

For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	30th May 2018
Report of:	Deputy Chief Constable
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Agenda Item:	12

Update on Actions from Audits, Inspections and Reviews

1. Purpose of the Report

- 1.1 The purpose of this report is 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, 2017/18.
- 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 - the Police's Approach to Domestic Abuse (DA)).
- 1.4 To provide an update on the Force's approach to safeguarding victims of DA who are assessed as high risk.

2. Recommendations

- 2.1 It is recommended 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 is currently 1 action which has exceeded its target date. There are 14 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 26 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
May 2017	PEEL: Leadership and Efficiency	October 2017	TBC	Final report received. Actions being monitored on 4Action
May 2017	PEEL: Legitimacy	October 2017	TBC	Final report received. Actions being monitored on 4Action
June 2017	PEEL: Effectiveness – Re-visit	-	N/A	Awaiting report
July 2017	Historical Recommendation Review	-	N/A	286 recommendations reviewed, 284 signed off, 2 to be re-submitted
July 2017	Crime File Review	-	N/A	Will be incorporated into final PEEL Effectiveness Report
September	PEEL: Effectiveness	-	TBC	Awaiting report

2017				
September 2017	Interception of Communications Commissioner's Office	-	N/A	Final report received. One action raised. This is being monitored on 4Action
December 2017	Investigatory Powers Commissioner's Office	-	N/A	Final report received. Two actions raised. These are being monitored on 4Action

Forthcoming HMICFRS Inspections

Date of Inspection	Inspection Area	Status
TBC	Crime Data	Date not yet confirmed
W/C 5 th March 2018	Hate Crime	Confirmation received 26 th January 2018

Publications

Date of Publication	Inspection Area	Status
July 2017	HMIC report 'Living in Fear the Police and CPS response to Harassment & Stalking'	Actions incorporated into Domestic Violence Action Plan. Updates shared with HMICFRS on 7 th December. Agreed to close down
December 2017	HMIC report - Progress Report on Domestic Abuse	Actions relate to additional work to be carried out on the Domestic Abuse Action Plan. Work in Progress
December 2017	HMIC report - Stolen Freedom; the Policing Response to Modern Slavery and Human Trafficking	Actions being monitored on 4Action

December 2017	HMIC report – Planes, Drones and Helicopters	No actions to be picked up by Force. Two specific actions will be addressed by Chief Constables Council
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4.5 Recent and Forthcoming Audits

Recent Audit Activity

Date of Audit	Auditable Area	Date Report Received	Final Grading	Status
September 2017	Procurement Follow Up	September 2017	Satisfactory Assurance	Actions being monitored on 4Action
August 2017	EMCHRS L&D	October 2017	Satisfactory Assurance	Actions being monitored on 4Action
September 2017	Safety Camera Partnership	October 2017	Limited Assurance	Actions being monitored on 4Action
October 2017	Core Financials	January 2018	Satisfactory Assurance	Draft report received, out for Management Comment
October 2017	Collaborative Audit of Counter Fraud	January 2018	-	Draft report received, out for Management Comment

Forthcoming Audits

Date of Audit	Auditable Area	Status
None		

Overview of all ongoing actions from Audits & Inspections

Appendix 1 provides an overview of all ongoing actions from Audits and Inspections. The panel are recommended to scrutinise this information and to feedback on any further information or updates in any particular areas. This information will then be brought back to the next Audit and Scrutiny Panel for discussion.

Area Identified for further scrutiny –

The area identified by the Chair of the Panel for further scrutiny this period is the Nottinghamshire Police's approach to tackling Domestic Abuse which was a local HMIC Inspection completed in 2014. The key reason for this choice is to gain assurance of progress against key actions. The outstanding recommendation identified that the force should have a stronger, more formalised process on prevention, identification and management of serial and serious perpetrators, with clear responsibility and actions for officers, including how partner agencies will work with the police to reduce re-offending.

This recommendation was linked to national work which, at the time of the recommendation was identified as on-going. After completion, the force then undertook to bring the Domestic Violence cohort into the IOM process, so that Nottinghamshire would have a stronger focus on repeat victims and serial perpetrators.

The Serial Perpetrator management has now formally started and Offender Managers (Police, Probation and Independent Domestic Violence Advisor's (IDVA's)) have been identified to the most risky 'Top 40' offenders.

As of the 18th October the Top 40 serial Domestic Violence cohort were brought into the process and these have all been subject to at least one case review and the multi-agency working between Police, Probation, Public Protection Unit and IDVA's which has produced some great early wins.

4.6 Overview of KPMG Audit

The KPMG Audit of the OPCC/CC Statement of Accounts raised 5 recommendations. Corrective action has been taken against each of the points to ensure the Statement of Accounts for 2017/18 are fully compliant.

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: PEEL Effectiveness - AF/149c/4717

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: January 2018

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Audit-Mazars	Procurement January 2016	January 2016	10	1	9	0	1	0
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	3	11	3	0	0
Audit-Mazars	Procurement Follow up Nov 2016	November 2016	6	4	2	1	3	0
Audit-Mazars	Core Financials Systems Assurance Dec 2016	December 2016	9	2	7	2	0	0
Audit-Mazars	HR Recruitment and Selection	January 2017	4	3	1	3	0	0
Audit-Mazars	Data Quality 2016/17	May 2017	4	2	2	2	0	0
Audit-Mazars	Risk Management	May 2017	7	7	0	7	0	0
Audit-Mazars	Estates Management	August 2017	3	1	2	1	0	0
Audit-Mazars	Fleet Management	August 2017	6	5	1	3	2	0
Audit-Mazars	Workforce Planning	September 2017	8	5	3	5	0	0
Audit-Mazars	Social Value Impact	July 2016	4	2	2	2	0	0
Audit-Mazars	Seized & Found Property	May 2017	11	10	1	10	0	0

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Audit-Mazars	Procurement Follow up Sept 2017	September 2017	6	3	3	0	3	0
Audit-Mazars	Core Financials Follow up July 2016	October 2016	12	1	11	1	0	0
Audit-Mazars	EMCHRS Learning & Development Collaboration	August 2017	5	5	0	0	5	0
Audit-Mazars	Joint Code of Corporate Governance	November 2015	2	1	1	1	0	0
Audit-Mazars	Safety Camera Partnership	September 2017	2	2	0	2	0	0
Audit-Mazars	Commissioning - Community Safety	May 2016	5	3	2	3	0	0
Inspection-HMIC	Nottinghamshire Police's approach to tackling Domestic Abuse (local report)	March 2014	13	1	12	1	0	0
Inspection-HMIC	Welfare of Vulnerable People in Custody	March 2015	8	1	7	1	0	0
Inspection-HMIC	Efficiency Nov 2016 'Hot De Brief' actions	November 2016	31	5	26	4	0	1
Inspection-HMIC	Legitimacy 2016	December 2016	10	2	8	2	0	0
Inspection-HMIC	Effectiveness 2016	March 2017	13	10	3	13	0	0
Inspection-HMIC	Efficiency, Legitimacy and Leadership Hot Debrief 2017	May 2017	9	8	1	8	0	0
Inspection-HMIC	Making it Fair: Disclosure of unused material in volume Crown Court Cases	July 2017	6	5	1	5	0	0
Inspection-HMIC	National Child Protection 2015	August 2015	8	1	7	1	0	0

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: January 2018

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Inspection-HMIC	Stolen freedom: the policing response to modern slavery and human trafficking	October 2017	7	4	3	4	0	0
IPCC	Use of Force Report	September 2016	15	5	10	5	0	0
IPCO	IPCO Inspection	December 2017	2	2	0	2	0	0
KPMG	Statement of Accounts	September 2017	5	0	5	0	0	0

Appendix 2 - PEEL Effectiveness - AF/149c/4717

HMIC Recommendation - The force should improve its approach to safeguarding victims of domestic abuse who are assessed as high risk. It should review the referral process to multi agency risk assessment conferences to ensure that victims of domestic abuse are not being placed at risk as a result.

Action - Review the referral process to multi agency risk assessment conferences to ensure that victims of domestic abuse are not being placed at risk as a result

In the County, a review demonstrated that all High Risk (HR) cases go to MARAC. This was historically not the case in the City.

However the City position has now changed. The MARAC steering group have now agreed with the police recommendation that all High Risk city cases similarly now go to the MARAC. This has been the position since the 21st August 2017. The first “all cases in” to the City MARAC took place on 13th/14th September 2017.

The volume of High Risk cases within Nottingham is high – As tabulated below. This presents clear resource issues and is a challenge for partner agencies. Several agencies have stated that they cannot service the extra city MARAC demand. Those agencies include: Nottingham Healthcare Trust, NUH, City Care, Framework Housing, Housing Aid, WAIS and the Nottingham Recovery Network.

Average Volumes

Time period Averages worked out per MARAC, not per month	Average referrals per MARAC	No of additional IDVA required*
2016-7 average	29	1.6
2016-7 and 2017-8 Q1-2 average	30	1.8
2016-7 and 2017-8 YTD average	30	1.8
2017-8 Q1-2 average	33	2.4
2017-8 YTD average	32	2.2
2017-8 September – November no case consideration average	28	1.4

As eluded, the number of High risk cases that are submitted to the City MARAC far exceeded the 21 per MARAC number (as commissioned previously by the CDP based on SafeLives analysis).

The CDP remain supportive of WAIS in expressing their reservations about their capacity to hear and cater for more MARAC cases. Consequently liaison with the OPCC over the MARAC issue has resulted in an agreement in principle of an uplift of funding to secure two additional IDVA's for WAIS. This will ensure that every survivor will have the opportunity to engage with an accredited IDVA and meet the increase in MARAC capacity.

This action complies with SafeLives Charity (formerly CAADA) and their guidance that every high risk case should go to MARAC and HMIC recommendation.

Nottinghamshire now hold 4 MARAC's per fortnight: 2 in the County (South and North), 2 in the City.

This is the process going forward and will ensure the appropriate support is given to victims of domestic abuse.

As such whilst all High Risk cases do go to the MARAC, this position remains delicately poised because of the clear resource issue that is facing partner agencies.