



Police and Crime Commissioners for Norfolk and Suffolk and Chief Constables of Norfolk and Suffolk Constabularies

Follow Up Review – Suffolk Only

2017/18

Executive Summary

INTRODUCTION

1. The follow up of internal audit recommendations undertaken by TIAA is undertaken throughout the year and reported to the Audit Committee during the year at each meeting.
2. The summary tables show the number of raised and brought forward priority 1 (P1 - Urgent) and priority 2 (P2 - Important) recommendations implemented since being reported to the June 2017 Audit Committee meeting and those outstanding past their implementation dates. A breakdown of this summary is attached as Figure 2.

Figure 1 - Summary of the action taken on Recommendations made

Evaluation	P1 - Urgent Recommendations		P2 - Important Recommendations		P 1 & 2 Recommendations
	Number	%	Number	%	Total
Implemented Since Last Meeting	1	100%	9	26%	10 (29%)
Outstanding (incl. deadlines extended*)	0	0%	25 (20*)	74%	25 (71%)

				Previously reported as complete to Audit Committee		Completed since last Audit Committee		Outstanding with Extended Period Agreed/Not Reached		Outstanding - Previously reported as outstanding		New since last Audit Committee		Total Outstanding	Not Yet Due for implementation	
				P1	P2	P1	P2	P1	P2	P1	P2	P1	P2		P1	P2
Audit Ref	Audit Area	Date Presented to Audit Committee	Assurance Level									1				
2015/16 Internal Audit Reviews																
NSC1603	Police Stations (Suffolk)	Jan-16	Reasonable		1		1		3					3		
NSC1605	Estates Management	Jun-16	Reasonable				1		1					1		
NSC1626	ITIL	Jun-16	Reasonable	1	1				1					1		
2016/17 Internal Audit Reviews																
NSC1703	Transport	Sep-16	Reasonable		1				3					3		
NSC1704	Corporate Communications	Sep-16	Reasonable						2			1		3		
NSC1706	HR Recruitment	Dec-16	Limited		5				1					1		
NSC1707	Duty Management	Dec-16	Limited		5		1		3			1		4		
NSC1710	Catering - Suffolk	Dec-16	Limited		2		2		1					1		
NSC1712	Disaster Recovery	Sep-16	Reasonable		3				1					1		
NSC1714	Overtime, Expenses (Draft)	Mar-17	Reasonable				2		1					1		
NSC1715	Performance Management	Jun-17	Reasonable											0		1

NSC1716	Pensions	Mar-17	Reasonable						1					1			
NSC1718	HR Strategy	Mar-17	Limited			1					1			2			
NSC1721	Collaborations	Jun-17	Reasonable						1			1		2			
NSC1723	ICT ERP	Jun-17	Reasonable											0		1	
NSC1725	Health and Safety	Jun-17	Reasonable											0		2	
2017/18 Internal Audit Reviews																	
NSC1802	ICT Mobile Device Mgt	Sep-17	Reasonable									1		1		3	
NSC1806	Use of Vehicles	Sep-17	Reasonable				2		1					1		0	
NSC1811	Procurement	Sep-17	Reasonable											0		4	
NSC1817	Data Quality - Athena	Nov-17	Limited											0		3	
TOTALS																	
				1	18	1	9		0	20	0	1	0	5	25	0	14

The breakdown of the actions on recommendations key:

- The direction of travel for implementing recommendations is shown from right to left.
- The audit will remain on the table until all P1 and P2 recommendations relating to that audit are complete and reported as such to Audit Committee, including those previously reported. Once an audit is reported as complete (highlighted in grey), the audit will be removed from the table.
- Outstanding with extended period agreed – outstanding past original deadline and an extension has been agreed with management.
- Outstanding and previously reported as such to Audit Committee – outstanding past agreed deadline and no extension has been agreed.
- New since the last Audit Committee meeting – deadline has recently passed and the recommendation is outstanding.
- Total outstanding – includes; extended period agreed, previously reported as outstanding and new outstanding.
- Not yet due for implementation – the agreed implementation deadline has not been reached.

KEY FINDINGS

3. There are no urgent recommendations outstanding and past the agreed deadline.
4. Several recommendations are awaiting upgrade to ERP, implementation of the intranet, support from IT systems or from external sources to enable implementation.
5. Over the last couple of months 10 outstanding recommendations have been implemented and action is being taken to implement further recommendations, with changes to responsible officer requiring time for those officers to implement.

6. The ITIL (NSP1626) recommendation requires a management decision as to whether the risk is accepted and the recommendation closed down.

SCOPE AND LIMITATIONS OF THE REVIEW

7. The review considers the progress made in implementing the recommendations made in the previous internal audit reports and to establish the extent to which management has taken the necessary actions to address the control issues that gave rise to the internal audit recommendations. The implementation of these recommendations can only provide reasonable and not absolute assurance against misstatement or loss.
8. The responsibility for a sound system of internal controls rests with management and work performed by internal audit should not be relied upon to identify all strengths and weaknesses that may exist. Neither should internal audit work be relied upon to identify all circumstances of fraud or irregularity, should there be any, although the audit procedures have been designed so that any material irregularity has a reasonable probability of discovery. Even sound systems of internal control may not be proof against collusive fraud.
9. For the purposes of this review reliance was placed on management to provide internal audit with full access to staff, accounting records and transactions and to ensure the authenticity of these documents.

RELEASE OF REPORT

10. The table below sets out the history of this report.

Date draft report issued:	N/A
Date management responses recd:	N/A
Date final report issued:	24 th November 2017

Detailed Report

FOLLOW UP

11. Management representations were obtained on the action taken to address the recommendations. Only limited testing has been carried out to confirm these management representations.
12. The following matters were identified as outstanding past their original/revised deadline:

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
NSP1626 Information Technology Infrastructure Library (ITIL) framework Gap Analysis	IT Management to review the four Service Desk best practice areas not verified/not currently being implemented and to implement those areas considered to be appropriate for the organisation. The self-assessment questionnaires to be used to guide this process.	2	ICT Service Desk Manager alongside the Policy and Process Manager to review and consider for implementation the 4 remaining best practices currently not implemented.	ICT Service Desk Manager	31/10/2016	30/09/2017	A decision is to be made on the risk of not implementing this recommendation by management.

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
NSC1706 2015/2016 HR - Recruitment	Re-vetting of employed staff be undertaken at the required timescales.	2	Chief Officer Teams in both Forces are aware of the current vetting backlog (this includes the issue of re-vetting). The OBB process includes a proposal for an increase in staff within the Vetting Unit for a limited period to address the backlog issue. Currently, the Vetting Unit are focusing re-vetting on high risk roles.	T/Detective Chief Inspector Professional Standards Department	30/09/2017		Further update being discussed with PSD.
NSC1710 Estates – Facilities (Catering – Suffolk only)	Individual departments be assigned with responsibility for placing of all catering/hospitality request, through the intranet, including the relevant budget code as a mandatory field, and the Facilities Assistant to be copied in when placing catering requests so that they are aware of what orders have been placed and can sample check for appropriateness.	2	Recommendation to be adopted to coincide with Forcewide Intranet improvements.	Facilities Manager	31/12/2016	31/10/2017	The corporate intranet will be used for this. This is linked to the transfer of bookings to Interserve, with a revised target date in line with the intranet.

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
NSC1712 ICT – Disaster Recovery	Documents making up the IT Disaster Recovery response all require review to ensure that they are all aligned and that review dates match where required. Review also required to take account of a recent major restructure within the IT department and include 3rd party vendor contact details and key SLA requirements for each. The framework of documents also overlap in terms of content. Hence the review should also attempt to rationalise the number of documents. Once the review is completed, ensure that all offline copies are updated. For example, copies issued to senior managers and the hard copies contained within the red folders at both ends of the IT department.	2	Documentation to be reviewed, rationalised and re worked to address the recommendations.	Process and Policy Manager	30/11/2016	31/03/2017	The current documentation has been revised and is out for review. This incorporates the changes due to Tranche 13 and the restructure of ICT, as well as personal / vehicle details. Awaiting further update from management.

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
NSC1718 HR - Strategy	A standard form to be created for requesting new and/or amendments to posts for the OPCCs. The form to record the required post name, record against which cost centre the job is to be coded to and be approved by an appropriate authorising officer, certifying that there is sufficient funds available to fund the post.	2	Governance arrangements are in place for the creation, deletion or amendment of any posts within the Constabulary structures. This involves completion of a form with rational and approval through HR Business Partners, Finance Business Partners, Corporate Development and Change and the Workforce Planning Group. These arrangements will be implemented for the OPCC as well.	Head of Resourcing	30/04/2017		The new process has been discussed within the Workforce Planning Group and a proposed new approach has been established. Dialogue with the OPCC has been delayed, owing to the wish to ensure that the Constabulary workforce planning processes are fully established.
NSC1721 Collaborations	Financial and non-financial critical success factors are to be identified and agreed for all projects prior to them commencing. The critical success factors to be used as a means for assessing and measuring the projects' success.	2	The recent introduction of OBB into the Force has encouraged the PMO to review both the process of change and the templates used to ensure that non-financial CSF's are picked up. A recent review of CD&C has also encouraged closer working with JPAD thus ensuring the impact of change through performance and analysis are also considered in order to maintain efficient and effective services.	Programme Manager	30/09/2017		Further update being sought from management.

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
NSC1721 Collaborations	A target completion date to be assigned for any outstanding actions upon completion of projects, so that assigned officers can be held accountable for delivering outstanding actions. A follow-up process should be adopted to monitor outstanding actions with a quarterly update provided to the Organisational Board.	2	A target completion date will be added to the existing End of Project Report template and will be monitored by PMO. Any exceptions flagged as appropriate to the Programme Manger.	Governance Officer (PMO)	31/05/2017		A target completion date will be added to the existing End of Project Report template and will be monitored by PMO. Any exceptions flagged as appropriate to the Programme Manger.
NSC1802 ICT Mobile Device Management (body worn video)	Management to implement formal change control processes to manage the deployment of relevant Android Operating System updates. A Standard Change may be the most appropriate way forward.	2	Customer Contact Team to raise change forms in line with the existing ICT change process.	Joint ICT Change & Configuration Manager	31/10/2017		Further update being sought from management.

13. The following matters were identified as past original deadlines and extended deadlines have not yet been reached:

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
NSP1603 Police Stations (Suffolk only)	A standard protocol stating the required frequency for changing door codes to be agreed and complied with.	2	The locks on these premises are of the 'digital mechanical' variety. Suffolk does have relatively few of these, however Norfolk Constabulary has many. A Joint document is to be drafted that will detail the management of this form of lock, the frequency of the changes of the combination, the method by which it is changed, and the notification process to advise appropriate users of the change and the new combination.	Rob Watson (Information Security Advisor) working together with the Facilities and Estates Department.	31/12/2016	30/11/2017	The Joint Facilities and Estates department has recently established an Access Card Project Board which covers all aspects of access control for our premises, including digital mechanical locks and the SALTO system, (which is now being rolled out across some premises in Norfolk). The Information Security Advisor will attend the project board and has requested a formal protocol be created regarding the frequency at which door codes are changed.

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
NSP1603 Police Stations (Suffolk only)	A standard protocol for changing alarm codes at stations, in particular at Ixworth station, to be agreed and complied with.	2	A new policy that details the frequency of changes to alarm codes, together with the process of informing all staff that require the code can be developed to address this issue. It can be included and be a part of the policy detailed above in relation to the mechanical digital door locks.	Rob Watson (Information Security Advisor) working together with the Facilities and Estates Department.	31/12/2016	30/11/2017	The Joint Facilities and Estates department has recently established an Access Card Project Board which covers all aspects of access control for our premises, including digital mechanical locks and the SALTO system, (which is now being rolled out across some premises in Norfolk). The Information Security Advisor will attend the project board and has requested a formal protocol be created regarding the frequency at which door codes are changed.
NSP1603 Police Stations (Suffolk only)	A quarterly review of 'salto' access rights be undertaken, to establish if access rights to stations/areas are appropriate. Managers to be sent a list of all staff that have access within their area, and this to be reviewed to verify if access is appropriate, and requesting removal of all staff that don't require access.	2	The Joint Estates and Facilities department is currently reviewing the auditing of SALTO access. A temporary resource has been allocated to review and identify the levels of access that currently exist. If appropriate a process may then be introduced that will provide closer scrutiny of the SALTO system.	Rob Watson (Information Security Advisor) working together with the Facilities and Estates Department.	31/12/2016	30/11/2017	A new version of the SALTO system has now been rolled out which provides more functionality, which should now have a more thorough review of users and their access permissions. This is something that will be discussed at the project board.

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
NSP1605 Estates Management – Maintenance and Repair	Procedure notes be devised in relation to carrying out operational aspects of Estates management, including; maintenance of the Estates spreadsheet records, management of payments to contractors, and the decision making process / flowchart where work is issued externally to contractors, as opposed to premises operatives.	2	Following Tranche 13 of the business support review, a number of standard operation procedures are proposed to be implemented for the new Estates helpdesk/service desk; including dealing with Estates defects and Estates ordering and invoices. These will be completed following implementation of a new database (3i) in October 2016.	Sara Stafford, Senior Facilities Officer	28/02/2017	31/12/2017	Standing operating procedures have been prepared for the main tasks of the Estates service centre. The full implementation will be updated and guided by the introduction of the new corporate internet, as this will provide the link and forms for proposed self-service elements. For example requesting a new car park permit, reporting reactive repairs, accommodation change and furniture.
NSC1703 Transport Services	The Joint Transport Policy be subject to document control and approval process and current operating procedures should be updated and maintained.	2	Joint Transport Policy Force Policy Officer, Corporate Development and Change to be consulted regarding document control and approval process. It should be noted this is a Transport Services only Policy as it was determined the Policy was more aligned to a standard operating procedure. The standard operating procedures are in the process of being updated to reflect T13 restructure and process changes.	Head of Transport	31/10/2016	31/12/2017	The Joint Transport Policy is under a full review to reflect the new SOPs and the requirement for these to be integrated into the policy. The existing Transport Policy could become an overarching SOP, dependent upon policy advice and the consultation process. Revised implementation date to include taking through to final approved version. Awaiting further update from the Head of Transport.

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
NSC1703 Transport Services	The weekly vehicle check form be standardised across both counties.	2	Within Norfolk weekly check sheets fall under the remit of the Driver of Police Vehicles Force Policy Document, with the Policy owner being Specialist Operations. Within Suffolk the remit is with the County Policing Command. Norfolk and Suffolk Constabularies are aligning their equipment levels and types. This will then allow the use of one form across both Counties. This is already in progress and will be managed through the Transport Strategic Group.	Head of Transport	31/12/2016	31/12/2017	Progress is being made to implement the recommendation, with a revised deadline of 31st December 2017.

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
NSC1703 Transport Services	The system for recording and monitoring the completion of the weekly vehicle checks be standardised and a system for central oversight of the results of the checks be implemented.	2	There is scope for the central reporting hub to be Transport services. This will be progressed through the Transport Strategic Group.	Head of Transport	31/12/2016	31/12/2017	<p>Work has taken place to both rationalise and agree a single level of equipment and reporting form for both Norfolk and Suffolk. Additional equipment has been procured for Suffolk NRT/Response vehicles i.e. telescopic brooms and shovels. Sequential blue flashing blue lights for use at road incidents have been procured for both Norfolk and Suffolk NRT/Response vehicles.</p> <p>All Police equipment will be provided from Transport Services Stores, Wymondham to ensure consistency. Suffolk CPC budgets will be transferred to Transport Services. As agreed by Suffolk CPC Commander. Transport services already provide police equipment for Norfolk vehicles.</p> <p>There are still some equipment differences across both counties, such as throwing lines, plastic body sheets and buoyancy aids that need to be addressed.</p>

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
NSC1704 Corporate Communications	A corporate communications strategy be developed and embedded, aligned with the visions of the Norfolk and Suffolk Constabularies.	2	A communications strategy will emerge over the next six months. Revised Police and Crime Plans for both forces are awaited: these will form a central element of an effective strategy.	Head of Corporate Communications	31/03/2017	31/03/2018	A social media policy is now published. The communications strategy is awaiting the new communications manager in Suffolk. An overarching communication will then be developed between Norfolk and Suffolk, taking into consideration joint and not joint areas and how each force will now deliver. This will be delivered in Spring 2018.
NSC1704 Corporate Communications	Corporate communications policies be developed and embedded. Appropriate review periods be set for each policy.	2	Formal policies on specific areas (for example Social Media) are being developed on an ad hoc basis. This will be ongoing, with a date of 31/03/17 set for review.	Head of Corporate Communications	31/03/2017	31/03/2018	A social media policy is now published. The medial liaison policy is being reviewed again in light of new processes and will be delivered in winter 2017.

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
NSC1704 Corporate Communications	Written protocols be prepared to cover the roles within the Corporate Communications teams, with appropriate references to College of Policing guidance, media law and best practice.	2	A series of communications protocols are being developed covering the core areas of the department's activities.	Head of Corporate Communications, Communications Managers	31/03/2017	31/03/2018	Due to the removal of a Head of Corporate Communications and Business Changes, new protocols will need to be written, once the new communications manager is in post in Suffolk. An agreement between both managers in Norfolk and Suffolk and digital will be devised.
NSC1706 2015/2016 HR - Recruitment	A recruitment framework to be developed across the Constabularies.	2	There are well established recruitment processes in place and for police officers this follows national guidance. However a code of practice is required to set out clearly the practice and decision making process to be followed across a variety of recruitment situations and the standards required across all roles involved with recruitment. Code of practice and accompanying selection and training, including assessor training to be developed and implemented.	Head of HR - Head of Learning and Development	01/04/2017	31/03/2018	There is still a need for a code of practice across all areas of recruitment. This work has been delayed by the absence of a Senior Recruitment and Workforce Planning Manager and Recruitment Manager who would lead on this work. Recruitment processes for the senior post have been completed, and therefore will be a priority for them upon their start date which has yet to be confirmed.

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
NSC1707 Duty Management System	A full audit trail for all aspects of DMS to be made functional.	2	It has been raised with Crown the requirement to have an audit on the notes section on DMS, as have other Police Forces. This is with their Research and Development team to be looked at in the relation to future releases.	Head of Resourcing	30/06/2017	31/03/2018	Completion is subject to third party actions through Crown Constabulary, seeking an update from Crown on whether this will be possible and if so in what timeframe.
NSC1707 Duty Management System	The exception rules inbuilt within DMS to be investigated to see if these are correct.	2	The RMU are currently working on exceptions and discussing with Crown the feasibility of changing the exception rules.	Head of Resourcing	31/03/2017	31/03/2018	Completion is subject to third party actions through Crown Constabulary, seeing an update from Crown on whether this will be possible and if so in what timeframe.
NSC1707 Duty Management System	Monthly reconciliations to be undertaken between DMS and payroll to establish if the value of overtime on DMS agrees with the value of overtime paid by payroll.	2	Not all areas of the business provide information of Overtime to the RMU, and therefore this is challenging to deliver. This would be a Finance task.	Head of Transactional Services	30/06/2017	31/03/2018	The DMS system requires exceptions to be cleared prior to progress on reconciliation being made, actions are being taken by the ERP Project Group, lead by the CFO for Norfolk.

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
NSC1714 Overtime, Expenses and Additional Payments	Joint expenses policies for Norfolk and Suffolk Constabularies for police officers and police staff to be developed. The updated expenses policies to be placed on the intranet.	2	New Conditions of Service for Police Staff are to be introduced from April 2017 (this was expected to be implemented in October 2016 but was delayed nationally). As a result we will take this opportunity to revise once the new Conditions have been agreed and implemented.	Head of Transactional Services	30/06/2017	31/12/2017	The recommendation was initially assigned to the Director of HR, it has since been discussed through a meeting with HR and finance that it would be more appropriate for the recommendation to be assigned to finance.
NSC1716 Pensions Administration	The payroll system to be investigated to establish if a report can be run to calculate pensionable pay for staff.	2	The pension contributions are set at system level and the appropriate contribution is deducted from the employee in accordance with their pensionable pay each month. I accept that we cannot check this at a global level, however I am confident that the deductions made are correct at an employee level and the necessity for a pensionable pay figure is not considered as a significant issue. However when reporting for ERP is reviewed then this will be considered as part of the requirements.	N/A	01/03/2017	31/03/2018	No further update, awaiting update of ERP.

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
NSC1806 Transport Services – Use of Vehicles	The Suffolk pool car booking system be investigated to prevent users from being able to block book pool cars for more than one week.	2	A new joint pool car booking system is scheduled for development November 2017. This is part of the joint intranet project. Additional functionality such as the inability to block book vehicles will be built into the system. ICT will not make changes to the current booking system due to the pending new one. Spot checks will be carried out prior to the new system becoming available, by 01/09/17.	Head of Transport	01/09/2017	31/12/2017	There has been a delay in implementation of the recommendation, as the new pool car booking system is yet to be implemented.