

For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	April 2019
Report of:	Amanda Froggatt, Strategic Support Officer
Report Author:	Amanda Froggatt, Strategic Support Officer
E-mail:	amanda.froggatt@nottinghamshire.pnn.police.uk
Other Contacts:	n/a
Agenda Item:	12

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, 2018/19.
- 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 – Use of Force, presentation to follow).

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 134 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 0 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
October 2018	Biometrics Commissioner Visit	-	-	Report received. Actions being monitored on 4Action
December 2018	PREVENT Counter Terrorism	-	-	Report received. Actions all addressed

Forthcoming HMICFRS Inspections

Date of Inspection	Inspection Area	Status
No scheduled Inspections		

Publications

Date of Publication	Inspection Area	Status
February 2019	The Police Response to Domestic Abuse (Update)	Report received. Actions being monitored through 4Action

April 2019	Stalking and Harassment (Update to National Recommendations)	Report received. Actions being monitored through 4Action
April 2019	Time to Choose – An Inspection of the Police Response to Fraud	Report received. Actions being monitored through 4Action

4.5 Recent and Forthcoming Audits

Recent Audit Activity

Date of Audit	Auditable Area	Date Report Received	Final Grading	Status
July 2018	Collaboration – Strategic Financial Planning	September 2018	Satisfactory Assurance	Draft report issued. No recommendations for Nottinghamshire
August 2018	Collaboration – Risk Management	-	Satisfactory Assurance	Awaiting copy of report
September 2018	Collaboration – Business Planning	-	Satisfactory Assurance	Awaiting copy of report
September 2018	Health and Safety	October 2018	Limited Assurance	Report received. Actions being monitored on 4Action
November 2018	Core Financial Systems	November 2018	Satisfactory Assurance	Report received. Actions being monitored on 4Action
December 2018	GDPR	December 2018	Limited Assurance	Report received. Actions being monitored on 4Action
December 2018	Late Time Levy	December 2018	Limited Assurance	Draft report issued out for management comment

January 2019	IT Strategy	-	-	Report received. Actions being monitored on 4Action
April 2019	Partnership Working	-	-	Draft report issued out for management comment
April 2019	Seized Property	-	-	Draft report issued out for management comment

Forthcoming Audits

Date of Audit	Auditable Area	Status
May 2019	Business Continuity and Emergency Planning	Terms of reference received, audit will commence w/c 7 th May
May 2019	MFSS Contract Management	-
May 2019	Performance Management	-
August 2019	Data Quality	-
October 2019	Programme Management	-
December 2019	Core Financials	-
January 2020	Health and Safety	-
January 2020	Custody Arrangements	-
Date to be confirmed	GDPR	-
Date to be confirmed	IT Security	-

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

Area Identified for further scrutiny – Use of Force – 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 – Use of Force (Presentation to follow)

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: April 2019

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Audit-Mazars	Implementation of DMS June 2016	June 2016	6	3	3	3	0	0
Audit-Mazars	Data Protection Act Compliance Oct 2016	October 2016	14	4	10	0	4	0
Audit-Mazars	Core Financials Systems Assurance Dec 2016	December 2016	9	1	8	1	0	0
Audit-Mazars	HR Recruitment and Selection	January 2017	4	3	1	0	3	0
Audit-Mazars	Risk Management	May 2017	7	1	6	1	0	0
Audit-Mazars	Fleet Management	August 2017	6	3	3	2	1	0
Audit-Mazars	Workforce Planning	September 2017	12	1	11	0	1	0
Audit-Mazars	Social Value Impact	July 2016	4	1	3	0	1	0
Audit-Mazars	Seized & Found Property	May 2017	11	9	2	0	9	0
Audit-Mazars	Counter Fraud Review	January 2018	25	5	20	0	5	0
Audit-Mazars	Procurement Follow up Sept 2017	September 2017	3	1	2	1	0	0
Audit-Mazars	Core Financials Follow up July 2016	October 2016	12	1	11	0	1	0

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: April 2019

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Audit-Mazars	Safety Camera Partnership	September 2017	4	3	1	0	3	0
Audit-Mazars	Commissioning - Community Safety	May 2016	5	1	4	0	1	0
Audit-Mazars	Implementation of Duty Management System– Follow Up	May 2018	5	5	0	3	2	0
Audit-Mazars	MFSS Contract Management	June 2018	4	4	0	4	0	0
Audit-Mazars	Commissioning	2018	3	3	0	2	1	0
Audit-Mazars	Corporate Governance	2018	4	4	0	2	2	0
Audit-Mazars	Firearms Licensing	2018	4	4	0	0	4	0
Inspection-HMIC	Nottinghamshire Police's approach to tackling Domestic Abuse (local report)	March 2014	14	1	13	0	1	0
Inspection-HMIC	Welfare of Vulnerable People in Custody	March 2015	8	1	7	0	1	0
Inspection-HMIC	Efficiency Nov 2016 'Hot De Brief' actions	November 2016	31	4	27	2	2	0
Inspection-HMIC	Legitimacy 2016	December 2016	10	1	9	1	0	0
Inspection-HMIC	Effectiveness 2016	March 2017	10	1	9	0	1	0
Inspection-HMIC	Neighbourhood Strategy	2018	16	15	1	15	0	0
Inspection-HMIC	Efficiency, Legitimacy and Leadership Hot Debrief 2017	May 2017	9	2	7	0	2	0

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: April 2019

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Inspection-HMIC	Making it Fair: Disclosure of unused material in volume Crown Court Cases	July 2017	6	4	2	1	3	0
Inspection-HMIC	Stolen freedom: the policing response to modern slavery and human trafficking	October 2017	7	2	5	0	2	0
Inspection-HMIC	PEEL Effectiveness 2017	September 2017	23	7	16	0	7	0
Inspection-HMIC	Additional PEEL Efficiency, Legitimacy, Leadership Actions 2017	2017	7	6	1	0	6	0
Inspection-HMIC	Progress Report on Domestic Abuse	Jan 2018	2	2	0	0	2	0
Inspection-HMIC	Hate Crime Thematic	2018	15	15	0	15	0	0
Inspection-HMIC	PEEL Legitimacy inc Leadership 2017	2017	4	3	1	0	3	0
Inspection-HMIC	PEEL Vulnerability Re Visit 2017	2017	9	8	1	0	8	0
Inspection-HMIC	PEEL Effectiveness National Report	2018	3	3	0	1	2	0
Inspection-HMIC	PEEL Efficiency 2017	2017	5	5	0	0	5	0
Inspection-HMIC	Unannounced Custody Inspection	2018	81	81	0	41	40	0
Inspection-HMIC	Crime Data Integrity	2018	18	18	0	10	8	0
Inspection-HMIC	Understanding the difference-The initial response to Hate Crime	2018	27	11	16	11	0	0
Inspection-HMIC	Still no place for hate	2018	6	6	0	6	0	0
Inspection-HMIC	Policing and Mental Health	2018	3	3	0	3	0	0
Inspection-HMIC	Joint Inspection of the handling of cases involving disability hate crime	2018	4	4	0	4	0	0
IPCC	Use of Force Report	September 2016	15	2	13	0	2	0
IPCO	IPCO Inspection	December 2017	2	1	1	0	1	0
	Biometrics Commissioner's Visit	October 2018	5	5	0	5	0	0

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: April 2019

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Inspection-HMIC	Prevent – Counter Terrorism	December 2018	4	0	4	0	0	0
Inspection-HMIC	The Police Response to Domestic Abuse (Update)	February 2019	7	7	0	7	0	0
Inspection-HMIC	Stalking and Harassment (Update to National Recommendations)	April 2019	2	2	0	2	0	0
Inspection-HMIC	Time to Choose – An Inspection of the Police Response to Fraud	April 2019	6	6	0	6	0	0