controlled Drugs OFFICIAL SENSITIVE	Partial assurance	December 2017	High 2 Med 0 Low 2	High 1 Low 2	High 1	Rec 3 was due 31.01.18 carried forward to 30.04.18	Recommendation carried forward. As report was a confidential item, the rationale is contained in a discrete confidential paper.
Human Resources Recruitment	Partial assurance	December 2017	High 1 Med 5 Low 0	High Med 1 Low	High 1 Med 4 Low 0		No exceptions. Due to opinion and timescale for recommendation implementation a progress summary for Human Resources is included in the endnotes ⁱ

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Code of Practice – Victims Of Crime	Reasonable assurance	December 2017	High 0 Med 3 Low 3	0	Med 3 Low 3		The Head of Criminal Justice (CJ) has meet with Assistant Chief Constable Oliver and the PCC and agreed a plan. The PCC is commissioning a survey of victims to identify why victims do not want to completed victim statements. In additional the Head of CJ has liaised with NYP Training Services; together they are looking at updating the current training programmes, developing new targeted courses and a communication strategy to include the necessary elements of the Code.
Community Safety Partnership Funding	Reasonable assurance	September 2017	High 1 Med 2 Low 0	High 1 Med 2 Low 0	0		Audit closed
Chief Officer Salaries, Allowances & Expenses	Substantial assurance	June 2017	High 0 Med 0 Low 1	0	Low 1		No exceptions.
Digital Forensic Unit Quality Manual and ISO17025	Reasonable assurance	June 2017	High 0 Med 3 Low 2	Med 3 Low 2	0		Audit closed

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Collaborations	Partial Assurance (Odyssey) Reasonable assurance (Regional Scientific Support)	March 2017	High 1 Med 2 Low 1	High 1 Med 2 Low 1	0		Audit closed
Annual Petty Cash	Substantial assurance	March 2017	High 0 Med 1 Low 3	Med 1 Low 3	0		Audit closed
Key Financial Systems: Creditors, Debtors, Cash & Bank and Investments Issues	Substantial assurance	March 2017	High 0 Med 4 Low 1	Med 4 Low 1	0		Audit closed
Commissioning Audit 2016/17	Reasonable assurance	March 2017	High 0 Med 4 Low 5	Med 4 Low 5	0		Audit closed
Complaints Audit 16/17	Reasonable assurance	March 2017	High 0 Med 4 Low 0	Med 4	0		Audit closed
Data Quality including Governance	Partial assurance	December 2016	High 1 Med 2 Low 1	High 1 Med 2 Low 1	0		Audit closed
MOPI MMI Project	Substantial assurance	December 2016	High 0 Med 1 Low 1	Med 1 Low 1	0		Audit closed

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Seized Cash Spot Check	Reasonable assurance	December 2016	High 0 Med 3 Low 0	Med 1	Med 2		Staff training regarding banking processes is progressing and a communication will be issued in March for all staff and officers. It is expected that these two recommendations will be closed by the end on March 2018 in advance of the due date of 30 June 2018.
Overtime, Bonus & Honoraria	Reasonable assurance	December 2016	High 0 Med 2 Low 1	Med 2 Low 1	0		Audit closed
Governance - Structure, Reporting, Challenge and Decision Making	Reasonable assurance	September 2016	High 0 Med 7 Low 2	Med 7 Low 2	0		Audit closed
HR Training	Reasonable assurance	September 2016	High 0 Med 3 Low 0	Med 2	Med 1	Was due 27.02.18 carried forward to 30.04.18	Recommendation carried forward. Rationale captured in the endnotes ⁱⁱ
Internal Audit Follow up 2. 16/17	Opinion not issued for follow ups	September 2016	High 0 Med 6 Low 0	Med 5	Med 1		No exceptions.
MTFP	Substantial assurance	June 2016	0	0	0		No recommendations from audit

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Payroll & Expenses	Substantial assurance	June 2016	High 0 Med 1 Low 4	Low 4	Med 1		No exceptions.
Origin Phase 4	Substantial assurance	June 2016					No recommendations from audit
Follow-up	Good progress	June 2016					No recommendations from audit
Risk Maturity	Advisory Review		5	5	0		Audit closed
Appropriate Use of Places of Safety	Limited Assurance ⁱⁱⁱ	December 2015	High 3 Med 5 Low 3	High 3 Med 5 Low 3	0		Audit closed
Exhibits Handling	Limited Assurance	Final Report issued December 2015. Internal Audit WYPCC gave overview to JIAC Chair	High 0 Med 10 Low 5	Med 10 Low 5	0		Audit closed
Mobile Phone Examination	Limited Assurance	December 2015	High 0 Med 5 Low 11	High 0 Med 5 Low 11	0		Audit closed
IT Network Security and Disaster Recovery	Reasonable assurance		High 1 Med 1 Low 2	High 1 Med 1 Low 2	0		Audit closed

ⁱ Human Resources Recruitment
Presented to JIAC December 2017

Although these recommendations are not exceptions Human Resources wanted to give JIAC additional assurance as the auditors were rated this as Partial assurance, with one high and five medium rated recommendations.

The Human Resources, Talent Partner has developed a detailed action plan which will address all of the recommendations in the audit report and it is expected that all will be completed by their stated implementation date.

Recommendation 4 is already completed ahead of the scheduled date of the 30 March 2018.

However, it has to be noted that due to the current financial scrutiny across the organisation, measures have been put in place by the Chief Officer Team & Chief Executive to review all vacancy submissions and determine priorities. These are exceptional circumstances and sit outside the actual process, which may mean timeframes are extended beyond the agreed SLA and will likely impact some of the recommendations in the Audit.

Also just for reassurance here is an outline of our progress with activities overall;

- Recruiters have been engaging with their business areas, since the new structure was implemented. Establishing closer relationships to understand roles and upcoming opportunities. To add to this, the Vacancy Management Form (VMF) has been updated to remove the Hiring Manager (HM'S) notes on shortlisting, interviewing criteria and supporting information, as this was often inaccurate and timescales change through the process. This now means Recruiters will contact Hiring Manager's when their VMFs have been approved to develop a recruitment plan, to include advertising strategy, timelines and expectations. This provided HM's with their own Single Point of Contact (SPOC).
- The wider HR team is now aligned to their own business areas, with Recruiters already working with relevant HR Advisors. The VMF has also been updated so the Hiring Manager can provide supporting rationale for the vacancy or extension. Service Level Agreements (SLA's) have been drafted; pending agreement from HR and Finance, to ensure the VMF process takes no longer than 10 working days from submission to approval. This will start to be recorded once monthly Strategic Resourcing Group meetings have been completed, as they currently affect our SLA.
- We have a survey tool which is used to send questionnaires to new hires. We are looking into ways the old leaver's survey can be set up within the tool, so leavers can complete this. It would be more user friendly, less time consuming and provide the option to download data. This currently sits in excel documents and requires manual data entry.
- All medical clearances come into the HR Talent and Resourcing inbox; it is now the responsibility of the HR Administrator for that role to save to the relevant personal file. Dip samples of this system will be set with responsibility sitting with the Recruiter, who line manage the Administrators.
- Electronic vetting was implemented in January 2018, which requires quarterly a review. Early signs show that the process is much easier for the external candidate and involves less administration time for all parties involved. However, no formal SLA has been discussed/agreed yet.

ⁱⁱ HR Training
Presented to JIAC September 2016

Recommendation 1 carried forward

Risk Exposure:

The lack of a complete role profile directory could result in the Force not meeting College of Policing or NPoCC requirements.

Agreed management action:

NYP's Job Description Library will be the single repository to articulate the exact training and accreditation requirements for each generic and portfolio role.

Carry forward rationale:

Job Description Library, a single repository for exacting training and accreditation requirements for each generic and portfolio role will be completed by 30 April 2018, not the 27 February 2018 as previously anticipated. Therefore we request an extension of this recommendation.

Due to cost, Origin will not be upgraded to support the Job Description Library. Therefore it will be a standalone function as a spreadsheet, maintained by HR Training Services.

This will be the third and final medium recommendation from the HR Training Audit issued in September 2016.

ⁱⁱⁱ Those recorded as 'Limited Assurance' are from the previous Auditor West Yorkshire PCC