

For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	28 September 2017
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Audit and Inspection Report, Quarter 2, 2017/18

1. Purpose of the Report

- 1.1 To provide the Joint Audit and Scrutiny Panel with an update on progress against recommendations arising from audits and inspections.
- 1.2 To inform the Panel of the schedule of planned audits and inspections.

2. Recommendations

- 2.1 That the Panel notes the progress made against audit and inspection recommendations and requests areas requiring further information for scrutiny at the next meeting.
- 2.2 That the Panel takes note of the forthcoming Audit and Inspections.

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.

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 Her Majesty's Inspectorate of Constabulary (HMIC)
- 4.2 Appendix 1 'Audit and Inspection Actions Update Report' provides the current status of all ongoing actions arising from audits and inspections.
- 4.3 There are currently 6 actions which have exceeded their target date. There are 21 actions showing as 'at risk' of being off target i.e. they will exceed their target date in the next month. The overdue action relating to Effectiveness is being dealt with through the Annual Departmental Assessment process and more detail is given on the additional Effectiveness Report. The Procurement Audit

recommendation has been raised with the Assistant Chief Officer (Finance and Resources). The two JESIP recommendations are awaiting agreement to transfer to EMCHRS, and the Welfare in Custody recommendations are awaiting authorisation for closure.

4.4 All 'at risk' action owners have been contacted and the Force has been assured work will be complete within the timescales set.

4.5 There are 53 actions which have been closed during this quarter.

Area Identified for further scrutiny – Effectiveness Inspection 2016

The area identified by the Chair of the Panel for further scrutiny this period is the Effectiveness Inspection which was completed in 2016. The key reason for this choice is to gain assurance of progress against key actions prior to the forthcoming re-inspection. Progress updates for the Effectiveness inspection can be seen in Appendix 2.

4.4 Recent and Forthcoming Inspections

Recent Inspection Activity

Date of Inspection	Inspection Area	Date Report Received	Final Grading	Status
May 2017	PEEL: Leadership, Efficiency and Legitimacy	-	TBC	Awaiting report
June 2017	PEEL: Effectiveness – Re-visit	-	N/A	Awaiting report
July 2017	Historical Recommendations	-	N/A	Awaiting publication on HMIC Website
July 2017	Crime File Review	-	TBC	Awaiting report

Forthcoming Inspections

Date of Inspection	Inspection Area	Status
18 th – 22 nd September	PEEL: Effectiveness	Document/Data submitted July 2017 Timetable in process of being finalised

4.5 Recent and Forthcoming Audits

Recent Audit Activity

Date of Audit	Auditable Area	Date Report Received	Final Grading	Status
March 2017	Data Quality	March 2017	Satisfactory Assurance	Actions being monitored on 4Action
March 2017	Risk Management	March 2017	Limited Assurance	Actions being monitored on 4Action
May 2017	Workforce Planning	June 2017	Satisfactory Assurance	Out for Management Comment
May 2017	Seized and Found Property	June 2017	Limited Assurance	Out for Management Comment

Date of Audit	Auditable Area	Date Report Received	Final Grading	Status
July 2017	Estates	July 2017	Satisfactory Assurance	Out for Management Comment
July 2017	Fleet	August 2017	Satisfactory Assurance	Out for Management Comment
July 2017	Effectiveness	August 2017	No grading	Out for Management Comment

Forthcoming Audits

Date of Audit	Auditable Area	Status
August 2017	EMCHRS	Scope confirmed
September 2017	Procurement Follow-Up	Scope confirmed
-	Safety Camera Partnership	Scope to be confirmed
-	Proceeds of Crime Act	Scope to be confirmed

4 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.

5 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.

6 Equality Implications

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

7 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.

8 Policy Implications and links to the Police and Crime Plan Priorities

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

9 Changes in Legislation or other Legal Considerations

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

10 Details of outcome of consultation

- 10.1 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.
- 10.2 All planned actions are added to the action planning system, 4Action, for management and review until completion.

12. Appendices

- 12.1 Appendix 1: Current Status of Audit and Inspection Actions

Appendix 2: HMIC PEEL Effectiveness Inspection Progress on Actions Update