

For Information	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	18th February 2014
Report of:	ACO, Resources
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Agenda Item:	7

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** - Appendix 1 outlines the status of all live actions arising from audits and inspections and those completed in Quarter 3.

4.4 **Completed actions** - Appendix 2 outlines the actions arising from audits and inspections that have been completed during Quarter 3.

4.5 **Overdue actions** - There is 1 action arising from audit and inspection which is currently overdue:

- **RSM Tenon (Baker Tilly) – Partnership Governance**

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: This action has now been passed to ACC Torr to direct as appropriate. A new completion date will be assigned.

4.6 **Recent Audits and Inspections.**

HMIC: Making Best Use of Police Time. 2nd – 5th December 2013. (Pilot. Hot debrief notes only).

HMIC: Domestic Abuse and Voluntary Peer Inspectors. Awaiting final report.

4.7 **Forthcoming audits and inspections** - There are currently two inspections confirmed for Quarter 4:

HMIC: Making Best Use of Police Time. 24th-27th March 2014

- 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.

HMIC: Valuing the Police 4 (VtP4) Phase 1. (Data collection March 2014 with fieldwork inspections between April and May 2014. Date tbc.)

- In VtP4 HMIC will seek an update on how forces are responding to the remainder of the spending review but in particular look at their preparations for 2015/16 and beyond. It is HMIC's intention to have a stronger focus on service delivery, the effectiveness of forces' responses (in particular the contribution of collaboration) and the management and approach to future risk.

4.8 One audit and inspection has been confirmed for Quarter 1 - 2014/15.

HMIC: Building the Picture – Information Management. (date tbc).

The inspection will focus on:

- Whether force strategies, policies and procedures for information management adhere to the principles of the MoPI doctrine, are proportionate to risk and fit for purpose;
- Whether information and intelligence is captured, recorded, evaluated, acted upon, audited and retained by the police (including safeguarding interventions) in an effective way;
- Whether the use of the PND is effective and efficient;
- The identification of inspection criteria that can be introduced into other future inspections

4.9 A number of audits reports have recently been received and actions need to be agreed for these, there are also a number of reports due. All of these reports will be scrutinised and where necessary actions agreed and added to the Force Action Plan.

Audit reports received and actions to be generated:

Health & Safety
 Estates Management
 Environmental Policy
 Income and Debtors
 Fixed Assets', inventories and insurance
 General Ledger
 Workforce Planning
 Payroll Expenses

Audits reports due:

Budgetary Control
 Cash, Banking and Treasury Management
 Equality and Diversity

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 COT and is scrutinised on a quarterly basis by the Corporate Governance Board.
- 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 3.
Appendix 2: Summary of actions completed during Quarter 3.

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

Status Key		Definition						
Red – Overdue		The action has passed its Target Completion Date and requires urgent review						
Green – On schedule		The action is likely to be completed by its Target Completion Date						
Title	Scrutiny Body	Audit / Inspection	Chief Officer Lead	Total number of actions	Number overdue	Number on schedule	Number completed	Status
Procurement - Programme of Change	RSM Tenon	Audit	ACO Monckton	7		1	6	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
Partnerships Governance 2012	RSM Tenon	Audit	ACO Monckton	1	1			On going
Report on an inspection visit to police custody suites in Nottinghamshire. 12-16 March 2013	HMIC	Inspection	ACC Jupp	1			1	Complete
Criminal Justice Joint Inspection Report on Unannounced Visit to Custody Suites	HMIP / HMIC	Inspection	ACO Monckton	38			38	Complete
				56	1	4	51	

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	6. Review the service again within 6 months, focusing on the delivery of the revenue savings.	Ronnie Adams (Commercial Director Procurement)	Carry out a full review of procurement services to include the business case. Present the findings to the Corporate Services Programme Board.	30/09/2013	Update 01.10.13: An initial report was submitted to and discussed at EMSCU Board on 09.09.13. It was concluded that Programme of Change is on track to deliver a 'fit for purpose' commercial unit on schedule, further updates are to be presented to the Board on a quarterly basis.	ACO Monckton	ACO Scrutiny 26/09/2013.	DCC scrutiny 07/10/2013. BT presented the review and report. DCC supports closure.
March 2012	Review	HMIC	Without fear or favour: A review of police relationships	Forces and authorities institute robust systems to ensure risks arising from secondary employment are identified, monitored and managed.	ACO Monckton	Update Contracts of Employment for existing employees to state intellectual property rights	30/04/2014	Update SA 09/11/2013 This type of clause is usually used for very senior executives in private industry where there is information which is valuable to competitors. We can only change contracts with agreement by both parties, thereby staff could legitimately refuse to sign a new contract. No further action. Recommend Close.	ACO Monckton	ACO Scrutiny 25/11/2013.	05/12/2013 DCC scrutiny. BT presented SA email. DCC supports closure
15/10/2013	Inspection	HMIC	Report on an inspection visit to police custody suites in Nottinghamshire. 12-16 March 2013	7.3 The Police and Crime Commissioner or Chief Officer should engage with health care partners at a strategic level to reduce the number of detainees held in police custody under section 136 of the Mental Health Act 1983. (2.27)	ACC Jupp	Carry out an analysis and present a report to ACC Jupp / Torr so an informed decision can be made to enable the Police and Crime Commissioner or Chief Officer to engage with health care partners at a strategic level to reduce the number of detainees held	31/03/2014	Update 28th Nov P. White ACC Jupp. Analysis carried out and presented to ACC Jupp / Torr. This part of the action can be shown as complete.	ACC Jupp	ACC Scrutiny 19/12/2013. Supports decision to be governed through the Transformation Board.	DCC Scrutiny 04.12/2013. ACC presenting at a regional MH forum 5th Dec. This work is incorporated into the mental health project and Governance can be transferred through to the Transformation Board.
01/03/2012	Inspection	HMIP / HMIC	Criminal Justice Joint Inspection Report on Unannounced Visit to Custody Suites	7.41 All medical and nursing records should be subject to audit and remain compliant with the Data Protection Act and Caldicott guidance at all times.	ACO Monckton	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.	31/10/2013	Update 30.10.13: 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. Update 05/12/2013 JC via phone to BT. Have emailed Sandra Hitchcock (G4S) to ask for audit results or where they are with this.	ACO Monckton	ACO Scrutiny 16/12/2013. Evidence provided by JC. This can now be shown as complete.	DCC Scrutiny 23/12/2013. Evidence presented support completion.
15/10/2013	Inspection	HMIC	Report on an inspection visit to police custody suites in Nottinghamshire. 12-16 March 2013	7.3 The Police and Crime Commissioner or Chief Officer should engage with health care partners at a strategic level to reduce the number of detainees held in police custody under section 136 of the Mental Health Act 1983. (2.27)	ACC Jupp	Carry out an analysis and present a report to ACC Jupp / Torr so an informed decision can be made to enable the Police and Crime Commissioner or Chief Officer to engage with health care partners at a strategic level to reduce the number of detainees held	31/03/2014	Update 28th Nov P. White ACC Jupp. Analysis carried out and presented to ACC Jupp / Torr. This part of the action can be shown as complete.	ACC Jupp	ACC Scrutiny 19/12/2013. Supports decision to be governed through the Transformation Board.	DCC Scrutiny 04/12/2013. ACC presenting at a regional MH forum 5th Dec. This work is incorporated into the mental health project and Governance may be transferred through to the Transformation Board.

