



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

Collaborations

Internal Audit Report 10.22/23
FINAL
1 June 2023

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1. EXECUTIVE SUMMARY

Why we completed this audit

The Force has the following three distinct approaches to collaborations: collaboration with police force partners in the Yorkshire and Humber region; collaboration with police partners; and collaboration with fire and rescue partners. We have undertaken a review of the following Force's collaboration agreements to provide assurance that there is an effective framework in place to monitor the efficiency and effectiveness of each arrangement:

- **Regional Organised Crime Unit (ROCU):** ROCU is responsible for delivering specialist and niche capabilities to the parties with an aim to reduce the impact and to disrupt serious organised crime units within the Yorkshire and Humber region and beyond. The specialist areas of work include cyber investigation, digital forensic examination, financial investigation and specialist intelligence resources alongside traditional detective work tackling serious drug trafficking and firearms offences across force boundaries. The Force entered the ROCU collaboration on 31 March 2014.
- **Yorkshire and the Humber: Regional Scientific Support (YaTH RSS):** RSS services provide a variety of forensic services to the Yorkshire and the Humber policing region from various hubs located around the region. Services under this agreement include but are not limited to crime scene investigation, forensic collision investigation, and DNA recovery laboratory. The Force entered the YaTH RSS collaboration on 31 March 2014.
- **Yorkshire and the Humber: Procurement (YaTH Procurement):** Services are provided to all parties in relation to the procurement of work, goods and services related to estates, facilities management, transport, IT, crime and forensics, operations, and corporate services.
- **Evolve Programme** which encompasses:
 - **Evolve Legal Services (ELS):** ELS ensures that capacity is available across the forces to meet the legal services needs of the Chief Constables as well as the Police and Crime Commissioner and their offices and reduce costs to the public purse by making specialist skills available across several forces. The Force entered the ELS collaboration on 7 September 2018.
 - **Cold Case Review Unit (CCRU):** CCRU is responsible for reviewing all undetected murders within Cleveland and North Yorkshire every two years in line with Home Office guidelines. The CCRU also reviews all undetected 'stranger' rapes within the two counties. The Force entered the CCRU collaboration on 22 July 2016.

The ROCU, YaTH RSS and Procurement collaboration have adopted a lead force model to coordinate and manage the collaboration. The provision of the ROCU and YaTH RSS is led by the West Yorkshire Police and Crime Commissioner and Chief Constable and YaTH Procurement is led by the South Yorkshire Police and Crime Commissioner and Chief Constable. The two Evolve functional collaborative arrangements are coordinated and delivered jointly between the collaborating forces.

As part of our review, we conducted interviews with the following Force leads for collaboration agreements: the Assistant Chief Constable who is the Force lead of the ROCU and YaTH RSS collaboration and the Director of ELS and the Force Solicitor and Head of Legal Services who are the Force leads of the ELS collaboration. The purpose of these interviews was to understand the arrangements in place and to determine the effectiveness of the arrangements. Due to absences, we were unable to meet with the Force leads of the CCRU and YaTH Procurement collaboration agreements; however, we did meet with the Detective Chief Inspector and Procurement Manager in the absence of the respective Force leads.

Conclusion

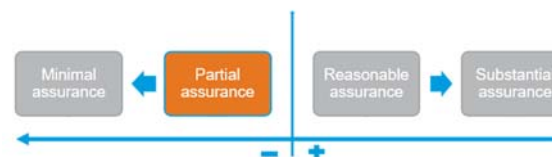
Each collaboration agreement has a governance framework in place to monitor the efficiency and effectiveness of collaborative arrangements. However, the Force does not have a robust and consistent process in place to oversee the performance and effectiveness of collaborative arrangements to ensure underperformance is identified and the benefits of entering into collaboration agreements are constantly kept under review, reported on and measured against agreed key performance indicators (KPI) or criteria. As a result of our review, we have agreed **one high, four medium and one low priority** management actions.

The five medium priority management actions relate to signing the agreement prior to entering into a collaboration, periodically reviewing collaborative arrangements against the initial proposal to collaborate, establishing clear performance metrics to monitor the performance of collaborations, attending governance meetings to monitor arrangements and retaining a record of decisions made and actions identified in relation to collaborations.

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 upon which the organisation relies to manage this risk are suitably designed, consistently applied or effective.

Action is needed to strengthen the control framework to manage the identified risk.



Key findings

We identified the following findings that have resulted in five medium priority management actions being agreed:



The YaTH RSS collaborative agreement was updated on 19 February 2021 to include the provision of the forensic collision investigation function. The updated agreement has been circulated to all parties to be signed on 25 January 2023 and is yet to be signed. Where the agreement is not signed prior to entering a collaboration, there is a risk the agreement is not legally binding.

Furthermore, the Detective Chief Superintendent and the Head of the Yorkshire and Humber ROCU highlighted that the ROCU agreement does require review, for instance, the agreement refers to governance arrangements which are no longer in place. Additionally, our review of the ROCU agreement identified that it was unclear what services are to be provided to the Force. As a result, there is a risk that the ROCU arrangement is not effectively managed and there is an inconsistent understanding across the forces on the services to be provided from the collaboration. **(High)**



Discussions with the Assistant Chief Constable and Detective Chief Inspector confirmed that they have not known a review to have taken place by the Force in the last 12 months on the CCRU, ROCU and RSS collaborative arrangements in place against the initial proposal to collaborate. In the absence of a process to review the collaborative arrangements against the initial business case, there is a risk the Force is unable to identify whether expected benefits from the arrangement are actually achieved. **(Medium)**



Our review of the collaboration agreement in place for ROCU, YaTH Procurement and CCRU identified the performance framework in place does not detail specific performance metrics or targets such as KPIs. In the absence of clear target performance measures there is a risk the Force are unable to effectively assess the performance of the collaboration against the agreement and expectations. **(Medium)**



In relation to ROCU and YaTH RSS, we did not receive documentation such as meeting minutes to confirm the Force attends the governance meetings to monitor the performance of the collaboration. We also did not obtain evidence to demonstrate how actions and decisions are documented at the governance meetings and followed up. The Force's lead for the YaTH Procurement collaboration was unavailable during the week of our fieldwork, therefore we were unable to confirm whether the Force attends the governance meetings such as the Regional Collaboration Board (RCB) to monitor the performance of the collaboration. Where a representative of the Force is not attending governance meetings in place for each collaboration, there is a risk that the Force is not well informed on the performance of the collaboration, progress made in implementing actions to address issues such as underperformance and may not be aware of whether decisions made are formally reported on and documented. **(Medium)**



Our discussions with the Detective Chief Inspector in relation to the CCRU collaboration confirmed that performance of the collaboration is monitored at the six-weekly performance review meetings attended by the Detective Superintendent from each force and the CCRU Manager; however, these meetings are informal, and no reports, minutes and actions are documented, therefore it is unclear how performance is scrutinised and monitored. Where actions and decisions are not recorded and retained, there is a risk of a reduced audit trail of decisions made and actions taken to address issues, such as underperformance. **(Medium)**

For details of the one low priority management actions agreed, please see section two of this report.

Our audit review identified that the following controls are suitably designed, consistently applied, and are operating effectively:



The Force has an overarching collaborative agreement for the Evolve Programme which has been signed by all parties. There are then sub-functional agreements in place for each function. Our review of the collaborative agreements in place for the ELS and CCRU confirmed that both agreements have been signed by all parties, the agreement details the services to be supplied and the roles and responsibilities of relevant stakeholders.



On 20 September 2022, the Assistant Chief Constable and the Head of ICT attended a workshop led by the Head of Regional Procurement to review the YaTH Procurement collaborative agreement. Review of meeting notes demonstrated that the parties discussed the original drivers for the collaboration on which the decision was made to collaborate, the current position, benefits, and disadvantages of the arrangements. Workshops have been held with other collaborative forces to review the arrangements in place and the outcomes are due to be reported to the YaTH Chief Constables' Operational Board (CCOB) meeting on 24 March 2023.



The ELS collaboration agreement states that the Director of ELS shall report on an annual basis to all parties on the efficiency and effectiveness of the ELS function and benefits realised by the collaboration. Review of the bi-annual report provided to the ELS Governance Board in December 2021 and June 2022 confirmed the arrangements have been reviewed as per the collaborative agreement.



Our review of the five collaboration agreements confirmed in all cases a governance structure has been established to monitor actual performance against target and compliance with the collaborative agreement.



Our review of the collaborative agreement for ELS demonstrated that it details the roles and responsibilities of the Director of ELS to report on the performance of the collaborative arrangements to the Deputy Chief Constables and the Chief Executives of the parties. Discussions with the Director of ELS confirmed that they are well informed on their roles and responsibilities to monitor the performance of the collaborative arrangement. Furthermore, the CCRU performance and governance framework confirmed that operational performance of the collaborative arrangements is reviewed at the six-weekly performance review meetings held with both collaborating forces.



Review of the collaborative agreement in place for YaTH Procurement, ELS and CCRU confirmed that there is a clear process for ensuring changes to collaborative arrangements are documented, approved and reported upon. Discussions with the Director of ELS and the Detective Chief Inspector confirmed that there have been no changes to the ELS and CCRU collaborative agreement in the last 12 months which has required an approval from all parties. The Chief Finance Officer of the Chief Constable also confirmed that there had been no changes made to the YaTH Procurement collaborative agreement.

2. DETAILED FINDINGS AND ACTIONS

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.

Risk 7573		
Control	<p>A collaborative agreement is in place establishing the joint service, the service to be supplied to each of the partners in the service and the roles and responsibilities of each of the partners.</p> <p>The collaborative agreement has been signed by all parties.</p>	<p>Assessment:</p> <p>Design ✓</p> <p>Compliance x</p>
Findings / Implications	<p>Our review of the agreement in place for each collaboration identified the following exceptions:</p> <ul style="list-style-type: none"> • In one case relating to YaTH Procurement, the agreement had not been signed by all parties. This exception was previously identified by the RSM Collaborations internal audit review completed in January 2017 and an action was agreed with management; however, this action has not been addressed. We have agreed a high priority management action in this report in relation to the updating of all required collaboration agreements. • In one case relating to YaTH RSS, the Assistant Chief Constable and Collaboration Assurance Officer confirmed that the collaborative agreement was updated on 19 February 2021 to include the provision of the forensic collision investigation function. The updated agreement has been circulated to all parties to be signed on 25 January 2023 and is yet to be signed. Where the agreement is not signed prior to entering a collaboration, there is a risk that the agreement is not legally binding. • In one relating to the ROCU agreement, the Detective Chief Superintendent and the Head of the Yorkshire and Humber ROCU highlighted that the agreement requires a review, for instance, as the current agreement refers to Odyssey. ROCU was formerly known as Odyssey prior to a national rebranding in January 2018. We also noted that the agreement details governance arrangements which are no longer in place. The Detective Chief Superintendent and the Head of the Yorkshire and Humber ROCU confirmed that the South Yorkshire Office of the Police and Crime Commissioner is taking ownership for this action to review the ROCU collaborative agreement. • In one case relating to the ROCU agreement, we noted it was unclear what services are to be provided. The Detective Chief Superintendent and the Head of the Yorkshire and Humber ROCU confirmed that the services to be provided are documented in the ROCU Business Case 2022-2025. Our review of the ROCU Business Case 2022-2025 confirmed it details the capabilities of ROCU, proposed governance arrangements and high-level deliverables; however, detail of these services are not documented within the agreement. <p>In the absence of up-to-date collaborative agreements which clearly outline the services to be provided, there is a risk that collaborative arrangements are not effectively managed and there is an inconsistent understanding across the Force's on the services to be provided from the collaboration. There is a further risk that the Force does not have a legally binding agreement in place to cover services to be provided to ensure any underperformance can be addressed.</p>	

Risk 7573

Management Action 1	The Force will ensure all collaborative agreements are reviewed to ensure the following: <ul style="list-style-type: none">• the agreement is up to date;• the agreement is signed by all parties; and• the agreement clearly documents the services to be provided.	Responsible Owner: Head of Business Design and Assurance	Date: 1 April 2024	Priority: High
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Risk 7573

Control	Collaborative arrangements are reviewed on a regular basis against the initial proposal in terms of efficiency or effectiveness on which the decision was made.	Assessment:		
		Design	✓	
		Compliance	×	
Findings / Implications	<p>As part of this review, we carried out interviews with the following stakeholders:</p> <ul style="list-style-type: none">• The Assistant Chief Constable, the Force’s lead of the YaTH RSS and ROCU collaboration.• The Detective Chief Inspector to discuss the CCRU collaboration. It was noted that the Force’s lead for this collaboration agreement is the Detective Superintendent; however, they were unavailable during the week of our fieldwork.• The Procurement Manager to discuss the YaTH Procurement collaboration. The Force’s lead of this collaboration is the Chief Finance Officer of the Chief Constable; however, they were unavailable during the audit week.• The Director of ELS and Force Solicitor and Head of Legal Services at the Force and the Head of Corporate Team ELS, the Force’s two leads of the ELS collaboration. <p>Our discussions with the above stakeholders confirmed the following exception in relation to the CCRU, ROCU and RSS collaboration:</p> <ul style="list-style-type: none">• The relevant stakeholders confirmed that they have not known a review to have taken place by the Force in the last 12 months on the collaborative arrangements in place against the initial proposal to collaborate. In the absence of a process to review the Evolve CCRU, ROCU and RSS collaborative arrangements against the initial business case, there is a risk that the Force is unable to identify whether expected benefits from the arrangement, such as efficiency and effectiveness on which the decision was made, have been realised.			
Management Action 2	The Force will establish a governance process internally to ensure the cyclical review of collaborative arrangements against the initial proposal in terms of efficiency or effectiveness on which the decision was made.	Responsible Owner:	Date:	Priority:
		Head of Business Design and Assurance	31 December 2023	Medium

Risk 7573

Control	The Force has a performance framework in place which enables performance to be assessed using qualitative and quantitative measures in line with the requirements of the collaborative agreements.	Assessment:	
		Design	✓
		Compliance	×

Findings / Implications We reviewed the agreements in place for each collaborative arrangement and supporting documentation to identify whether a performance framework has been established to monitor the actual performance of the collaboration against the agreement.

ROCU

As noted above, the ROCU agreement is outdated. We therefore reviewed the ROCU Business Plan 2022-2025 which states that along with nationally mandated performance products, the YaTH ROCU will introduce standardised performance products, including a quarterly partner report. The business plan also refers to measuring operational performance, a corporate scorecard, risk management and financial monitoring. However, there was no evidence of a defined performance framework provided to demonstrate how performance is monitored against the agreement.

YaTH RSS

The YaTH RSS agreement refers to the RSS Business Plan 2022-2024. The business plan states that performance data is produced quarterly and reviewed against the service level agreements (SLA) by the Assistant Chief Constables. The business plan also states that the production of the reports will assist stakeholders in ensuring value for money, satisfactory service delivery and continuous improvement. However, our review of the RSS Business Plan 2022-2024 identified that it does not detail specific performance metrics targets such as KPIs which performance is to be measured against.

YaTH Procurement

Our review of the agreement confirmed it includes a service standard and specification which details the following in relation to performance:

- performance will be measured against KPIs, and performance will be reported to the YaTH Police and Crime Commissioners and Forces; and
- performance measures include cost of the function/value for money, compliance, collaboration, contract savings, commissioner, and user satisfaction. These KPIs are reported annually barring contract savings which is reported quarterly. However, it was noted that the above KPIs have not been specified in the collaborative agreement, for example, a specific KPI for contract savings has not been established. There is therefore a risk that the current performance framework does not provide an effective mechanism for the Force to assess actual performance against target performance.

CCRU

Our review of the performance and governance framework confirmed performance metrics have not been documented. The Detective Chief Inspector informed us that the Force has looked to benchmark nationally; however, there are not currently any national benchmarks set given the nature of the work. In the absence of internal performance metrics, such as KPIs, there is a risk that the current performance framework does not provide an effective mechanism for the Force to assess actual performance to target performance.

Risk 7573

**Management
Action 3**

The Force will ensure a performance framework is in place with each collaborative agreement, which includes clear performance metrics (such as KPIs) to enable effective monitoring of performance using quantitative and qualitative data.

Responsible Owner:

The collaboration owner, assured by the Data and Insights Lead

Date:

31 December 2023

Priority:

Medium

Risk 7573

Control	Performance is monitored through established governance arrangements to identify underperformance and actions to rectify performance are recorded. Decisions made and actions identified at governance meetings are documented and monitored.	Assessment:	
		Design	✓
		Compliance	×

Findings / Implications

ROCU and YaTH RSS

We did not receive documentation, such as meeting minutes, to confirm the Force attends governance meetings to monitor the performance of the collaboration arrangements. We also did not obtain evidence to demonstrate how actions and decisions are documented at the governance meetings.

As a result, we were unable to confirm whether these meetings are attended by the Force, whether performance is monitored in line with the collaborative agreement, actions are documented where underperformance is identified, and decisions are documented.

The Assistant Chief Constable confirmed that they are aware of regional governance meetings; however, is unable to attend meetings due to conflicts with other meetings.

The Assistant Chief Constable did confirm that they meet with the Director of Regional Scientific Support at West Yorkshire Police on a quarterly basis to discuss performance of the YaTH RSS collaboration therefore, where underperformance is identified, then an action plan would be established to address the issue identified. At present, the Assistant Chief Constable confirmed that there have been no instances of underperformance identified in the last 12 months.

We reviewed the YaTH RSS Service Provision Report for quarter one, two and three of 2022/23. Our review confirmed that the report provides data on the departmental effectiveness of five RSS core services. However, it was noted that the SLA for RSS includes eight core services. The services not covered in the YaTH RSS Service Provision Report were RSS Control, RSS DNA Recovery Laboratory, and RSS Forensic Enhancement Laboratory. In the absence of clear KPIs set for each core service in the performance framework, there is a risk that core service performance is not being considered or challenged, which could lead to any performance issues being unidentified. Our review of the YaTH RSS Service Provision Report for quarter one, two and three of 2022/23 confirmed that the following is detailed for the five RSS core services:

- overview of departmental headlines and updates including the review of the collaborative agreement; and
- quantitative data, such as, the number of incidents attended, response times, reports completed, and turnaround times.

The Assistant Chief Constable also obtains a quarterly report on the performance of the YaTH RSS Crime Attendance and Forensic Outcome Tracking System (FOTS) Report. It was noted that the Forensic Intelligence Unit (FIU) is a part of the RSS Forensic Service RSS core service on the SLA. We reviewed the YaTH RSS Crime Attendance and FOTS Report for quarter one, two and three of 2022/23 which confirmed quantitative performance data is reported.

The Assistant Chief Constable also confirmed that the performance of the collaboration agreement is monitored at the monthly Force Performance Meeting (FPM), which is attended by the Director of Regional Scientific Support at West Yorkshire Police; however, we did not receive evidence to demonstrate this.

YaTH Procurement

The Force's lead for this collaboration arrangement was unavailable during the week of our fieldwork, therefore we were unable to confirm whether the Force attends the governance meetings, such as the RCB, to monitor the performance of the collaboration, identify underperformance and ensure any required action plans are established to rectify issues.

In the absence of the Force lead, we met with the Procurement Manager who confirmed a Strategic Commercial Board (SCB) is in place. The SCB meetings take place on approximately a monthly basis; however, meetings have not taken place regularly as the last three meetings were held in March, July, and November 2022. The SCB meetings are chaired by the Chief Finance Officer of the Chief Constable as the Force's lead on this collaboration and attended by the Head of Departments and the Head of Regional Procurement.

Our review of the SCB meeting minutes dated 24 March 2022, 1 July 2022 and 10 November 2022 confirmed that regional procurement do provide an operational update. The Procurement Manager confirmed that the Head of Regional Procurement will deliver a presentation on performance; however, a copy of this presentation was not provided to the Procurement Manager following the meeting held in March and July 2022, therefore no evidence was available for review. We did obtain the performance indicators presentation delivered by the Head of Regional Procurement at the SCB meeting held on 10 November 2022. We confirmed that performance was reported in relation to cost savings. However, we acknowledge that greater coverage on performance may be reported through other governance mechanisms such as the RCB, but we were unable to confirm this in the absence of the Chief Finance Officer of the Chief Constable.

Discussions with the Procurement Manager confirmed that the Chief Finance Officer of the Chief Constable obtains a monthly report from regional procurement on the collaboration's cost savings as stated in the agreement. This information feeds into the SCB reports.

Where a representative of the Force is not attending governance meetings in place for each collaboration there is a risk that the Force:

- is not well informed on the performance of the collaboration;
- is not well informed on the progress made in implementing actions to improve performance where underperformance is identified;
- does not obtain sufficient information to effectively assess actual performance against expectations; and
- is not aware whether decisions made are formally reported on and documented.

CCRU

The Detective Chief Inspector confirmed that the six-weekly performance review meetings attended by the Detective Superintendent from both forces and the CCRU Manager are informal, and no reports, minutes and actions are documented.

The Detective Chief Inspector confirmed that underperformance would be identified at the six-weekly performance review meetings and at present, the collaboration is effective and there has been no issues relating to underperformance.

Risk 7573

The Detective Chief Inspector and Data and Insight Lead confirmed performance of the collaboration is also monitored by the NYP Assistant Chief Constables through the quarterly performance meeting (QPM). However, we did not receive evidence from the Force to demonstrate whether performance is reported at the QPM.

ELS

Our review of the bi-annual performance report provided to the ELS Governance Board in December 2021 and June 2022 confirmed that performance is monitored as outlined in the collaborative agreement. Performance data provided in the report includes quantitative data and detailed narrative, for example, on the benefits realised and the areas for future opportunities. The Director of ELS stated that they were unable to locate the notes from the meetings to confirm decisions and actions are recorded. It was noted that an ELS Governance Board meeting was scheduled for December 2022; however, due to scheduling issues, the next meeting is now due to be held in March 2023.

Where actions and decisions are not recorded and retained there is a risk of a reduced audit trail of decisions made. There is also a risk where actions are not recorded and retained that these are not effectively monitored by the relevant stakeholders to ensure timely implementation to address issues such as underperformance.

Management Action 4		Responsible Owner:	Date:	Priority:
	The Force will ensure decisions and actions made at governance and performance monitoring meetings are documented and retained.	Head of Business Design and Assurance	31 December 2023	Medium
	The Force will maintain a corporate log of the governance arrangements in place for each collaborative arrangement which documents information such as attendees from NYP, the Force's lead for the collaboration and the frequency of governance meetings.	Governance and Assurance Lead Head of Business Design and Assurance		
	The Force will ensure the relevant member of the Force attends the governance meetings where the performance of the collaboration is monitored.	Head of Business Design and Assurance		
	<p>Where the individual is unable to attend these meetings, the Force will either:</p> <ul style="list-style-type: none"> ensure a delegated representative attends on their behalf; or request and retain a copy of the meeting minutes, papers, actions, and decisions logs documenting decisions made and reported. 			

Risk 7573

Control	The Force's leads for each collaboration agreement are aware of their roles and responsibilities in place to review and oversee the performance of the collaborative arrangements at an operational and strategic level.	Assessment: Design ✓ Compliance ×		
Findings / Implications	<p>We undertook interviews with the Force's lead for each collaboration agreement. It was noted that this was not possible in two of the five cases due to absence, therefore we met with the Procurement Manager to discuss YaTH Procurement and the Detective Chief Inspector to discuss CCRU. Review of evidence and our interviews with the key roles identified the exceptions outlined below.</p> <p><u>ROCU and YaTH RSS</u></p> <p>Discussions with the Assistant Chief Constable confirmed that they do not attend governance meetings to provide oversight and monitor performance of ROCU and YaTH RSS. We did not receive any further information from the Force to confirm whether the governance meetings are attended by other members from the Force.</p> <p><u>YaTH Procurement</u></p> <p>In the absence of the Chief Finance Officer of the Chief Constable, the Procurement Manager was unable to confirm what and whether governance meetings are attended by the Chief Finance Officer of the Chief Constable to ensure they fulfil their role in monitoring the performance of the agreement.</p> <p>Where it is unclear whether a member of the Force attends the governance meetings in place to monitor the performance of the collaboration and the responsibility for attending the meetings is not documented, there is a risk the Force is not fulfilling its role in reviewing the operational performance of the collaborative arrangements at an operational and strategic level on behalf of the Force.</p>			
Management Action 5	Once the corporate log of the governance arrangements in place for each collaborative arrangement has been established, this will be shared with relevant members of the Force to ensure members are aware of their role in monitoring performance of collaborations through attendance at governance meetings.	Responsible Owner: Governance and Assurance Lead Head of Business Design and Assurance	Date: 31 December 2023	Priority: Medium

Risk 7573

Control	Changes to collaborative arrangements are documented, approved, and reported upon.	Assessment:
		Design ✓
		Compliance ×

Findings / Implications	<p>Review of evidence and our interviews with the key roles identified the exceptions outlined below.</p> <p><u>ROCU</u></p> <p>As stated in the collaboration agreement, the agreement may only be varied with prior written consent of the RCB. However, the Detective Chief Superintendent and the Head of the Yorkshire and Humber ROCU confirmed that the agreement is outdated and the RCB no longer exists for monitoring the ROCU arrangement. Where it is not clear what the process is for approving and reporting changes to the ROCU arrangements there is a risk that changes are made which are not appropriately approved and the Force is not well informed.</p> <p>The Assistant Chief Constable confirmed that there has been no known changes to the ROCU collaborative arrangement in the last 12 months when they have been in post.</p> <p><u>YaTH RSS</u></p> <p>Discussions with the Assistant Chief Constable at NYP confirmed that the collaboration agreement has been updated to include forensic collisions investigations. The previous version of the collaborative agreement states that the agreement may only be varied with prior written consent of the RCB. However, it was noted that the RCB no longer exists. Discussions with the Collaboration Assurance Officer confirmed that they have liaised with the lead force, West Yorkshire Police, to confirm that the collaborative agreement was agreed at Forensic Collision Investigation Collaboration Project Board meeting. The Collaboration Assurance Officer and Data and Insight Lead confirmed the Forensic Collision Investigation Collaboration Project Board meeting is attended by either a staff officer from NYP or the Major Crime Investigation Teams Inspector. The lead force also indicated that the updating of the agreement may have been discussed at CCOB.</p> <p>It was noted that the Force did not have documentation, such as meeting minutes, to evidence the approval of the updated collaborative agreement, meaning there is a reduced audit trail of when and whether the change to the collaborative arrangement had been documented, approved, and reported upon. It was noted that the updated collaboration agreement is yet to be signed by all parties.</p> <p>Where the Force is unaware of changes in respect of collaborative agreements a formal authorisation route is not clear, there is a risk that the Force does have appropriate oversight of any changes made which may impact on service delivery.</p>
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Management Action 6	See management action 1.	Responsible Owner:	Date:	Priority:
	The Force will ensure future changes to a collaborative arrangement are documented, approved, and reported upon as per the collaborative agreement.	Head of Business Design and Assurance	31 December 2023	Low

APPENDIX A: CATEGORISATION OF 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 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, reputational damage, negative publicity in national or international media or adverse regulatory impact, such as loss of operating licences or material fines.

The following table highlights the number and categories of management actions made as a result of this audit.

Risk	Control design not effective*		Non Compliance with controls*		Agreed management actions		
					Low	Medium	High
Risk 7573	0	(7)	6	(7)	1	4	1
Total					1	4	1

* 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.

Debrief held 10 March 2023
Debrief responses received 31 March 2023
Draft report issued 17 April 2023
Responses received 1 June 2023
Final report issued 1 June 2023

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