



**THE POLICE AND CRIME COMMISSIONER FOR NORTH YORKSHIRE  
AND THE CHIEF CONSTABLE FOR NORTH YORKSHIRE**

**Police and Crime Plan**

**FINAL Internal audit report: 5.18/19**

**18 September 2018**

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<b>Debrief held</b>	10 August 2018	<b>Internal audit team</b>	Daniel Harris, Head of Internal Audit
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# 1 EXECUTIVE SUMMARY

## 1.1 Background

An audit of delivery of the Police and Crime Plan was undertaken as part of the approved internal audit periodic plan for 2018 / 2019.

The Police Reform and Social Responsibility Act 2011 states that ‘the police and crime commissioner for a police area must issue a police and crime plan within the financial year in which each ordinary election is held’. This along with Section 17 of The Policing Protocol Order 2011 gives the Police and Crime Commissioner (PCC) the legal power and duty to set the strategic direction and objectives of the force through the Police and Crime Plan. This plan outlines the PCC’s priorities and activities in North Yorkshire and how these will be measured and delivered.

The 2017 updated and refreshed Police and Crime Plan, covering the period 2017 / 2021, contains the following vision: ‘that by 2021, North Yorkshire Police will be synonymous with exemplary service, in the round.’ To achieve this vision, the Police and Crime Plan set out four clear priorities, along with a set of objectives that set out the vision of an exemplary service, and outcomes which show the change expected to be seen. These four priorities are:

- Caring about the Vulnerable;
- Ambitious Collaboration;
- Reinforcing Local Policing; and
- Enhancing the Customer Experience.

The PCC has a statutory duty and electoral mandate to scrutinise, support and challenge the overall performance of the force including against the priorities agreed within the plan as per section 17 of the Policing Protocol Order 2011.

To aid this process, included in the Police and Crime Plan is a governance and accountability section which sets out how the force will be held to account through documented performance measures and frameworks.

Previously in 2017/18 an internal delivery plan for achieving the strategic objectives was in place. Rather than producing a delivery plan for 2018/19, the Force is using 2018 / 2019 as a transition year for the force as they look to move to delivering the priorities via a series of key strategies, supported by service plans. This approach has been taken as part of the ongoing work with PwC to deliver Transform 2020.

## 1.2 Conclusion

At the time of our audit the strategies to deliver the Police and Crime Plan were still under development and there was no clear approach to evidence achievements of the Police and Crime Plan in 2018/19. The governance functions that monitor the delivery of the Police and Crime Plan were well established and operating effectively including the Executive Board and the Public Accountability Meeting. We have identified actions for improvement which have impacted our opinion.

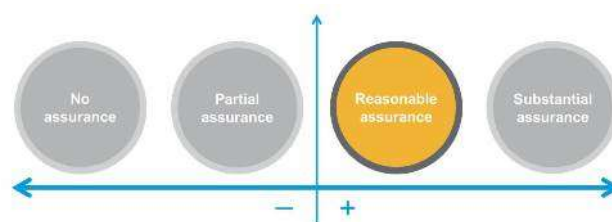
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### Internal audit opinion:

Taking account of the issues identified, the Police and Crime Commissioner for North Yorkshire and the Chief Constable of North Yorkshire can take **reasonable assurance** that the controls in place to manage this area are suitably designed and consistently applied.

However, we have identified issues that need to be addressed in order to ensure that the control framework is effective in managing the identified area.

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## 1.3 Key findings

The key findings from this review are as follows:

- We obtained the Police and Crime Plan for the period 2017 / 2021 and confirmed that it contains a section detailing the governance and accountability arrangements for delivery of the plan. The Police and Crime Plan states ‘the Commissioner ensures the performance and quality of service from the police and supporting services is scrutinised and where necessary, improvements are made. This is conducted through regular live-streamed meetings.’ This refers specifically to the Public Accountability Meeting. We observed the Public Accountability

Meeting held on 24<sup>th</sup> July 2018 and confirmed that scrutiny relating to the Police and Crime Plan is provided by both deep-dive reviews and also the performance information reported to the meeting.

- We reviewed the last three Executive Board Meetings and we were able to confirm that information relating to the delivery plan had been presented to the March and May meetings. Information was not presented to the July meeting due to the change from use of delivery plan to strategies.
- We observed the Public Accountability Meeting (PAM) that took place on 24<sup>th</sup> July 2018 and we confirmed that there was a 'deep dive' undertaken in relation to counter-terrorism. Discussions with the PCC Policy and Scrutiny Manager confirmed that a brief is prepared for the PCC, where appropriate. We obtained an example brief provided to the PCC with regard to Integrated Offender Management (IOM) which was discussed at the January 2018 meeting. This included both terms of notes from a field visit conducted by one of the Policy and Scrutiny Officers and the subsequent brief looking at the presentation offered by North Yorkshire Police.
- The PCC holds surgeries throughout the year across the county where members of the public can visit her to talk to her about their concerns. These, and correspondence received by the PCC, influence the office's understanding of current issues and feeds into consideration of PAM topics. Many of the PAM topics also fall out of all the research from developing the Police and Crime Plan, and the continued surveying that the PCC Office undertakes with the public.
- We reviewed the draft Estates Strategy, as presented to the Executive Board in May 2018, and confirmed that one of the key principles of the strategy is: 'the Estate should be focussed to support the efficient and effective operational delivery of policing services and the associated supporting service and therefore support the Police and Crime Plan.' This Strategy is currently in draft and therefore no service plans have been devised to monitor progress against the delivery of these elements in order to deliver the Police and Crime Plan. The remaining strategies are in early development stage and we were therefore not able to review those relating to Digital Strategy, People and Strategy, and Control (Operational) Strategy.

We have agreed **two medium** priority management actions in relation to the following:

- For 2018 / 2019 onwards, the vision of delivery against the Police and Crime Plan will be through four key strategies and service plans detailing the individual projects and deliverables in order to meet the outcomes of the Police and Crime Plan. Discussions with the Head of Organisation and Development identified that 2018 / 2019 is a transition year for the force and that the transformational work ongoing with PwC will also feed into the strategies. All are expected to be in place with supporting delivery plans by April 2019, however this is not formally documented. Whilst we understand that this is a transition year for the force, without a detailed timeline there is a risk that strategies are not developed in time resulting in a further delay in implementing service delivery plans and therefore delivering against the Police and Crime Plan.
- We reviewed the information presented to the PAM in relation to performance for the meetings held between May and July 2018. We could not find any explicit or direct links between the performance information being reported and the Police and Crime Plan. Whilst the type of information reported such as HR, Proactive Policing, 999, 101, Response Rates, Mental Health, s136, Crime, Domestic Incidents, Local Policing and Rural Crime were all areas covered in outcomes under the Police and Crime Plan, there was no indication of how this related to the Police and Crime Plan's four priorities.

We have agreed **two low priority management actions** and further details can be found in section two of this report.

## 1.4 Additional information to support our conclusion

The following table highlights the number and categories of management actions made. The detailed findings section lists the specific actions agreed with management to implement.

Area	Control design not effective*		Non compliance with controls*		Agreed actions		
	Low	Medium	High	Low	Medium	High	
Police and Crime Plan	0	(5)	4	(5)	2	2	0
<b>Total</b>	<b>2</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>2</b>	<b>0</b>

\* Shows the number of controls not adequately designed or not complied with. The number in brackets represents the total number of controls reviewed in this area.

## 2 DETAILED FINDINGS

### Categorisation of internal audit findings

Priority	Definition
Low	There is scope for enhancing control or improving efficiency and quality.
Medium	Timely management attention is necessary. This is an internal control risk management issue that could lead to: Financial losses which could affect the effective function of a department, loss of controls or process being audited or possible regulatory scrutiny/reputational damage, negative publicity in local or regional media.
High	Immediate management attention is necessary. This is a serious internal control or risk management issue that may lead to: Substantial losses, violation of corporate strategies, policies or values, regulatory scrutiny, reputational damage, negative publicity in national or international media or adverse regulatory impact, such as loss of operating licences or material fines.

This report has been prepared by exception. Therefore, we have included in this section, only those areas of weakness in control or examples of lapses in control identified from our testing and not the outcome of all internal audit testing undertaken.

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management
1	There are two main meetings within the governance structure in which the PCC holds the Chief Constable to account for delivery of the Police and Crime Plan. These are the Public Accountability Meeting and the Executive Board.  Performance information relating to the Police and Crime Plan is presented to	Yes	No	Under Section 5 of the Police Reform and Social Responsibility Act 2011 the Police and Crime Commissioner must, in particular, hold the Chief Constable to account for delivery of eight specific duties including the exercise of the duty under section 8(2) (duty to have regard to police and crime plan).  We obtained the current terms of reference for the Public Accountability Meeting and Executive Board. We confirmed that the Executive Board has a specific standing item on the agenda in relation to the Police and Crime Plan, however we found that the Public Accountability Meeting does not make reference to the Police and Crime Plan.  Given that the Public Accountability Meeting is the main governance mechanism to hold the Chief Constable to account for delivery against the Police and Crime Plan, we would expect that the terms of reference would make reference to this.	Low	Public Accountability Meetings will make explicit reference to the role in scrutinising Police and Crime Plan.  Terms of Reference of the Public Accountability Meeting and Executive Board will be approved.  <b>Responsible Officer:</b>  Head of Organisation and Development

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management																								
	<p>the Public Accountability Meeting.</p> <p>Performance information in relation to the delivery plan is reported to the Executive Board that demonstrates the progress in implementing the outcomes contained within the Police and Crime Plan.</p>			<p>The Terms of Reference for both the Public Accountability Meeting and the Executive Board are currently in draft as part of the ongoing review of the governance framework and have not yet been approved by the respective meeting / board.</p> <table border="1"> <thead> <tr> <th colspan="3">Risk Exposure</th> <th colspan="3">Root causes</th> </tr> </thead> <tbody> <tr> <td colspan="3">Risk that the Chief Constable is not being held to account for delivery of the Police and Crime Plan by the Police and Crime Commissioner.</td> <td colspan="3">Terms of reference for the Executive Board and the Public Accountability Meeting are in draft and do not necessarily explicitly detail the relationship with the Police and Crime Plan.</td> </tr> <tr> <th>Probability</th> <th>Financial</th> <th>Reputational</th> <th>Operational</th> <th>Legal</th> <th>Rating</th> </tr> <tr> <td>Probable</td> <td>Negligible</td> <td>Negligible</td> <td>Minor</td> <td>Negligible</td> <td>5:8</td> </tr> </tbody> </table>	Risk Exposure			Root causes			Risk that the Chief Constable is not being held to account for delivery of the Police and Crime Plan by the Police and Crime Commissioner.			Terms of reference for the Executive Board and the Public Accountability Meeting are in draft and do not necessarily explicitly detail the relationship with the Police and Crime Plan.			Probability	Financial	Reputational	Operational	Legal	Rating	Probable	Negligible	Negligible	Minor	Negligible	5:8		<p><b>Implementation Date:</b></p> <p>November 2018</p>
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2	<p><b><u>Partial missing control</u></b></p> <p>There are four key strategies, currently in development, to deliver the outcomes in the Police and Crime Plan. these are currently in the process of being agreed through the organisation's governance structure.</p> <p>The four key strategies are:</p>	No	-	<p>From discussions with the PCC Policy and Scrutiny Manager and the Head of Organisation and Development it was confirmed that for 2018 / 2019 onwards, the vision of delivery against the Police and Crime Plan will be through four key strategies and service plans detailing the individual projects and deliverables in order to meet the outcomes of the Police and Crime Plan.</p> <p>We reviewed the draft Estates Strategy as presented to the Executive Board in May 2018 and confirmed that one of the key principles of the strategy is: 'The Estate should be focussed to support the efficient and effective operational delivery of policing services and the associated supporting service and therefore support the Police and Crime Plan.' As of August 2018, this strategy is currently in draft and therefore no service plans have been devised to monitor progress against the delivery of these elements in order to deliver the Police and Crime Plan.</p> <p>The People Strategy is currently under development and has not yet been submitted to the Executive Board for review. However, we were able to</p>	Medium	<p>Clear documented timelines for delivery of the key strategies and service plans will be developed.</p> <p><b>Responsible Officer:</b></p> <p>Head of Organisation and Development</p> <p><b>Implementation Date:</b></p> <p>September 2018</p>																								

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management
	<ul style="list-style-type: none"> <li>• People Strategy;</li> <li>• Digital Strategy;</li> <li>• Estates and Logistics Strategy; and</li> <li>• Operational (Control) Strategy.</li> </ul> <p>Delivery of each of these strategies will be through service delivery plans, although these are not yet developed as the strategies must be developed firstly.</p>			<p>review a presentation prepared by the Head of Human Resources and Training Department with regards to the strategy which was recently given to the Heads of Function around the development of the strategy. We confirmed that the presentation contained the Police and Crime Plan vision and made reference to delivering the Police and Crime Plan four priorities. This is designed to be a two-year strategy covering 2019 / 2020 to 2020 / 2021.</p> <p>The Digital Strategy is currently under development and is in draft format. We reviewed the current draft of the strategy and confirmed that it makes direct reference to the Police and Crime Plan's four priorities. This is one of the drivers of the strategy alongside national priorities and actions.</p> <p>The Control Strategy is currently being developed and consists of 22 sheets of A3 paper which have identified the operational elements to be delivered by North Yorkshire Police over the next two years. This Control Strategy utilises the Police and Crime Plan, national priorities and also a risk assessment process undertaken by the force to measure the impact of reducing individual and community harm. We were advised from discussions with the Strategic Intelligence Lead that the control strategy will map against the Police and Crime Plan and performance information is to be developed that allows progress against the strategy to be measured against the four priorities.</p> <p>Discussions with the Head of Organisation and Development confirmed that 2018 / 2019 is a transition year for the force and that the transformational work ongoing with PwC will also feed into the strategies. All are expected to be in place with supporting delivery plans by April 2019, however this is not formally documented.</p> <p>Whilst we understand that this is a transition year for the force, without a detailed timeline there is a risk that strategies are not developed in time resulting in a further delay in implementing service delivery plans and therefore delivering against the Police and Crime Plan.</p>		



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3	<p>For the financial year 2017/2018 a delivery plan was in place that captured the deliverables against the Police and crime Plan.</p> <p>A delivery plan closure report was undertaken which identified key areas where progress had been made and also any outstanding deliverables which have been rolled into 2018 / 2019.</p> <p>There is no delivery plan in place for 2018 / 2019 as the strategies for delivering the Police and Crime Plan are still under development.</p>	Yes	No	<p>We obtained the delivery plan in place for 2017 / 2018 and confirmed that each of the key delivery strands had been mapped against the four Police and Crime Plan priorities.</p> <p>Upon completion of the 2017 / 2018 delivery plan year, a delivery plan closure report was completed that identified the actions that had been completed during the year and also the actions that were to be rolled forward to be picked up in 2018 / 2019.</p> <p>Discussions with the Head of Organisation and Development confirmed that the intention was that the outstanding actions from 2017 / 2018 were to be captured and included within the strategies currently under development. These strategies will be the key delivery vehicle for the Police and Crime Plan from 2019 onwards.</p> <p>However, there is no delivery plan in place for 2018 / 2019 and whilst we understand that this year is a transition year in the approach being taken, there is a risk that should a member of the public request information regarding delivery of the Police and Crime Plan the information provided would be limited.</p> <table border="1"> <thead> <tr> <th colspan="3">Risk Exposure</th> <th colspan="3">Root causes</th> </tr> </thead> <tbody> <tr> <td colspan="3">Risk that the Chief Constable is not being held to account for delivery of the Police and Crime Plan by the</td> <td colspan="3">There is no delivery plan in place for 2018 / 2019.</td> </tr> </tbody> </table>	Risk Exposure			Root causes			Risk that the Chief Constable is not being held to account for delivery of the Police and Crime Plan by the			There is no delivery plan in place for 2018 / 2019.			Low	<p>Delivery of the Police and Crime Plan priorities in 2018 / 2019 will be clearly documented in developing strategies.</p> <p><b>Responsible Officer:</b></p> <p>Head of Organisation and Development</p> <p><b>Implementation Date:</b></p> <p>December 2018</p>												
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4	Information is requested by the PCC Policy and Scrutiny Officers from the Chief Officers Staff. Where information is required to support delivery of the Police and Crime Plan then this is collated by the Policy and Scrutiny Officers and presented to the Public Accountability Meeting.	Yes	No	<p>Discussions with the Policy and Scrutiny Manager confirmed that where information is required to be provided to the office of the PCC for the purposes of the PAM or delivery of the police and crime plan then information is requested from the Chief Officers staff.</p> <p>However, where it is possible to triangulate the information available then this takes place, for example the PAM held in October 2017 relating to Mental Health, information was received from the Force, The Home Office and Mental Health Trusts in order to give the PCC an independent overview.</p> <p>We reviewed the information presented to the PAM in relation to performance for the meetings held between May and July 2018. We could not find any explicit or direct links between the performance information being reported and the Police and Crime Plan. Whilst the type of information reported such as HR, Proactive Policing, 999, 101, Response Rates, Mental Health, s136, Crime, Domestic Incidents, Local Policing and Rural Crime were all areas covered in outcomes under the Police and Crime Plan, there was no indication of how this related to the Police and Crime Plan's four priorities.</p> <table border="1"> <thead> <tr> <th colspan="3">Risk Exposure</th> <th colspan="3">Root causes</th> </tr> </thead> <tbody> <tr> <td colspan="3">Risk that inaccurate or incorrect performance information regarding delivery of the Police and Crime Plan is provided.</td> <td colspan="3">Performance information being reported does not address Police and Crime Plan delivery.</td> </tr> <tr> <th>Probability</th> <th>Financial</th> <th>Reputational</th> <th>Operational</th> <th>Legal</th> <th>Rating</th> </tr> <tr> <td>Probable</td> <td>Negligible</td> <td>Negligible</td> <td>Minor</td> <td>Negligible</td> <td>5:8</td> </tr> </tbody> </table>	Risk Exposure			Root causes			Risk that inaccurate or incorrect performance information regarding delivery of the Police and Crime Plan is provided.			Performance information being reported does not address Police and Crime Plan delivery.			Probability	Financial	Reputational	Operational	Legal	Rating	Probable	Negligible	Negligible	Minor	Negligible	5:8	Medium	<p>Information being provided to the Public Accountability Meeting will make reference to the delivery of the four priorities included in the Police and Crime Plan.</p> <p><b>Responsible Officer:</b></p> <p>PCC Policy and Scrutiny Manager</p> <p><b>Implementation Date:</b></p> <p>December 2018</p>
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# APPENDIX A: SCOPE

The scope below is a copy of the original document issued.

## Scope of the review

The scope was planned to provide assurance on the controls and mitigations in place relating to the following area:

### Objectives of the area under review

The short, medium and long term outcomes detailed in the Police and Crime Plan are scrutinised, monitored and progress challenged by the Commissioner, the Executive Board and through the Public Accountability Meeting.

When planning the audit, the following areas for consideration and limitations were agreed:

#### Areas for consideration:

Review of the Police and Crime Plan and of the Force's action plan to deliver outcomes over the short, medium and long term. In particular we will consider the following:

- There are a number of strategies in place to deliver the outcomes in the Police and Crime Plan and this is monitored through the organisation's governance structure. We will consider the role and the information presented to the PCC through the Executive Board and the Public Accountability Meeting.

We will (24<sup>th</sup> July) observe Public Accountability Meeting where progression against the outcomes is scrutinised.

- We will consider the identification and selection of 'deep dive' reviews undertaken by the Public Accountability Meeting and if a consistent approach is undertaken by the OPCC Policy and Scrutiny Officers.
- Review of Force strategies developed to deliver the Police and Crime Plan outcomes and confirm an appropriate governance structure is in place to scrutinise and monitor delivery. We will consider how strategy delivery slippage is highlighted and escalated where appropriate.

We will also consider activity output and how the impact is measured.

- Review of a sample of outcomes that have been highlighted as not delivering and consider the actions / monitoring arrangements in place. We will consider if the under delivery is considered across the Police and Crime Plan objectives or in isolation.
- Review of the processes and controls in place for the collation and validation of information undertaken by OPCC Policy and Scrutiny officers.

#### Limitations to the scope of the audit assignment:

- We will not validate the performance model or confirm this is reflective of best practice.
- Any testing carried out as part of the audit will be on a sample basis only and the outcomes from testing will inform our audit opinion.

- As part of our review we will not verify the accuracy of the initial recording of data, but will seek assurances that controls are in place to record, check, monitor and report against the outcomes in place.
- Testing in relation to the scrutiny and challenge of performance and the resulting actions will be restricted to the assessment of meeting minutes only, no additional information will be reviewed.
- Our work will not provide assurance on the organisation's ability to achieve the Police and Crime Plan.
- Our work does not provide absolute assurance that material errors, loss or fraud do not exist.

## APPENDIX B: FURTHER INFORMATION

### **Persons interviewed during the audit:**

- Head of Organisation and Development
- PCC Policy and Scrutiny Manager
- Strategic Intelligence Lead

### **Documentation reviewed during the audit:**

- Police and Crime Plan
- Public Accountability Meeting papers and minutes
- Executive Board Meeting papers and minutes
- Performance Reports
- Police and Crime Plan Delivery Plan
- Estates Strategy (Draft), 2018-2023

## FOR FURTHER INFORMATION CONTACT

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