



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

Human Resources: Wellbeing

FINAL

Internal audit report: 6.19/20

12 November 2019





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**Responses received** 12 November 2019

**Final report issued** 12 November 2019

**Internal audit team** Daniel Harris, Head of Internal Audit  
Angela Ward, Senior Manager  
Philip Church, Client Manager  
Hollie Adams, Internal Auditor

**Client sponsor** Managing Director  
Interim Head of Human Resources  
and Training Department

**Distribution** Managing Director  
Interim Head of Human Resources  
and Training Department

# 1 EXECUTIVE SUMMARY

## 1.1 Background

As part of the approved internal audit plan for 2019 / 2020, we have undertaken a review of wellbeing at North Yorkshire Police (NYP). The objective of the review was to ensure that the Force has an appropriate framework in place to create a positive and healthy culture in support of the Force's commitment to improve staff wellbeing within the workplace.

The Blue Light Wellbeing Framework was developed as part of the Oscar Kilo project launched in 2017 and is funded by Public Health England. The Framework provides an independent set of standards tailored to meet specialist needs of emergency services staff. Organisations can use the Framework to audit and benchmark themselves against these standards.

NYP conducted the Blue Light self-assessment checklist and found that 49% of the statements were fully developed, 40% were in development and 11% were under development.

In response to the results of the Blue Light self-assessment checklist, feedback from welfare surveys and staff wellbeing focus groups, the Force launched the Wellbeing Approach. The first phase was launched in May 2018; however, the second phase was delayed due to T2020 changes.

The intention of the Wellbeing Approach was to create a holistic approach to wellbeing at NYP. The actions in the Approach have focused on leadership as a tool for promoting staff wellbeing and early identifying staff welfare issues.

As part of this review, we have conducted a focus group to interview staff and ensure that they are aware of the updated wellbeing offerings and services available.

## 1.2 Conclusion

Through discussions with staff, feedback from the focus group and review of the Wellbeing Approach communications, we have identified that the communication of the Wellbeing Approach could be improved. Focus group attendees were generally unaware of wellbeing services and offerings.

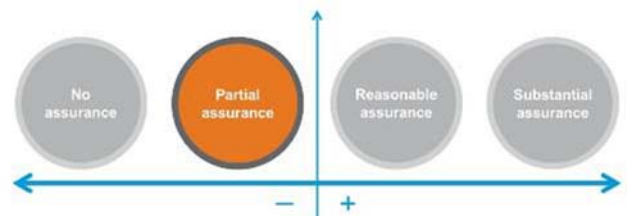
We further identified that the recording of wellbeing data is highly limited due to a lack of a record management system.

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### Internal audit opinion:

Taking account of the issues identified, the Police, Fire and Crime Commissioner for North Yorkshire and the Chief Constable of North Yorkshire can take **partial assurance** that the controls to manage this area are suitably designed and consistently applied. Action is needed to strengthen the control framework to manage the identified area.

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### 1.3 Key findings

The key findings from this review are as follows:

- The Wellbeing Approach was developed as a response to feedback from focus groups, the Blue Light self-assessment checklist and from surveys conducted at NYP. The actions within the Wellbeing Approach have generally addressed the issues identified. The Welfare Department had organised and conducted planned activities for 2018.

As part of our testing, we have identified **five medium** and **four low** priority management actions. Details of the low risk actions can be found under section two of this report.

- Wellbeing initiatives in the Wellbeing Approach could be further advertised and better communicated to staff. Findings from the focus group confirmed staff were generally unaware of wellbeing initiatives and the Wellbeing Approach. **(Medium)**
- We noted that the Wellbeing Project Plan, which details the implementation of actions of the Wellbeing Approach was not updated regularly, and the status of actions is not reported to any board or committee to confirm the progress of the Wellbeing Approach. **(Medium)**
- The Welfare Department do not have a record management system in place to record wellbeing statistics. All data is recorded manually, and the recorded data is not adequately detailed to thoroughly monitor welfare trends or evaluate the effectiveness of welfare services. **(Medium)**
- The Wellbeing Approach has not been reviewed or approved by any board or committee at NYP. **(Medium)**
- Results of the Blue Light self-assessment checklist revealed that the Force do not have sufficient policies, procedures or guidance in place to address wellbeing issues. Actions to address this were not included within the Wellbeing Approach. **(Medium)**

### 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	
Wellbeing	1	(12)	6	(12)	4	5	0
<b>Total</b>	<b>4</b>	<b>5</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.

\*\* Some controls have more than one management action.

## 1.5 Focus group findings

As part of the review, we conducted a focus group to discuss the wellbeing offerings at NYP and ensure that these have been effectively communicated to staff. The responses from the focus group have been incorporated within the findings of this review. Only a small proportion of employees (10) attended the focus group sessions.

The focus group addressed the following:

### Q: Are you aware of the wellbeing offerings at NYP?

From discussions at the focus group, it was apparent that staff were generally unaware of the offerings and initiatives in place at NYP for wellbeing. One focus group attendee noted receiving an email about mindfulness sessions, however, the session was occurring at a different site.

The focus group were generally aware of the Trauma Risk Management (TRiM) services available at NYP. However, the attendees were generally unaware of how to access TRiM assessments.

Due to their role as TRiM Practitioner and Blue Light Champion, one attendee was able to inform the group of the offerings of both initiatives and how to access support if necessary. The remaining attendees at the focus group were generally unaware of the Blue Light Champion role and did not know who the Blue Light Champions within their departments would be.

### Q. Have you heard of the Wellbeing Approach?

The focus group attendees were unaware of the Wellbeing Approach. One attendee had seen the Wellbeing Approach on The Source pages when reviewing The Source prior to the wellbeing focus group session. However, this was the first they had heard of the approach and were unable to explain what the Wellbeing Approach was or was aiming to do.

### Q: Do you think the communication of wellbeing offerings is sufficient and effective?

All attendees at the focus group agreed that The Source is not used adequately enough to communicate wellbeing or welfare initiatives. They mentioned that the 'message of the day' notification on The Source homepage was primarily used to advertise events or make staff aware of important information; however, it was thought this does not go far enough and does not target all staff. For instance, staff who work different shift patterns or are not regularly office based.

One attendee reviewed The Source prior to attending the focus group to gain more information on the wellbeing offerings at NYP; however, they found that the pages were unclear, and the information seemed embedded within the intranet pages.

### Q. How do you think that wellbeing services could be better advertised and communicated to all staff?

One attendee suggested that the wellbeing services should be made highly visible on The Source homepage for easy access in difficult times. They suggested a quick link and identifiable logo to make accessing services easier for all staff. It was a general concern of the focus group that any staff member struggling with wellbeing issues or mental health problems may not be in the right mindset or have the capacity to search through The Source to access welfare support.

Another attendee suggested that welfare services and wellbeing support should be visible on posters within the toilets. It was generally thought that toilet doors are an effective place to communicate helplines or welfare services as this may be the place to go if feeling upset or distressed at work.

One attendee mentioned that notice boards should provide information regarding welfare services and in particular, communicate who the Blue Light Champions are within the department. Blue Light Champions should be more visible with a different colour lanyard or by wearing a specific badge.

It was generally agreed that The Source should be reviewed to ensure that information is more streamlined and easier to navigate within the welfare services. The focus group felt that the Force relied too heavily on The Source as a means of communication.

Welfare and wellbeing communications should form part of departmental meetings. The focus group agreed that it would be effective if line managers promoted wellbeing support services during team briefings and provided frequent reminders of the services available. Support from line managers in promoting this would reduce the stigma surrounding accessing welfare services.

Q. Are staff aware of how to access welfare support if necessary?

It was generally known that staff were able to access welfare support and could request a meeting with a Welfare Advisor via email. However, it was mentioned that there was a long waiting list for acquiring a meeting with a Welfare Advisor and were concerned that staff wouldn't receive support early enough.

The staff were unaware of how to go about accessing a TRiM assessment and did not know that you could refer a colleague for a TRiM assessment.

The attendees were unaware of the Blue Light Champion route to accessing wellbeing support.

Staff noted that outside organisations and unions provided support services and details could be found on the internet.

Q. What do you know about TRiM services?

As mentioned above, the attendees were unaware that they were able to refer another employee for a TRiM assessment. They knew that the TRiM Practitioner services were available, however, were unsure exactly on how to access the support. Staff were aware that TRiM was to provide support following any traumatic experience.

One attendee was a TRiM Practitioner and was able to relay to the group the role of TRiM Practitioners and give information on the assessments undertaken. They explained the TRiM scoring system and the different referral paths following the initial assessment.

There was a concern that there was a general stigma surrounding asking for support from TRiM. It was mentioned that officers in particular are hesitant to ask for wellbeing support. The Force always talk about resilience and they feel that this prevents individuals from admitting they need support.

The attendees all agreed that TRiM referrals should be automatic and mandatory in major instances. One suggested that in the top five severe crimes (which would need to be defined by NYP), these instances would result in a mandatory TRiM assessment referral to remove the stigma in asking for an assessment.

It was further discussed that junior staff may not be forthcoming in asking for a TRiM assessment and there is a risk that less severe crimes could cause trauma for inexperienced staff members.

Q. What do you think of the training provided at NYP with regards to wellbeing?

One attendee spoke of the Blue Light Champion training and TRiM Practitioner training and their experience in these courses had been positive. They thought there was elements of the training that should be relayed to the wider Force.

Another attendee had attended the Intent Based Leadership course and suggested that the course did not sufficiently cover wellbeing. They thought that the Force could further support training of leadership and staff in addressing welfare and wellbeing concerns.

Leadership was noted as an important element of the wellbeing framework at NYP. Some leaders are good at addressing welfare concerns; however, some leaders do not talk enough about wellbeing and welfare concerns. It was agreed that further training and wider awareness of wellbeing across the Force was needed.

## 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	The Wellbeing Approach was developed as a response to feedback received from internal wellbeing self-assessments, questionnaires and focus groups on the internal welfare support provided at North Yorkshire Police (NYP), particularly regarding wellbeing and mental health, and was issued in April 2018.	Yes	No	<p>NYP launched the Wellbeing Approach in April 2018. The Approach was initially published on The Source.</p> <p>The Wellbeing Approach was developed to incorporate actions to address areas for improvement highlighted within the following reviews:</p> <ul style="list-style-type: none"> <li>• the Blue Light Wellbeing Framework self-assessment undertaken by the HR Consultant;</li> <li>• feedback from working groups aimed at improving NYP's wellbeing strategy and included the following representatives: <ul style="list-style-type: none"> <li>○ staff who have experienced mental health issues;</li> <li>○ those who know others whom have suffered or are suffering from mental health issues;</li> <li>○ members of the HR department;</li> </ul> </li> </ul>	Medium	<p>The approach to wellbeing at NYP is set to be included within the Pledge issued by the DCC in December 2019.</p> <p><b>Implementation date</b></p> <p>31 December 2019</p> <p><b>Responsible owner</b></p> <p>Interim Head of HR and Training Department</p>

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management
	The Wellbeing Approach was developed between the HR and Welfare Departments, and in conjunction with Senior Management. The Wellbeing Approach was initially communicated on The Source.			<ul style="list-style-type: none"> <li>○ Welfare Services;</li> <li>○ Blue Light representatives; and</li> <li>○ Mind.</li> </ul> <ul style="list-style-type: none"> <li>● results from a wellbeing questionnaire issued to all staff members; and</li> <li>● feedback from wellbeing focus groups, which focused particularly on mental health and how wellbeing is managed and supported at NYP.</li> </ul> <p>From review of the wellbeing focus group final report, the Blue Light Wellbeing Framework self-assessment results and from discussions with the Senior Welfare and Wellbeing Advisor, we noted that the following areas have been highlighted as the key areas for improvement:</p> <ul style="list-style-type: none"> <li>● further support was required from leadership, particularly line managers, to tackle staff wellbeing and recognise the early indications of wellbeing issues;</li> <li>● communication of wellbeing initiatives and support services;</li> <li>● further guidance on how to address mental health and wellbeing issues in the first instance;</li> <li>● guidance on how to recognise early warning signs; and</li> <li>● the need to raise the mental health agenda with senior management.</li> </ul> <p>The Wellbeing Approach was developed to improve the areas and develop a holistic approach to wellbeing. The following key aims were incorporated within the Approach:</p> <ul style="list-style-type: none"> <li>● leader training and development to educate management on how leadership style can have a positive and / or negative impact on the individuals around them;</li> <li>● create an environment that promotes wellbeing;</li> <li>● apply positive challenge to stigmas surrounding mental health;</li> <li>● develop leaders who can create and sustain a psychologically safe environment; and</li> <li>● encourage participation in wellbeing initiatives across the entire workforce.</li> </ul>		



Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management				
				<p>The Wellbeing Approach was developed by the Deputy Head of HR and HR Consultant and approved by the former Head of HR; however, we noted that the Approach was not ratified or presented to a specific committee.</p> <table border="1"> <thead> <tr> <th>Risk exposure</th> <th>Root cause</th> </tr> </thead> <tbody> <tr> <td>The Wellbeing Approach does not address management concerns regarding welfare or wellbeing.</td> <td>The Wellbeing Approach has not been reviewed or ratified by management.</td> </tr> </tbody> </table>	Risk exposure	Root cause	The Wellbeing Approach does not address management concerns regarding welfare or wellbeing.	The Wellbeing Approach has not been reviewed or ratified by management.		
Risk exposure	Root cause									
The Wellbeing Approach does not address management concerns regarding welfare or wellbeing.	The Wellbeing Approach has not been reviewed or ratified by management.									
2	<p>The Wellbeing Approach covers a three-year period. Planned activities for 2018 have been outlined in the Wellbeing Approach leaflet by month for each planned event.</p> <p>To support the aims of the Wellbeing Approach, the Force have developed a Wellbeing Project Plan.</p> <p>The Wellbeing Project Plan includes actions for implementing the Wellbeing Approach with responsible owners and expected completion dates for each action. The actions have been</p>	Yes	No	<p><u>Wellbeing Approach</u></p> <p>The Wellbeing Approach was put in place to cover a three-year period. Review of the Wellbeing Approach confirmed that there was a list of planned activities and campaigns in place for 2018 by month and by event to address various wellbeing topics.</p> <p>From discussions with the Senior Welfare and Wellbeing Advisor, we confirmed that these planned activities for 2018 were undertaken. Included within the Wellbeing Approach, there were 21 intended plans for 2018. From an inspection of The Source, we confirmed by backdating the search that there were communications published for 16 plans.</p> <p>We saw no evidence of the following five planned actions published on The Source:</p> <ul style="list-style-type: none"> <li>• Dry January – New Year, New Start;</li> <li>• World Health Day (April 2018);</li> <li>• Tour de Yorkshire – Benefits of Cycling (May 2018);</li> <li>• Macmillan Coffee Morning (September 2018); and</li> <li>• Back Care Awareness Week (October 2018).</li> </ul> <p>The initial communication of the Wellbeing Approach documented its first phase. The second phase of the Wellbeing Approach was postponed due to T2020 changes resulting in staff redundancies. The communication included planned</p>	Low	<p><b>Planned activities for 2019</b></p> <p>For 2020, the Force will ensure that communications are released to document the planned schedule of wellbeing activities throughout the year.</p> <p><b>Implementation date</b></p> <p>28 February 2020</p> <p><b>Responsible owner</b></p> <p>Senior Welfare and Wellbeing Advisor</p> <p>Interim Head of HR and Training Department</p> <p><b>Wellbeing Project Plan</b></p>				
					Medium					

Ref Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management
<p>divided into four categories:</p> <ul style="list-style-type: none"> <li>• assessing need;</li> <li>• current state;</li> <li>• options; and</li> <li>• priorities.</li> </ul> <p>The Wellbeing Project Plan tracks the implementation of the actions and is reported to the Interim Head of Human Resources and Training Department.</p> <p>Actions are categorised as completed, in progress or to be actioned depending on the status.</p>			<p>activities for 2018; however, we noted there was no documented schedule of planned activities for 2019 published. From discussions with the Senior Welfare and Wellbeing Advisor, we concluded that the 2019 planned activities were similar to those undertaken in 2018.</p> <p>We obtained evidence of the following initiatives undertaken as part of the Wellbeing Approach for 2019:</p> <ul style="list-style-type: none"> <li>• Stress Awareness Month (April 2019);</li> <li>• Mental Health Awareness week (May 2019);</li> <li>• Mindfulness sessions (September 2019);</li> <li>• World Suicide Prevention day; and</li> <li>• Time to talk.</li> </ul> <p>However, if a defined schedule of planned activities is not published and made available to staff, there is a risk that staff may be unaware of upcoming wellbeing events and available support services, meaning the Wellbeing Approach is unlikely to be effective.</p> <p><u>Wellbeing Project Plan</u></p> <p>To implement the aims of the Wellbeing Approach, a Wellbeing Project Plan was developed by the HR Consultant. The Plan documents a list of required actions and these are categorised as: assessing need; current state; options; or priorities.</p> <p>Each action is assigned a responsible owner and given expected completion dates.</p> <p>The HR Consultant formerly tracked the actions within the Wellbeing Project Plan and reported these to the Interim Head of Human Resources and Training Department. However, as the HR Consultant is no longer in position; the monitoring of actions has not been consistent.</p> <p>The Wellbeing Project Plan had last been updated in November 2018. Upon initial review of the Wellbeing Project Plan, of the 43 actions included within the Plan, we noted that:</p>		<p>The responsibility of maintaining the Wellbeing Project Plan will be assigned to another member of the HR or Welfare Department.</p> <p>The Interim Head of HR and Training Department will raise the reporting of actions within the Wellbeing Project Plan at the People Board to decide where the actions should be reported and the frequency of reporting.</p> <p><b>Implementation date</b></p> <p>31 December 2019</p> <p><b>Responsible owner</b></p> <p>Interim Head of HR and Training Department</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>12 of the actions were closed;</li> <li>14 of the actions were documented as in progress; and</li> <li>the remaining 17 actions were recorded as yet to be actioned.</li> </ul> <p>During the audit, the Senior Welfare and Wellbeing Advisor reviewed and updated the Wellbeing Project Plan; this included an amendment to actions not undertaken and a revision to dates and responsible owners.</p> <p>Where actions for the implementation of the Wellbeing Approach are not frequently monitored or reported on, there is a risk that the Wellbeing Approach is not implemented effectively, and key aims not adhered to.</p> <table border="1"> <thead> <tr> <th>Risk exposure</th> <th>Root cause</th> </tr> </thead> <tbody> <tr> <td>Inconsistent monitoring of actions could lead to inadequate wellbeing support services for NYP staff.</td> <td>Actions in the Wellbeing Project Plan are not adequately monitored.</td> </tr> </tbody> </table>	Risk exposure	Root cause	Inconsistent monitoring of actions could lead to inadequate wellbeing support services for NYP staff.	Actions in the Wellbeing Project Plan are not adequately monitored.		
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Inconsistent monitoring of actions could lead to inadequate wellbeing support services for NYP staff.	Actions in the Wellbeing Project Plan are not adequately monitored.									
3	The Blue Light Wellbeing Framework is a self-assessment checklist set out to improve the wellbeing facilities within a police force.	Yes	No	<p>The Blue Light Wellbeing Framework self-assessment was conducted by the HR Consultant in May 2018 and the results were documented within the Wellbeing Approach: Summary of Findings report, which reviewed the wellbeing offerings at NYP.</p> <p>Within the report, the results of the wellbeing self-assessment were documented as follows:</p> <ul style="list-style-type: none"> <li>49% of the statements were fully developed;</li> <li>40% of the statements were in development; and</li> <li>11% were under development.</li> </ul> <p>The HR Consultant no longer works at NYP and therefore we were unable to confirm exactly which self-assessment points were included within each category. However, from review of the report, the following findings were highlighted as key areas for improvement:</p> <ul style="list-style-type: none"> <li>access of information and ensuring it is readily available to individuals;</li> </ul>	Low	<p><b>Stress Management Procedure</b></p> <p>The Stress Management Procedure will be removed from The Source.</p> <p><b>Implementation date</b></p> <p>31 October 2019</p> <p><b>Responsible owner</b></p> <p>Service Review Manager</p>				
	<p>The checks are categorised under the following areas:</p> <ul style="list-style-type: none"> <li>leadership;</li> <li>absence management;</li> <li>creating the environment;</li> </ul>									

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>mental health;</li> <li>protecting the workforce; and</li> <li>personal resilience.</li> </ul> <p>To ensure compliance with the Blue Light Wellbeing Framework, the HR Consultant performed a self-assessment of NYP's wellbeing offerings in May 2018.</p> <p>The HR Consultant produced a report to summarise the findings of the self-assessment.</p> <p>The findings from the self-assessment report have been considered within the Wellbeing Approach to address underperforming areas.</p>			<ul style="list-style-type: none"> <li>policy development;</li> <li>collating of information; and</li> <li>peer support panels.</li> </ul> <p><u>Policy development</u></p> <p>Included within the Wellbeing Approach: Summary of Findings, it was highlighted that one aspect for improvement as indicated by the Blue Light self-assessment framework was policy development. The HR Consultant documented three specific areas for improvement:</p> <ul style="list-style-type: none"> <li>development of wellbeing guidance;</li> <li>development of a statement of intent for physical health and healthy eating; and</li> <li>all policies emphasising the prevention of ill health and providing organisational support around attending work whilst unwell.</li> </ul> <p>The Stress Management Procedure was referenced within the report as the version available on The Source was last updated in 2003. We searched for the procedure on The Source and confirmed the same document was still available to staff. From discussions with the Service Review Manager, we noted that this procedure is outdated and not an approved procedure or policy at NYP and should not be available on The Source. From review of the Wellbeing Project Plan, we noted that there are no actions to implement further policies or guidance on wellbeing.</p> <p>When raising this observation with the Interim Head of HR and Training Department, we were informed that policies to address wellbeing should not always be documented as it is impossible to define appropriate procedures to fit all circumstances. The Wellbeing Approach therefore did not aim to implement further wellbeing policies.</p> <p>However, if policies and guidance are not in place to inform staff of wellbeing processes and support services, there is a risk staff may be uninformed on how best to deal with any wellbeing concerns.</p>	Medium	<p><b>Wellbeing policies and guidance</b></p> <p>The Force will consider whether there is a need for further policies or guidance on wellbeing and any actions identified should be included within the Wellbeing Project Plan.</p> <p><b>Implementation date</b></p> <p>31 March 2020</p> <p><b>Responsible owner</b></p> <p>Interim Head of HR and Training Department</p>

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management				
				<table border="1"> <thead> <tr> <th>Risk exposure</th> <th>Root cause</th> </tr> </thead> <tbody> <tr> <td>Where adequate wellbeing guidance is not available, staff may be unaware of wellbeing support services or methods.</td> <td>Lack of policies and guidance in place to aid wellbeing issues.</td> </tr> </tbody> </table>	Risk exposure	Root cause	Where adequate wellbeing guidance is not available, staff may be unaware of wellbeing support services or methods.	Lack of policies and guidance in place to aid wellbeing issues.		
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Where adequate wellbeing guidance is not available, staff may be unaware of wellbeing support services or methods.	Lack of policies and guidance in place to aid wellbeing issues.									
4	Information regarding health and welfare services is communicated to all staff on The Source.  The information available includes:  <ul style="list-style-type: none"> <li>Wellbeing Approach and related events;</li> <li>Trauma Risk Management (TRiM);</li> <li>Wellbeing Plans;</li> <li>How to access welfare services and support;</li> <li>Information on the Blue Light Champions;</li> <li>Dedicated campaigns; and</li> </ul>	Yes	No	<p>From review of the 'Looking after you' section of The Source, we noted the following information is available:</p> <p><u>The Wellbeing programme</u> - Initiatives for everyone across the Force to help you look after your physical and mental health and be well at work;</p> <p><u>Welfare services</u> - Information regarding the Force's specialist advisory services to help manage or overcome mental or physical health issues;</p> <p><u>Organisations and groups</u> - The networks set up at NYP to provide advice and support on race, religion, disability, gender, LBGT and neurodiversity.</p> <p>The member Associations that have representatives within the Force.</p> <p>We noted that there are links to organisations such as NHS Direct Moodzone; and Mind Blue Light Infoline. However, these links are not present on the 'Looking after you' section homepage and included within later pages.</p> <p>Staff can find information on Blue Light Champions and how to refer yourself or a colleague for a TRiM Assessment.</p> <p>Despite the 'Looking after you' section being available on The Source homepage, it was confirmed through discussions at the focus group that information is generally embedded on The Source and difficult to find.</p> <p>If information is not conveniently located, there is a risk that staff are unaware of wellbeing support services and in potential extreme circumstances, staff may not have the mental capacity to search for these support areas.</p>	Low	<p><b>Management of wellbeing communications</b></p> <p>The Force will assign a member of the Communications Department to manage the communications for Welfare Services and the Wellbeing Approach.</p> <p><b>Implementation date</b></p> <p>31 December 2019</p> <p><b>Responsible owner</b></p> <p>Interim Head of HR and Training Department</p> <p>Senior Welfare and Wellbeing Advisor</p> <p>Communications Department</p>				
					Medium					

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>Information of welfare events / sessions.</li> </ul>			<p>Communication was highlighted as one of the main issues with regards to wellbeing at the focus group conducted as part of this review. Staff felt generally unaware of wellbeing services and initiatives. Please see below for further information on the findings from this focus group.</p> <table border="1"> <thead> <tr> <th>Risk exposure</th> <th>Root cause</th> </tr> </thead> <tbody> <tr> <td>Staff cannot easily access or find welfare support if struggling with wellbeing issues.</td> <td>Information is embedded and not easy to find on The Source.</td> </tr> </tbody> </table>	Risk exposure	Root cause	Staff cannot easily access or find welfare support if struggling with wellbeing issues.	Information is embedded and not easy to find on The Source.		<p><b>Wellbeing communications strategy</b></p> <p>The Welfare Department, HR and Communications Department will collaborate to develop a communication strategy for the promotion of wellbeing at NYP.</p> <p><b>Implementation date</b></p> <p>30 April 2020</p> <p><b>Responsible owner</b></p> <p>Interim Head of HR and Training Department</p> <p>Senior Welfare and Wellbeing Advisor</p> <p>Communications Department</p>
Risk exposure	Root cause									
Staff cannot easily access or find welfare support if struggling with wellbeing issues.	Information is embedded and not easy to find on The Source.									
5	NYP have piloted a Wellbeing Plan, which will be included within the PDR Module on Origin.	Yes	Yes	<p>We confirmed through discussions with the Senior Welfare Advisor that the Wellbeing Plan is a new initiative within the Wellbeing Approach to be included within the PDR Module on Origin. The Wellbeing Plan will be completed by the employee in conjunction with their line manager to discuss any concerns and review the employee's overall wellbeing.</p> <p>The Wellbeing Plan is expected to go live around the time of the review. Completion of the Wellbeing Plan will not be mandatory as the Wellbeing Approach aims at promoting autonomy. The Wellbeing Plan should be created and owned by the individual.</p>	Low	<p>The Wellbeing Project Plan should be updated to include an action to review staff engagement with the PDR Module on Origin.</p> <p><b>Implementation date</b></p> <p>31 December 2019</p>				

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management
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From review of the draft Wellbeing Plan, a number of questions have been included, including; health and fitness, home and family commitments, socialising and interaction, work, situations which impact on personal wellbeing, actions to eliminate wellbeing and monitor signs / symptoms; and supportive measures.

**Responsible owner**

Senior Welfare and Wellbeing Advisor

As the Wellbeing Plan was launched at the time of the review, we were unable to test staff participation with the Wellbeing Plan. We therefore suggest that NYP conduct a review of its success as part of the Wellbeing Project Plan.

Risk exposure	Root cause
Staff are not engaging with personal wellbeing.	No monitoring of engagement will Wellbeing Plans.

6	There are various ways in which staff can access welfare support; some of these support routes include:	Yes	No	<p>Through review of The Source, we noted that the various ways in which staff can access welfare support are available to staff.</p> <p>Review of The Source confirmed that the content is not logically organised, and it was concluded at the focus group that The Source is not user-friendly.</p> <p>For instance, on the 'Looking after you' section homepage, there is no information providing emergency contact numbers or support services contacts. From review, we concluded the information is documented but embedded within the following sections:</p> <ul style="list-style-type: none"> <li>Welfare Services;</li> <li>Organisations and Groups;</li> <li>Wellbeing; and</li> <li>Occupational Health.</li> </ul> <p>It is therefore unclear under which section staff could access the required information.</p>	-	Please see action four.
	<ul style="list-style-type: none"> <li>self-referral for welfare support;</li> <li>referral from a concerned colleague or line manager;</li> <li>email inbox to welfare / TRiM departments;</li> <li>speaking to a Blue Light Champion; and</li> <li>Blue Light Infoline.</li> </ul>					

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management
	The ways in which staff can access welfare support is communicated on The Source.			Where information is not clearly organised, there is a risk that in emergency situations, information cannot be easily assessed and therefore adequate support not provided.		
7	<b>Missing control</b>  Wellbeing data is included within the People Board Metrics Pack, which collates HR and absence management data from Origin and is presented to the People Board.	No	-	<p>The Interim Head of Human Resources and Training Department produces a People Board Metrics pack, which provides a 12-month tracking of trends of human resources data. This is reported to the People Board on a quarterly basis.</p> <p>From inspection, we noted the People Board Metrics pack included relevant information including; compassionate and emergency leave taken statistics; overtime worked and authorised; PDR completion rates; HR overview; staff costings; diversity statistics; and recruitment statistics.</p> <p>The Interim Head of Human Resources and Training Department obtains the data from the HR system, Origin and provides a commentary to accompany the findings within the People Board Metrics pack and provides justification for certain statistics. From review of the People Board Metrics pack, we noted that there are no wellbeing statistics included and reported to the People Board.</p> <p>From discussions with the Interim Head of Human Resources and Training Department and Senior Welfare and Wellbeing Advisor, we noted that Welfare Services do not have a case management system in place to accurately record welfare and wellbeing data. We confirmed that all data derives from written notes taken during welfare sessions.</p> <p>We obtained an example of the Welfare Services statistics recorded for 2018 to 2019; the following data was included:</p> <ul style="list-style-type: none"> <li>• number of referrals;</li> <li>• number of face-to-face appointments; and</li> <li>• number of telephone appointments.</li> </ul> <p>Whilst it can be difficult to fully record wellbeing data; for example, defining wellbeing concerns and root causes; the statistics recorded do not provide clear information and identify trend patterns or areas for concern.</p>	Medium	<p>The Interim Head of HR and Training Department will raise the requirement of a case management system with the Chief Officer team.</p> <p><b>Implementation date</b> 30 April 2020</p> <p><b>Responsible owner</b> Interim Head of HR and Training Department</p>



Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Action for management
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In discussions with the Interim Head of HR and Training Department and the Senior Welfare and Wellbeing Advisor, we questioned whether it would be possible to report on the following information:

- gender;
- age;
- geographical location;
- job title;
- frequency of appointments;
- cases referred from TRiM assessments; and
- further treatment.

However, as data is collated manually at each appointment and input retrospectively into Excel; recording further data would be time consuming and would not improve the level of reporting or accuracy of data. As the wellbeing data is collated manually, we were unable to test the legitimacy of the statistics.

Where wellbeing data is not thoroughly documented and reported to senior management, there is a risk that North Yorkshire Police are unaware of any high-risk areas or general concerns, and therefore could be unable to address these issues.

Risk exposure	Root cause
If wellbeing data is not recorded in sufficient detail and reported to Senior Management, there is a risk that management are unaware of any wellbeing trends or particular issues.	Wellbeing data is not adequately recorded and does not provide enough information to accurately analyse wellbeing trends.  No record management system to thoroughly record wellbeing data.

# 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 organisation has an appropriate framework in place to create a positive and healthy culture in support of the Force's commitment to improve staff wellbeing within the workplace.

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

#### Areas for consideration:

Priority four (Enhancing the Customer Experience) of the Commissioner's Police and Crime Plan includes an objective of having 'A healthy, happy and confident workforce that better reflects the diversity of our communities and fulfil priorities'; a key outcome of this is continuing to build on the Force's wellbeing programme. As such, our review will consider the following areas:

- The Force has a wellbeing strategy in place that has been communicated to staff and clear aims have been set and objectives are monitored / reported.
- Training has been provided to staff to assist in the early identification of wellbeing concerns.
- The Force has performed a self-assessment against the Blue Light Wellbeing Framework and appropriate actions have been identified. We will confirm and substantively test to confirm an appropriate framework is in place to monitor and report on actions identified as part of the self-assessment.
- The promotion of health and wellbeing is completed through policies, guidance, dedicated campaigns, training and appraisals.
- Support routes are in place and communicated to staff.
- TRiM assessments have been undertaken in a timely manner following a traumatic event and a follow-up assessment has been performed.
- Reporting of data through the Force's governance structure on wellbeing. We will validate the information reported back to source documentation. We will also confirm how data has been used to inform existing plans / offers.

As part of the review, we will interview staff to ascertain they are aware of the Force's wellbeing strategy and welfare offers.

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

- We will not reperform the self-assessment exercise against the Blue Light Wellbeing Framework.
- Testing will be completed on a sample basis.
- We will not confirm the Force has discharged its statutory duties, with reference to Health and Safety at Work Act 1974, Human Rights Act 1998 and Equality Act 2010.
- We will not review the whole control framework of the areas listed above. Therefore, we will not provide assurance on the entire risk and control framework.
- We will not review policies and procedures for adequacy or confirm their application in practice.
- We will not comment on the appropriateness of the actions taken, but confirm they are in place or being worked towards.
- We will not confirm all actions identified as part of the self-assessment will be completed in the required timeframe.
- We will not review the performance or service provided by support services.
- 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:**

- Interim Head of HR and Training Department
- Senior Welfare and Wellbeing Advisor
- York and Selby Commander

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

- The Wellbeing Approach
- The Wellbeing Project Plan
- Blue Light Wellbeing Framework
- People Board metrics pack
- Induction Checklist
- Induction Guidance for Managers

# FOR FURTHER INFORMATION CONTACT

**Dan Harris, Head of Internal Audit**

Tel: 07792 948767

[Daniel.Harris@rsmuk.com](mailto:Daniel.Harris@rsmuk.com)

**Angela Ward, Senior Manager**

Tel: 07966 091471

[Angela.Ward@rsmuk.com](mailto:Angela.Ward@rsmuk.com)

**Philip Church, Client Manager**

Tel: 07528 970082

[Philip.Church@rsmuk.com](mailto:Philip.Church@rsmuk.com)

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