

Appendix 2: Audit and Inspection Actions Update Report

Quarter 3:
2015/16

NB. Actions include those arising from recommendations highlighted by audit or inspection

Summary	Current	Previous	Trend
Action(s) off target	0	2	↓
Action(s) at risk of being off target	0	0	→
Action(s) proposed for closure	0	1	↓
New Action(s)	18	13	↑
Total closed action(s)	13	38	↓
Total actions	31	54	↓

RAG Key

On target to deliver within constraints, including target completion date, budget and resource allocated. It is also anticipated that any expected efficiency savings will be met. No further action required at this time.

At risk: It is anticipated that there will be some slippage from the original target completion date and / or other constraints such as budget, available resource or expected efficiency saving. To be highlighted to the Portfolio Board as an issue for monitoring.

Off target: Target date and / or other constraints such as budget or available resource have been exceeded, or it is anticipated that an expected efficiency saving will not be met. Issue to be highlighted to the Portfolio Board and corrective action sought to meet business objectives.

Action(s) off target						
Target date	Action	Manager Responsible	Source originator.	Source title	Action Status	Action update
No actions off target						
Action(s) at risk of being off target						
Target date	Action	Manager Responsible	Source originator.	Source title	Action Status	Action update
No actions at risk of being off target						
Proposed for closure.						
No actions proposed for closure						

Closed Actions

31/08/2015	<p>Action:</p> <p>Undertake a review (jointly with children's social care services and other relevant agencies) of how it manages the detention of children. This review should include, as a minimum, how best to:</p> <p>a) improve custody staff awareness of child vulnerability and child protection;</p> <p>b) improve risk assessments to reflect the needs of children and the support they require at the time of detention and on release;</p> <p>c) ensure that all staff act within the law so that all children are only detained when absolutely necessary and for the absolute minimum amount of time;</p> <p>d) assess at an early stage the likely need for secure or other accommodation, and work with children's social care services to achieve the best option for the child;</p> <p>e) ensure that children detained under section 136 of the Mental Health Act are only detained in police custody as a last resort, for a minimum amount of time, are regularly checked and receive the services of the mental health nurse; and</p> <p>f) ensure specific additional consideration is given to using family members as appropriate adults for children detained under section 136 of the Mental Health Act, and parental support and personal attendance at the custody suite are encouraged.</p>	T/Insp Jane Stubbs	HMIC	National Child Protection Sept 2014	Closed	<p>Update 15/12/2015 Ch Insp P Baker Custody North:</p> <p>c) ensure that all staff act within the law so that all children are only detained when absolutely necessary and for the absolute minimum amount of time</p> <p>All Custody Sergeants have been briefed and the following forms part of the amended EMCJS Custody Procedure "Children and Young People should only be detained in Custody when absolutely necessary; Custody staff must be rigorous in their questioning of the arresting officer to ensure the authorisation of detention is essential. This must be fully document and their continued detention regularly reviewed to ensure they are detained for the absolute minimum amount of time." A monthly audit of 10% of the Children and Young people detained in Custody will take place to ensure the principle is being adhered to.</p> <p>d) assess at an early stage the likely need for secure or other accommodation, and work with children's social care services to achieve the best option for the child</p> <p>The link forms part the EMCJS procedures http://intranet.leics.emrn.pnn.police.uk/cms/admin/files/uploads/Regionalguidelinesonthedetentionofchildreninpolicecustody.pdf It sits on the website in it's own section for the Detention of Children along side the chapter on Authorised Professional Practice and contains the following:</p> <p>"The custody officer will prompt the OIC to inform the Local Authority at an early stage if there is an expectation that a child will be remanded into police custody, as this facilitates the process of providing accommodation. The table overleaf provides a summary of the roles and responsibilities required when dealing with children detained in police custody."</p> <p>All staff have been provided with the link and the message contained with in it.</p> <p>DCC Fish Scrutiny 29/12/2015: Ch Insp Phil Baker update noted and accepted. I support closure.</p>
	<p>Action:</p> <p>Develop with the help of planning and policy (and inked to work on Child Sexual Exploitation) an action plan to improve CSE investigations, paying particular attention to:</p> <p><input type="checkbox"/> improving staff awareness, knowledge and skills in this area of work;</p> <p><input type="checkbox"/> ensuring a prompt response to any concern raised;</p> <p><input type="checkbox"/> undertaking risk assessments that consider the totality of a child's circumstances and risks to other children; and</p> <p><input type="checkbox"/> improving the oversight and management of cases (to include auditing of child abuse and exploitation investigations to ensure that standards are being met).</p>	DI Peter Quinn	HMIC	National Child Protection Sept 2014	Closed	<p>DCC Fish Scrutiny 30/10/15 - CSE strategy agreed at FEB.</p> <p>The accompanying action plan will be managed by ACC Torr through Public Protection Meetings. Agreed to close action.</p>
4/1/2016	<p>Action:</p> <p>(a) Police Forces should ensure, within three months, that: all violent offenders managed at MAPPA level 2 and 3 are allocated a named police offender manager.</p> <p>(b) Neighbourhood policing teams are made fully aware of Registered Sex Offenders (RSO) living within their policing areas.</p>	Supt Helen Chamberlain	CJJI	A Follow-up Inspection of Multi-Agency Public Protection Arrangements	Closed	<p>No action required.</p> <p>(a) All level 2/3 cases will now have a named police officer. If it is a Registered Sex Offender, the MOSOVO team will allocate a named officer.</p> <p>In Domestic Violence (DV) cases DV officers will be the named officer. YOT officers will be the named officers for youth managed at these levels. The Integrated Offender Management Team have agreed to provide named officers to manage their cases. This relates to named officers allocated to all level 2/3 cases.</p> <p>Level 3 Mappa cases will always have a MOSOVO or DV named officer</p> <p>In terms of level 2, if the named officer is not from the MOSOVO team, DV teams or Vanguard teams, the IOM will allocate a named police officer to these cases. In the unlikely event that the IOM team cannot assist then MOSOVO would allocate a member of staff to manage the level 2 nominal</p> <p>(b) There is a user guide on how to retrieve this information on the Public Protection page on the intranet under the Dangerous Person's Management Unit section. Officers can access a step by step user guide on how to search for an RSO in their area. This user guide will be republished.</p> <p>DCC scrutiny 29/12/2015 Supports no action required.</p>
31/1/2016	<p>Action: Review immediately the operation of the witness care unit in relation to the updating of victims. If required, the force should implement an action plan to ensure service improvement.</p>	Janet Carlin	HMIC	Crime Inspection 2014 Nottinghamshire Police.	Closed	DCC Fish Scrutiny: 05/01/2016: Report from Witness Care Manager scrutinised. Support completion.
03/12/15	<p>The primary objective of the inspection is to ensure that the system in place for acquiring communications data is sufficient for the purposes of the Act and that all relevant records have been kept; ensure that all acquisition of communications data has been carried out lawfully and in accordance with the Human Rights Act (HRA), Chapter 2 of Part I of RIPA and its associated Code of Practice (CoP); and, provide independent oversight to the process and check that the data which has been acquired is necessary and proportionate to the conduct being authorised.</p>	Ch Supt Helen Jebb	Interception of Communications Commissioners Office	Inspections under Chapter 2 of Part 1 of RIPA	Closed	DCC Fish approval 03/12/2015. No activity to take forward.

30/11/2015	An audit of Key Financial Controls was undertaken as part of the approved internal audit periodic plan for 2014/15.	David Machin	Baker Tilly	Key Financials	Closed	No actions to take forward as recommendations superseded due to organisational change. All actions implemented.
31/8/2015	Action: Benchmark our capability against the 'Digital Crime and Policing' study published by HMIC. If necessary develop an action plan on any gaps identified against the threat, harm proportionality and cost.	D Supt Mark Pollock	HMIC	Real lives, real crimes. Digital Crime and Policing	Closed	15/12/2015: DCC Fish supports completion. Mark Pollock closing comments noted.
30/11/2015	Action: Provide a response of this HMIC report to DCC Fish.	Ch Supt Helen Jebb	HMIC	Witness for the prosecution: Identifying victim and witness vulnerability in criminal case files.	Closed	Response to DCC Fish sent on 11/11/2015 from Helen Jebb and Julia Debenham. No actions to take forward. DCC Fish Scrutiny 24/11/2015 supports completion.
08/12/2015	Action: Regional Criminal Justice Board (RCJB) to respond on behalf of policing. Sara Virr (Business Manager for RCJB) is providing this response.	Ch Supt Julia Debenham	CJJI	Working in step? Local criminal justice partnerships.	Closed	DCC Fish Scrutiny 08/12/1025. Leah Johnsons comment noted. DCC Fish supports completion.
31/01/2016	Action: The Force to provide a written response to the recent HMIC inspection “Building the Picture: An Inspection of Police Information Management” to update HMIC on our own forces position against the six force recommendations. It is important to note some significant National and Regional proposals and initiatives that will have a direct effect on the management of some Nottinghamshire Police Information Systems in the short and medium term.	Pat Stocker (Information Security Manager)	HMIC	Building the Picture: An Inspection of Police Information Management.	Closed	DCC Fish Scrutiny 08/12/2015: HMIC have been sent a response. DCC Fish is satisfied with the governance and activity around these recommendations
30/11/2015	Baker Tilly have undertaken a review to follow up progress made by the Nottinghamshire Office of the Police and Crime Commissioner and Nottinghamshire Police Force to implement previous internal audit recommendations.	Martin Bakalarczyk	Baker Tilly	Follow Up	Closed	Staff members responsible for the implementation of recommendations were interviewed to determine the status of agreed actions. Where appropriate, audit testing has been completed to assess the level of compliance with this status and the controls are in place. DCC Fish supported completion of original activity on various dates.
31/05/16	Action: EMCJS to carry out a review and research into what costs or delays would be incurred to engage with partners and the CPS to record the rationale and information on: - take no further action or - proceed by way of an out of court disposal. To include the following information: • the decision-maker’s application of the full Code for Crown Prosecutors test; and • in relevant cases, consideration of the gravity matrix, and, that wherever possible, that record is included on the MG3 form.	Ch Supt Julia Debenham	CJJI	Provision of Charging Decisions	Closed	Update Leah Johnson 11/12/2015: Discussed at Prosecution Team Performance Meeting and decision is not to adopt this as it was overly bureaucratic. The MG3 is intended for charging matters and would involve the OIC relating the facts and evidence of the offence in detail in writing along with details of persons and events required for the form for no benefit and that this form must take approx.. 20 minutes. to complete. Notts record the NFA decision on the system at no opportunity cost to the officer and this is reportable as it is on a system – the MG3 would not be therefore the approach as it is bureaucratic for the OIC and is of no benefit to the force. Proposed for closure. DCC Fish Scrutiny 13/01/2016. Supports completion.
31/12/2015	Action: Present the new NCALT package to the Training Panel for a decision to adopt for local delivery.	Ch Supt Julia Debenham	CJJI	Provision of Charging Decisions	Closed	Update 04/01/2016 Leah Johnson via email to BT: Presented by Terri Mitchinson and agreed at the Training Priorities Panel for March /April go live and to be launched by EMCHRS. Leah Johnson has written the communication for the intranet. The force lead is CH Supt Jebb. Proposed for closure. DCC Fish Scrutiny 13/01/2016. Supports completion.
New Actions						
31/3/2016	Action: Review and develop a scorecard through the VOLT and the regional EMCJS process. Update the procedure to make reference to the scorecard and communicate the changes.	Ch Supt Julia Debenham	CJJI	Provision of Charging Decisions	On Target	No update.
30/4/2016	Action: Discuss with the CPS Management Information lead and incorporate in the re write of the Prosecution Team Performance Meeting (PTPM) data. This will be formally launched at the regional PTPM Conference on 8th March 2016 with a go live date of April 2016. Incorporate locally.	Ch Supt Julia Debenham	CJJI	Provision of Charging Decisions	On Target	Update will not be available until April.
31/02/2016	Action: Re-write the Firearms Licensing Procedure to include information on the effective audit and monitoring process as required by the Authorised Professional Practice (APP)	D Supt Mark Pollock	HMIC	Firearms Licensing: Targeting the Risk	On Target	Update David White via telephone conversation to BT (13/01/2016: Procedure sent to Martin Bakalarczyk for formatting. Procedure to be sent out for final consultation, prior to publication.

30/4/2016	<p>Action: Work is currently in the testing phase between the force and the service provider.</p> <p>Action (13.1): Complete tests on a link between VISION and the National Firearms Database so that officers know in advance that firearms are at a given location.</p> <p>Action (13.2): Update the Firearms Licensing Procedure to make reference to dispatching, risk assessments their use of power and when appropriate to seize firearms and certificates.</p> <p>Action (13.3): Communicate the new procedure through weekly orders.</p>	D Supt Mark Pollock	HMIC	Firearms Licensing: Targeting the Risk	On Target	Update: Delays occurring due to information not forthcoming from CAPITA our external provider. This cannot progress until extract received. IS chasing.
31/5/2016	Action: Within three months, all chief constables should review the demand placed on their firearms licensing department to ensure it has the capacity to meet this demand and provide an efficient and effective service at all times	D Supt Mark Pollock	HMIC	Firearms Licensing: Targeting the Risk	On Target	Update 24/12/2015: Currently business case being prepared to establish staffing to fill vacancies - delay in this area due to Strategic Alliance considerations which were announced week ending 25th December - work in progress
30/4/2016	Action:- Superintendent to work with Management Information to develop an effective performance management framework, to monitor the activity and impact of the IOM scheme. A full performance protocol and framework needs to be agreed, introduced and evaluated.	Supt Adrian Pearson	Mazars	Integrated Offender Management	On Target	<p>Update 12/01/2016: A system has been developed by Management Information to monitor the activity and impact of the IOM scheme. With the IOM department for testing and further development.</p> <p>There is a national piece of work in progress to utilise the IDIOM system to provide near real time reoffending data for the IOM cohorts. Locally MI have developed a method of creating cohorts which can in the future be checked through IDIOM to identify specific IOM performance. The data will be harvested from admission/selection meetings from Q1 2016 onwards. It is hoped that this will provide a short to medium term solution whilst the longer term project around IDIOM is done.</p>
30/4/2016	Action:- Staff to be briefed on the importance of recording the rationale for decision making. Dip sampling to be undertaken 3 monthly to ensure compliance	Supt Adrian Pearson	Mazars	Integrated Offender Management	On Target	Update David Cain 05/01/2016: This issue was raised during the audit. It was addressed immediately. A full rationale for selection and / or de-selection is now given by the chair of the IOM selection meeting and recorded contemporaneously. A plan is in place to transfer all police meetings and case management to the E-CINS platform for IOM.
30/4/2016	<p>Action:- Nottinghamshire Police to work with OPCC and partners to develop a public-facing strategic document to raise awareness and the positive impact of IOM.</p> <p>"IOM" is inherently a partnership approach, with Nottinghamshire Police and the OPCC significant contributors to it, but it remains firmly a multi-agency asset. Therefore, any strategy document needs to be positioned at that level, not at a single agency level</p>	Supt Adrian Pearson	Mazars	Integrated Offender Management	On Target	Update Adrian Pearson 05/01/2016: A full review of IOM has been on-going since April 2015, which is due to report in April 2016. The key issue in not making quicker progress has been the reality of the new Transforming Rehabilitation arrangements, specifically the National Probation Service and Community Rehabilitation Company. Centrally the new cohort of offences/offenders to be subject of the IOM approach has to be agreed by all parties, and has complicated interdependencies.
31/1/2016	Action:- Communication strategy incorporating the requirement of a Victim Personal Statement to be written and cascaded to relevant staff. Significant changes to be outlined and communicated via Weekly Order.	T/Ch Insp Andrew Goodall	Mazars	Victim Code of Practice	On Target	Update 24/12/15: NICHE will offer the ability to record this at the point of initial input on to the system. This will form part of the forthcoming communication strategy.
31/1/2016	Action:- Communication strategy incorporating the requirement for a needs assessment to be written and cascaded to relevant staff. Significant changes to be outlined and communicated via Weekly Order. Ensure victim figures are available and presented as part of the divisional OPR performance packs for monitoring and corrective action	T/Ch Insp Andrew Goodall	Mazars	Victim Code of Practice	On Target	Update 24/12/15: NICHE will offer the ability to record the victim needs assessment as part of the initial input on to the system. This has been re-enforced through module 4 of the NICHE training, and will be further re-enforced by the forthcoming communications strategy
30/6/2016	Action:- Contact EMCHRS and ensure they provide 6 monthly updates on who has completed Compliance with the Code Training. This to be circulated to Heads of Department for appropriate action.	T/Ch Insp Andrew Goodall	Mazars	Victim Code of Practice	On Target	Update 24/12/15: On-going. All officers undertaking module 4 of the NICHE training will receive/have received additional VCOP training.
31/1/2016	Action:- Communication strategy to be written regarding updating victims and cascaded to relevant staff. Significant changes to be outlined and communicated via Weekly Order	T/Ch Insp Andrew Goodall	Mazars	Victim Code of Practice	On Target	Update 24/12/15: Still awaiting formal notification of the new amendments to the code. Once received the communications message will be disseminated. NICHE will offer the ability to record contact detail.
31/3/2016	Action: Work to be undertaken to identify specialist agencies able to provide additional support to victims. This to be communicated via the Communication Strategy and reiterated in a Weekly Order	T/Ch Insp Andrew Goodall	Mazars	Victim Code of Practice	On Target	Update 24/12/15: A list of support agencies for the city has been compiled. Work is on-going to identify if there is a similar list for the County, and if not work will be needed to compile it. The intention will then be to identify the best way of ensuring universal access to the lists for all officers.
31/1/2016	Action: Work to be undertaken to identify specialist agencies for whom victims can be referred too. This to be communicated via the Communication Strategy and reiterated in a Weekly Order. Ensure Niche incorporates the requirement to record any specialist referrals.	T/Ch Insp Andrew Goodall	Mazars	Victim Code of Practice	On Target	Update 24/12/15: A list of support agencies for the city has been compiled. Work is on-going to identify if there is a similar list for the County, and if not work will be needed to compile it. The intention will then be to identify the best way of ensuring universal access to the lists for all officers.
31/1/2016	Action:- Communication strategy to be written regarding the necessity a Victims Code of Practice Working sheet and cascaded to relevant staff. Significant changes to be outlined and communicated via Weekly Order. Ensure victim figures are available and presented as part of the divisional OPR performance packs for monitoring and corrective action	T/Ch Insp Andrew Goodall	Mazars	Victim Code of Practice	On Target	Update 24/12/15: NICHE will offer the ability to record the victim needs assessment as part of the initial input on to the system. This has been re-enforced through module 4 of the NICHE training, and will be further re-enforced by the forthcoming communications strategy.

31/3/2016	Action: Review and update the Victim Information Pack in line with the new amendments. Outline amendments in Communication Strategy and publish on internet. Confirm changes via Weekly Order	T/Ch Insp Andrew Goodall	Mazars	Victim Code of Practice	On Target	Update 24/12/15: The VIP needs updating with the new code amendments (not yet formally known) as well as the detail with regard to Right to Review, to which this action refers. Once all new detail is known, the pack and website will be updated. NICHE will offer the ability to record the provision of a pack, or referral to the website.
31/1/2016	Action:- Communication strategy to be written incorporating the preferred method and frequency of contact and cascaded to relevant staff. Significant changes to be outlined and communicated via Weekly Order. Ensure victim figures are available and presented as part of the divisional OPR performance packs for monitoring and corrective action	T/Ch Insp Andrew Goodall	Mazars	Victim Code of Practice	On Target	Update 24/12/15: NICHE will offer the ability to record nature and frequency of contact. This will form part of the forthcoming communication strategy.
31/1/2016	Action: Review and update the Victim Information Pack in line with the new amendments. Outline amendments in Communication Strategy and publish on internet. Confirm changes via Weekly Order	T/Ch Insp Andrew Goodall	Mazars	Victim Code of Practice	On Target	Update 24/12/15: Still awaiting formal notification of the new code amendments. Once received these will be incorporated into the VIP, and added to the website. NICHE will offer the ability to record the provision of a pack, or referral to the website.