

For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	23rd June 2020
Report of:	Deputy Chief Constable
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Agenda Item:	13

Audit and Inspection Update

1. Purpose of the Report

- 1.1 To provide the Joint Audit and Scrutiny Panel (JASP) with an update on progress against recommendations arising from audits and inspections which have taken place during Quarter 4, 2019/20.
- 1.2 To inform the Board of the schedule of planned audits and inspections.
- 1.3 To provide further information on the area identified for further scrutiny as requested at the last JASP (Appendix 2 – Wellbeing, Performance Development Reviews, Talent Management).

2. Recommendations

- 2.1 That the Panel notes the status of audits and inspections carried out over the last quarter.
- 2.2 That the Panel review Appendix 1 and if required request further detail which will be reported at the next meeting.

3. Reasons for Recommendations

- 3.1 To enable the Panel to fulfil its scrutiny obligations with regard to Nottinghamshire Police and its response to audits and inspections.
- 3.2 To provide the Panel with greater scrutiny opportunities and to reach more informed decisions.
- 3.3 To provide the Panel with the opportunity to shape the focus and data inputs for future HMICFRS inspections.

4. Summary of Key Points

Audit and Inspection Action Updates

- 4.1 The actions referred to in this report are the result of recommendations made by Nottinghamshire Police's internal auditors and external inspectorates, including HMICFRS.
- 4.2 There are currently 0 actions which have exceeded their target date. There are 39 actions showing as 'at risk' of being off target i.e. they will exceed their target date in the next month.
- 4.3 There were 173 actions closed during this quarter.
- 4.4 Recent and forthcoming Inspections.

Recent Inspection Activity

Date of Inspection	Inspection Area	Date Report Received	Final Grading	Status
None to report				

Forthcoming HMICFRS Inspections

Date of Inspection	Inspection Area	Status
April 2020	Visit by HMICFRS Liaison Officer Ali Davies to look at progress against 3 x Areas for Improvement – Demand, Counter Corruption and Benefits Realisation	To be re-scheduled due to Coronavirus
April 2020	Visit by Zoe Billingham, Senior Responsible Officer for HMICFRS to look at progress against 12 x Areas for Improvement, Operation Uplift and Knife Crime Initiatives	To be re-scheduled due to Coronavirus

Publications

Date of Publication	Inspection Area	Status
January 2020	Joint Inspection Led Domestic Abuse	Actions being managed on 4Action
February 2020	National Child Protection Thematic	Actions being managed on 4Action
February 2020	Integrated Offender Management Thematic	Actions being managed on 4Action
March 2020	Response to Review of Investigations into Allegations of Non-Recent Sexual Abuse	Actions being managed on 4Action

4.5 Recent and Forthcoming Audits

Recent Audit Activity

Date of Audit	Auditable Area	Date Report Received	Final Grading	Status
August 2018	Collaboration – Risk Management	-	Satisfactory Assurance	Awaiting copy of report
September 2018	Collaboration – Business Planning	-	Satisfactory Assurance	Awaiting copy of report
October 2019	GDPR Follow Up	March 2020	Satisfactory Assurance	Out for Management Comment
October 2019	Information Assurance	March 2020	Limited Assurance	Out for Management Comment
December 2019	Core Financials	March 2020	Satisfactory Assurance	Out for Management Comment
December 2019	Balance Transfers	March 2020	Satisfactory Assurance	Actions being managed on 4Action
January 2020	Health and Safety	March 2020	Limited Assurance	Actions being managed on 4Action

January 2020	Programme Management	March 2020	Satisfactory Assurance	Actions being managed on 4Action

Forthcoming Audits

Date of Audit	Auditable Area	Status
Quarter 1	Workforce Planning and Operation Uplift	Draft Terms of Reference received, out for Management Comment
Quarter 1	Victims Code	Draft Terms of Reference received, out for Management Comment
Quarter 2	Estates Management	-
Quarter 2	Wellbeing	-
Quarter 2	Debt Recovery	-
Quarter 3	Business Change	-
Quarter 3	Core Financial Systems	-
Quarter 3	Seized Property	-
Quarter 3	GDPR Follow Up	-
Quarter 3	Information Assurance Follow Up	-
Quarter 4	Risk Management	-
Quarter 4	Complaints Management	-

Overview of all on-going actions from Audits & Inspections - Appendix 1

Area Identified for further scrutiny – Wellbeing, Performance Development Reviews, Talent Management – Presentation to follow

5. Financial Implications and Budget Provision

- 5.1 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 as a result of this report. HR implications resulting from specific actions will be managed on a case by case basis.

7. Equality Implications

- 7.1 There are no direct HR implications as a result of this report. HR implications resulting from specific actions will be managed on a case by case basis.

8. Risk Management

- 8.1 Some current actions involve the completion of formal reviews of specific business areas. It is possible that some or all of these reviews will identify and evaluate significant risks, which will then be incorporated into the Force's risk management process.

9. Policy Implications and links to the Police and Crime Plan Priorities

- 9.1 Any policy implications will be subject to current policy development process.

10. Changes in Legislation or other Legal Considerations

- 10.1 There are no direct legal implications as a result of this report.

11. Details of outcome of consultation

- 11.1 Following receipt of a final audit or inspection report a member of the Governance and Planning team consults with the appropriate Lead Officer and other stakeholders to plan appropriate actions in response to each relevant recommendation, or to agree a suitable closing comment where no action is deemed necessary.
- 11.2 All planned actions are added to the action planning system, 4Action, for management and review until completion.

12. Appendices

- 12.1 Appendix 1 - Overview of all ongoing actions from Audits and Inspections
- 12.2 Appendix 2 – Wellbeing, Performance Development Reviews, Talent Management (Presentation to follow)

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: May 2020

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Audit-Mazars	Corporate Governance	October 2018	4	2	2	2	0	0
Audit-Mazars	Firearms Licensing	October 2018	4	4	0	0	4	0
Audit-Mazars	Late Night Levy	December 2018	4	4	0	4	0	0
Audit-Mazars	Performance Management	March 2019	5	3	2	3	0	0
Audit-Mazars	Force Management of MFSS	March 2019	10	10	0	10	0	0
Audit-Mazars	IT Strategy	April 2019	6	1	5	1	0	0
Audit-Mazars	Partnerships	May 2019	3	3	0	0	0	0
Audit-Mazars	Business Continuity and Emergency Planning	June 2019	3	3	2	1	0	0
Audit-Mazars	Custody Arrangements	October 2019	2	2	0	2	0	0
Audit-Mazars	Balance Transfers	March 2020	1	1	0	1	0	0
Audit-Mazars	Health and Safety Follow Up	March 2020	5	5	0	5	0	0
Audit-Mazars	GDPR Follow Up	March 2020	7	7	0	7	0	0
Audit-Mazars	Information Assurance Follow Up	March 2020	4	4	0	4	0	0
Audit-Mazars	Programme Management	March 2020	2	2	0	2	0	0
Audit-Mazars	Core Financials	March 2020	5	5	0	5	0	0

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: May 2020

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
IPCC	Use of Force Report	September 2016	15	2	13	0	2	0
Inspection-HMICFRS	Efficiency November 2016 'Hot De Brief' actions	November 2016	31	2	29	2	0	0
Inspection-HMICFRS	Efficiency, Legitimacy and Leadership Hot Debrief 2017	May 2017	9	1	8	0	1	0
Inspection-HMICFRS	Making it Fair: Disclosure of unused material in volume Crown Court Cases	July 2017	6	1	5	0	1	0
Inspection-HMICFRS	PEEL Effectiveness 2017	September 2017	23	3	20	0	3	0
Inspection-HMICFRS	Stolen freedom: the policing response to modern slavery and human trafficking	October 2017	7	1	6	0	1	0
Inspection-HMICFRS	Additional PEEL Efficiency, Legitimacy, Leadership Actions 2017	December 2017	7	1	6	0	1	0
Inspection-HMICFRS	Still no place for hate	May 2018	6	1	5	1	0	0
Inspection-HMICFRS	Crime Data Integrity	August 2018	18	12	6	0	12	0
Inspection-HMICFRS	Integrated PEEL Inspection	September 2018	17	17	0	17	0	0
Inspection-HMICFRS	Unannounced Custody Inspection	October 2018	29	29	0	29	0	0
Inspection-HMICFRS	Biometrics Commissioner's Visit	October 2018	5	1	4	1	0	0
Inspection-HMICFRS	Policing and Mental Health – Picking up the Pieces	November 2018	5	1	4	1	0	0
Inspection-HMICFRS	Time to Choose – An Inspection of the Police Response to Fraud	April 2019	6	6	0	6	0	0
Inspection-HMICFRS	The Poor Relation – The Police and CPS Response to Crimes against Older People	July 2019	4	4	0	4	0	0

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: May 2020

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Inspection-HMICFRS	Shining a Light on Betrayal	September 2019	3	3	0	3	0	0
Inspection-HMICFRS	Cyber Keeping the Light on	October 2019	2	2	0	2	0	0
Inspection-HMICFRS	Youth Justice System Inspection	October 2019	3	3	0	3	0	0
Inspection-HMICFRS	Joint Inspection Evidence Led Domestic Abuse	January 2020	6	2	4	2	0	0
Inspection-HMICFRS	National Child Protection Thematic 2019	February 2020	3	3	0	3	0	0
Inspection-HMICFRS	Integrated Offender Management Thematic	February 2020	4	4	0	4	0	0
Inspection-HMICFRS	HMICFRS Response to Review of Investigations into Allegations of Non-Recent Sexual Abuse	March 2020	10	10	0	10	0	0



Wellbeing Claire Salter



NOTTINGHAMSHIRE
POLICE
PROUD TO SERVE

What is our Vision

- **Our Mission**

Our aim is to have a healthy, happy and engaged workforce

- **Our Vision**

- Our vision for your health and wellbeing is to ensure you are able to cope effectively with the normal stresses of work and feel fulfilled and appropriately supported in the workplace.
- To do this we will strive to deliver a positive and healthy workplace, making sure Nottinghamshire Police is an Employer of Choice and delivers a service that works for local people.



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What have we achieved?

- A 5 year strategy to embed Wellbeing launched on World Mental Health day in October 2019
 - A robust governance process to allow effective flow of communication from our Champions through to our Strategic Wellbeing meeting
 - A detailed thematic and focussed 12 month action plan which targets specific issues each month
 - A communications plan and branding that identifies with Wellbeing and our 'Employer of Choice' commitment
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What is our plan for the future?

- Train our leaders in mental health awareness and spotting the signs, managing attendance and H&S
 - Address issues identified in the Staff Survey ie sleep, hindrance factors, DCC Roadshow feedback, improve signposting and information available
 - Embed and empower our SPOCs and Champions to be part of the solution
 - Secure a funding stream for wellbeing initiatives and make best use of external funding availability
 - Continue our policy review and improvement programme
-



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PDR

Claire Salter



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What is our mission

- To develop a PDR process that was simple to embed and deliver but created the opportunity for meaningful discussion
- To identify high and poor performers and use the PDR as a tool to effectively manage performance
- To develop a PDR tool to grade staff, identify talent and support career development
- To elevate the value of meaningful PDR through reporting at senior leadership meetings



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What have we achieved? – Phase 1

- Developed a user friendly PDR form which includes objectives and an assessment of performance through scoring.
 - Annual review linked to appointment/increment date to spread effect on workforce and links to future pay developments
 - Included wellbeing wheel for individuals to self assess
 - Implemented '3 minute' comms strategy to inform staff and officers of how to complete PDR's
 - Delivered guidance at briefings, through roadshow and dedicated intranet pages
 - Monitored compliance and direct appeal to managers and staff
-



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What is our plan for the future? –Phase 2

- Your Force, Your Career
 - Clear identification of high and poor performers through Talent Matrix
 - Embed the benefits of performance management into leaders
 - Measure skills and competencies against a baseline of requirements
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Your Force, Your Career

DI Becky Hodgman



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LEGITIMACY – AFI

The force should have a talent management system that is consistent, fair and accessible to all the workforce



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Talent Management - Development

- A number of forces scoped
- Research completed public / private sector
- Focus groups held with a cross section of staff & officers from across the force. This included Federation, GMB and Unison
- A number of proposals were presented at the Force Executive Board
- As a result of feedback from the focus groups the term talent management has been adapted to 'Your Force, Your Career' and Career Management.



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Your Force, Your Career

- Implementation of a number of tools to be used in Career Management;
 - Career Conversation & Career Matrix – This replaces the current PDR system
 - Fast Track Programme
 - Direct Entry Scheme
 - Coaching
 - Mentoring
 - Reverse mentoring
 - Develop Me



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