

<b>For Information</b>	
<b>Public/Non Public</b>	<b>Public</b>
<b>Report to:</b>	<b>Audit and Scrutiny Panel</b>
<b>Date of Meeting:</b>	<b>12<sup>th</sup> December 2013</b>
<b>Report of:</b>	<b>ACO, Resources</b>
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<b>Agenda Item:</b>	<b>7</b>

## **Audit & Inspection**

### **1. Purpose of the Report**

- 1.1 To provide the Audit and Scrutiny Panel with an update on the status of audits and inspections taking place in Force. This report also informs the Panel of expected future audits and inspections.

### **2. Recommendations**

- 2.1 That the Audit and Scrutiny Panel note the progress made against audit and inspection recommendations.
- 2.2 That the Audit and Scrutiny Panel take note of forthcoming audit and inspections.

### **3. Reasons for Recommendations**

- 3.1 To enable the Audit and Scrutiny Panel to fulfil its scrutiny obligations to oversee and consider Force arrangements to deliver against audits and inspections.

### **4. Summary of Key Points**

- 4.1 The actions outlined in this report are the result of recommendations made by the Force's internal auditor Baker Tilly (formerly RSM Tenon) and external inspectorates, such as Her Majesty's Inspectorate of Constabulary (HMIC) and Criminal Justice Joint Inspectorate (CJJI). They are managed through the Force Action Plan process and reported at the Chief Officer Portfolio Boards on a monthly basis.
- 4.2 In line with the Force's new meeting structure an update on audit and inspection will also be given at the Corporate Governance Board.

#### **4.3 Status of actions arising from audits and inspections**

4.4 Appendix 1 outlines the status of all live actions arising from audits and inspections and those completed in Quarter 2.

#### **4.5 Completed actions**

4.6 Appendix 2 outlines all the actions arising from audits and inspections that have been completed during Quarter 2.

#### **4.7 Delayed or overdue actions**

4.8 There are 2 actions arising from audit and inspection that are currently delayed:

- **Criminal Justice Joint Inspection Report on Unannounced Visit to Custody Suites**

**Action:** Provide assurance that provider has in place an audit programme for all medical records to monitor compliance with the Data Protection Act and Caldicott guidance.

**Comment:** G4S have started to provide performance information and review medical records. However they have not yet provided a timetable of audits and inspections. This will be chased up for the next meeting Corporate Services Meeting.

- **Corporate Governance Improvement Plan.**

**Action:** Establish, communicate and implement a partnership policy to include a partnership working definition and adherence to the criteria according to the CIPFA guidance.

**Comment:** Natalie Baker (Strategic Support Officer) met with ACC Torr to discuss taking this forward. Natalie Baker has since met with Steve Cooper and Emma Orrick at City and now have clear objectives.

#### **4.9 Recent Audits and Inspections.**

**Baker Tilly – Governance. Financial Governance.** Taking account of the issues identified, the Nottinghamshire Office of the Police and Crime Commissioner and Nottinghamshire Police can take substantial assurance that the controls upon which the organisation relies to manage this area are suitably designed, consistently applied and effective.

**Baker Tilly – Equality & Diversity.** Taking account of the issues identified, the Nottinghamshire Office of the Police & Crime Commissioner and Nottinghamshire Force can take substantial assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied and effective.

**Baker Tilly – Payroll and Expenses.** Taking account of the issues identified, the Nottinghamshire Office of the Police & Crime Commissioner and Nottinghamshire Force can take substantial assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied and effective.

**HMIC – Strategic Policing Requirement.** Awaiting final report.

#### **4.10 Forthcoming audits and inspections**

4.11 There is currently one inspection confirmed for Quarter 3:

- **HMIC: Making Best Use of Police Time.** (2<sup>nd</sup>–5<sup>th</sup> December 2013). Three related areas of business will be drawn together to form this inspection: preventative policing, police attendance and freeing up police time. This inspection programme will provide a national assessment, against the austerity backdrop, of how effective forces are at preventing crime, responding to calls for service from the public and how they create additional capacity to focus on activities that are key to reducing crime and improving public satisfaction and confidence.

4.12 No audit and inspections have been confirmed for Quarter 4.

### **5 Financial Implications and Budget Provision**

5.1 There are no direct financial implications. If financial implications arise from recommendations raised from audits, inspections and reviews these implications are considered accordingly. Where an action cannot be delivered within budget provision, approval will be sought through the appropriate means.

### **6 Human Resources Implications**

6.1 There are no direct HR implications. Where an audit or inspection has Human Resources implications, these will be managed through the Force Action Plan.

### **7 Equality Implications**

7.1 There are no direct equality implications. Any equality implications which arise from an audit or inspection recommendation will be managed on an individual basis.

### **8 Risk Management**

8.1 There is a risk to Force reputation, if mandatory or agreed actions identified as a result of audit or inspections are not completed. The degree of risk will depend upon the nature of the audit or inspection and will be assessed on a case by case basis.

## **9 Policy Implications and links to the Police and Crime Plan Priorities**

- 9.1 Where an audit or inspection recommends changes to Force Policy or Strategy, those changes will be managed through the Force Action Plan.

## **10 Changes in Legislation or other Legal Considerations**

- 10.1 Where an audit or inspection relates to a change in Legislation or other legal considerations, those changes will be managed through the Force Action Plan.

## **11 Details of outcome of consultation**

- 11.1 This process for monitoring audits, inspections and reviews has been agreed by the Business Planning Group and approved by the COT.
- 11.2 Issue owners are consulted through the action monitoring process.

## **12. Appendices**

- 12.1 Appendix 1: Status of actions arising from audits and inspections - Quarter 2  
Appendix 2: Summary of actions completed during Quarter 2.

## Appendix 1. Audit and Inspection Action Status Report - Quarter Three

Status Key		Definition							
Red – Overdue		The action has passed its urgency deadline date and requires urgent review							
Amber - Delayed		The action has passed its estimated completion date and requires review							
Green – Active		The action is likely to be completed by its estimated completion date							
Title	Scrutiny Body	Audit / Inspection	Chief Officer Lead	Total number of actions	Number overdue	Delayed	Active	Number completed	Status
Appendix D of IL3 RMADs - Executive Summary Of IT Health-check and Action Plan	National Computer Centre Group Ltd.	Audit	ACO Monckton	11		1	10		On going
Procurement - Programme of Change	RSM Tenon	Audit	ACO Monckton	7		2		5	On going
Culture Review	RSM Tenon	Audit	ACO Monckton	2			2		On going
Proceeds of Crime Act Audit Report 01.11/12	RSM Tenon	Audit	ACO Monckton	7			1	6	On going
Criminal Justice Joint Inspection Report on Unannounced Visit to Custody Suites	HMIP / HMIC	Inspection	ACO Monckton	38		1		37	On going
Nottinghamshire Police (Airwave and ICT) Cryptographic Account Inspection. 25th March 2013.	CESG (Department within GCHQ)	Inspection	ACO Monckton	9		6	1	2	On going
Nottinghamshire Police IL3 Network	National Police Information Risk Management Team.	Inspection	ACO Monckton	6		4	2		On going
Report on an inspection visit to police custody suites in Nottinghamshire. 12-16 March 2013	HMIC	Inspection	ACC Jupp	1			1		On going
Key Financial Controls	RSM Tenon	Audit	ACO Monckton						Complete

NOT PROTECTIVELY MARKED

Title	Scrutiny Body	Audit / Inspection	Chief Officer Lead	Total number of actions	Number overdue	Delayed	Active	Number completed	Status
Local Policing Plan Audit 2012	RSM Tenon	Audit	ACC Torr						Complete
Partnerships Governance 2012	RSM Tenon	Audit	ACO Monckton						Complete
				81	0	14	17	50	

NOT PROTECTIVELY MARKED

## Appendix 2: Completed Actions

Date added (Month / Year)	Source type	Source originator	Source title	Recommendation or area for improvement	Manager responsible	Action / Project (or manager's comment to support no action)	Estimated completion date	Action / Project update	Chief Officer	ACC / ACO Board decision	DCC Decision
21/05/2013	Audit	RSM Tenon	Procurement - Programme of Change	1a. As planned by the Commercial Director, a review of all savings should be completed which clearly identifies revenue savings and their quantum. We recommend that these savings are stripped out of the main saving plan and reported separately, as revenue savings are a critical success factor to the Programme of Change.	Ronnie Adams (Commercial Director Procurement)	1a. Monitor, track and report on a monthly basis to the Corporate Services Programme Board the target of 10% savings to be made on all procurement projects.	31/07/2013	Update 12/07/2013 MI pack given to BT. Evidence on page 3 under heading 'Savings'	ACO Monckton	ACO scrutiny 03/07/2013	DCC Scrutiny 17/07/2013. Supports completion.
21/05/2013	Audit	RSM Tenon	Procurement - Programme of Change	2. Profile the revenue savings into the year, month or quarter they will be actually delivered, to ensure the relevant Finance Directors have clarity when budgets can be reduced. In addition, individual sign off from each regional Finance Director should be obtained.	Ronnie Adams (Commercial Director Procurement)	Design a savings capture report and present monthly to the Corporate Services Programme Board.	31/07/2013	Update 12/07/2013 MI pack given to BT. Evidence on page 3 under heading 'Savings'	ACO Monckton	ACO scrutiny 03/07/2013	DCC Scrutiny 17/07/2013. Supports completion.
21/05/2013	Audit	RSM Tenon	Procurement - Programme of Change	3. Continue to measure the savings from within the Unit, but agree a protocol with each Finance Director to agree and sign off when the saving has been achieved and furthermore that the Finance Director has taken action to reduce the relevant budget.	Ronnie Adams (Commercial Director Procurement)	Head of Procurement Services to meet with Heads of Finance within each force to agree protocols for signing off savings on a monthly basis.	30/06/2013	Update 12/07/2013 MI pack given to BT. Evidence on page 3 under heading 'Savings'	ACO Monckton	ACO scrutiny 03/07/2013	DCC Scrutiny 17/07/2013. Supports completion.
21/05/2013	Audit	RSM Tenon	Procurement - Programme of Change	1b. As planned by the Commercial Director, a review of all savings should be completed which clearly identifies revenue savings and their quantum. We recommend that these savings are stripped out of the main saving plan and reported separately, as revenue savings are a critical success factor to the Programme of Change.	Ronnie Adams (Commercial Director Procurement)	1b. Monitor, track and report on a monthly basis to the Corporate Services Programme Board income generation opportunities from suppliers.	31/03/2013	Update 12/07/2013 MI pack given to BT. No evidence available. Will be added JC to confirm.  Update 31/07/2013 WH. This has been added to the MI pack. This will be presented at the Corp Services Board meet on the 7th August.  Update 01.08.13: Currently being worked on and on schedule to be included in the August MI Pack, BT to be included in the distribution list as agreed with WH 31.07.13. Complete	ACO Monckton	ACO scrutiny 07/08/2013 WH sent evidence through. BT presented to MM. Supports completion.	DCC Scrutiny 16/08/2013. Supports completion.
August 2012	Inspection	Office of Surveillance Commissioner		In relation to the Level I TSUs.  3) A suitably robust audit process must be established to ensure integrity of purpose and accountability of equipment held.	Det Supt Mark Pollock (Head of Intelligence Crime and Justice)	3) An audit regime will form part of any centralised structure and plans are in place for the CAB to provide training to the TSU staff.	31/08/2013	7/3/13 TSU has been subject of a dip test reported in the most recent SRO audit submitted to ACC Waterfield on 7/3. Full compliance was found. A more extensive audit will be conducted for the next quarterly SRO audit but it is recommended that this action can be closed.  Update Gary Newton 29/05/2013 email to BT. Draft audit to be sent to Supt Mark Pollock by 07/06/2013 and final audit to be completed by 14/06/2013.  Update 10/7 As per Email to BT 30/6. MP  Update 11/8 As per Email to BT 11/8 MP	ACC Jupp	11/06/2013. Update from MP. Gary Newton has presented the extra evidence to the DCC. ACC Supports completion.  11/07/2013 ACC Scrutiny HJ Chair	DCC scrutiny 16/08/2013. Evidence seen. Supports completion.
30/10/2012	Audit	RSM Tenon	Partnerships Governance	The Independent Advisory Groups webpage on the Force's Public website should be updated to reflect the latest adopted structure.	Matt Tapp ( Head of Corporate Communications)	Update the Independent Advisory Groups webpage on the Force website to relect the latest adopted structure.	31/08/2013	Update 09/09/2013 JH via email: The IAG information is now on the new website, which was launched on 9 August 2013. <a href="http://www.nottinghamshire.police.uk/iags">http://www.nottinghamshire.police.uk/iags</a> This action is now complete.	DCC Fish	ACC Scrutiny 17/05/2013.  Extension to target completion date supported.	DCC scrutiny 12/09/2013. Supports Completion.
March 2012	Audit	RSM Tenon	Local Policing Plan Audit 02.11/12	1.2 The Website should be updated to reflect the most current neighbourhood structures, and the current priorities, progress, actions and successes for each.	Matt Tapp ( Head of Corporate Communications)	Update the website to reflect the most current neighbourhood structures, and the current priorities, progress, actions and successes for each.	31/10/2013	Update 09/09/2013 JH via email: This information is now shown on the new website and will continue to be reviewed and updated. It was launched on 9 August 2013. <a href="http://www.nottinghamshire.police.uk/neighbourhoods">http://www.nottinghamshire.police.uk/neighbourhoods</a> This action is now complete.	DCC Fish	ACC Scrutiny 17/05/2013.  Extension to target completion date supported.	DCC scrutiny 12/09/2013. Supports Completion.

01/08/2013	Inspection	HMIC	ASB re visit advisory	Neighbourhood teams, and officers engaged on some ASB operations receive calls directly from local residents which do not always result in the creation of an incident record or of an entry into other force systems to inform the corporate knowledge base.	Supt Richard Fretwell (Operational Support County North)	Review and update the asb policy to reflect the need to create an incident record or an entry into a force system in every occasion of reporting.	31/08/2013	Update PW 07/09/2013 via email: I had commenced a piece of work to revise the ASB and Neighbourhood Policing Policies I have been asked to put this on hold. The reason for this is that Mr Fretwell has now been given the lead for 2 work streams in the new change programme. One of those is the ASB theme and as a result of this there may be a number of revisions that are required to both of the above policies.	ACC Torr	ACC Scrutiny Supt Nickless chair. 22/08/2013.  Chris Cutland and Phil Gilbert raised the issue of where is the scrutiny of the PCC asb and DV actions? BT to contact.	DCC scrutiny 12/09/2013.The personal and direct contact is important. All relevant staff now know that the creation of an incident log on every occasion is important and should be done. Please show this as complete.
01/08/2013	Inspection	HMIC	ASB re visit advisory	1b) Repeat victims in cases which had previously been recorded by the force are identified at the point of report; however cases where previous incidents have not been reported are often not identified through initial questioning of the victim.	Supt Richard Fretwell (Operational Support County North)	Update the Anti-Social Behaviour Policy (PS 139) to reflect the importance of identifying repeat victims.		Update PW 07/09/2013 via email: I had commenced a piece of work to revise the ASB and Neighbourhood Policing Policies I have been asked to put this on hold. The reason for this is that Mr Fretwell has now been given the lead for 2 work streams in the new change programme. One of those is the ASB theme and as a result of this there may be a number of revisions that are required to both of the above policies.	ACC Torr	ACC Scrutiny 26/09/2013. C. Cutland has met with Supt Chamberlain and reality checked the action plan. Nothing to reort. Supt Anderson and Nickless to contact Supt Fretwell re ASB to reality check and update BT.	DCC Scrutiny 07/10/2013. BT presented evidence to DCC to prove these processes are in place. (audit) DCC asks for this to be taken off the force action plan.
01/08/2013	Inspection	HMIC	ASB re visit advisory	2b) The identification of vulnerable victims at the point of report is inconsistent. Current systems requiring probing by the call taker are not effectively applied or monitored. This is affecting the analysis of threat and risk and the response provided to particular victims	Supt Richard Fretwell (Operational Support County North)	Update the Anti-Social Behaviour Policy (PS 139) to reflect the importance of identifying vulnerable victims.		Update PW 07/09/2013 via email: I had commenced a piece of work to revise the ASB and Neighbourhood Policing Policies I have been asked to put this on hold. The reason for this is that Mr Fretwell has now been given the lead for 2 work streams in the new change programme. One of those is the ASB theme and as a result of this there may be a number of revisions that are required to both of the above policies.	ACC Torr	ACC Scrutiny 26/09/2013. C. Cutland has met with Supt Chamberlain and reality checked the action plan. Nothing to report. Supt Anderson and Nickless to contact Supt Fretwell re ASB to reality check and update BT.	DCC Scrutiny 07/10/2013. BT presented evidence to DCC to prove these processes are in place. (audit) DCC asks for this to be taken off the force action plan.
March 2012	Inspection	HMIP / HMIC	Criminal Justice Joint Inspection Report on Unannounced Visit to Custody Suites	7.13 The call bell system at Nottingham should be replaced or refurbished.	Tim Wendels (Head of Estates & Facilities Management)	Replace the call bell system at the Bridewell.	30/06/2013	Update DH to BT via email 19/08/2013. The installation of the workstations for the new cell call and CCTV equipment will begin to be installed by Information Services next week, at Newark Custody, and if the installation is successful and runs for a week without any complications, the workstations at Mansfield and Bridewell will be fitted a couple of weeks later.  When all the workstations are installed, the contractor who has installed the cell call and CCTV equipment will be able to use the workstations to configure the new cell call and CCTV systems and then provide custody staff with the appropriate training. There has not been any dates agreed, at this stage, for the contractor carry out the configuration and training until the first workstation has been successfully installed by Information Services.	ACO Monckton	ACO Scrutiny 05/09/2013. ST Chair.	DCC scrutiny 12/09/2013. Show this as complete I visited last week and the call bell is working.
March 2012	Audit	RSM Tenon	Key Financial Controls Audit 2011	6.2 An Asset Management Policy should be developed, in accordance with the Financial Regulations, which clearly details the process and requirement of the Authority in relation to the disposal of assets. In addition, the Asset Management Policy should also provide detail on the maintenance of the asset register, annual verification responsibilities and outlining the account treatment of assets and the depreciation.	John Gordon (Financial Controller)	Develop an Asset Management Procedure, in accordance with the Financial Regulations, which clearly details the process and requirement of the Authority in relation to the disposal of assets.  In addition, the Asset Management Policy should also provide detail on the maintenance of the asset register, annual verification responsibilities and outlining the account treatment of assets and the depreciation.	31/09/2013	Update 10/05/13 - The Asset Management Software for 2012/13 has been released by CIPFA & is in the process of being updated for year end. Update 10/07/13 - Notes on the asset management system have been prepared and are being reviewed by Pam Taylor. Auditors are on site currently and unless any problems are reported with the asset management system during the audit the action can be closed. Recommend complete.  Update: BT now has the evidence to show DCC Fish.	ACO Monckton	ACO Scrutiny 05/09/2013. ST Chair. <b>Supports completion</b>	DCC scrutiny 12/09/2013. Evidence presented support completion.
12/07/2013	Inspection	CESG (Department within GCHQ)	Nottinghamshire Police (Airwave and ICT) Cryptographic Account Inspection. 25th March 2013.	1. Physical security measures must meet the minimum standards required by the protective marking, the value of the cryptographic items involved or the information they are protecting, whichever is higher.	Pat Stocker (Information Security Manager)	Carry out a physical accreditation of the premises.	31/08/2013	Update PS 06/09/2013 Physical risk assessment of the project has taken place with no adverse feedback. Recommend complete.	ACO Monckton	ACO Scrutiny 05/09/2013. ST Chair	DCC scrutiny 12/09/2013. Evidence presented. Support completion.