

<b>For Information</b>	
<b>Public/Non Public</b>	<b>Public</b>
<b>Report to:</b>	<b>Joint Audit and Scrutiny Panel (JASP)</b>
<b>Date of Meeting:</b>	<b>December 2017</b>
<b>Report of:</b>	<b>Julie Mair, Head of Corporate Development</b>
<b>Report Author:</b>	<b>Amanda Froggatt, Risk and Business Continuity Officer</b>
<b>E-mail:</b>	<b><a href="mailto:amanda.froggatt@nottinghamshire.pnn.police.uk">amanda.froggatt@nottinghamshire.pnn.police.uk</a></b>
<b>Other Contacts:</b>	
<b>Agenda Item:</b>	<b>12</b>

## **Audit and Inspection Update**

### **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 which have taken place during Quarter 3, 2017/18.
- 1.2 To inform the Board of the schedule of planned audits and inspections.
- 1.3 To provide further information on the outstanding action from the Policies Approach to DA Inspection as requested by the JASP at the last meeting.
- 1.4 To give an insight into the new proposed HMICFRS Force Management Statement and provide an opportunity for JASP members to be involved in the consultation process.
- 1.5 To provide an update on the Forces approach to safeguarding victims of DA who are assessed as high risk CAPP 2.

### **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.
- 2.3 That the Panel participate in the consultation process offered by HMIC regarding the Force Management Template and feedback any comments to The Audit and Inspection Team mailbox, [auditandinspectionteam@nottinghamshire.pnn.police.co.uk](mailto:auditandinspectionteam@nottinghamshire.pnn.police.co.uk) by the 12<sup>th</sup> December.

### **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 HMIC 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 HMIC.
- 4.2 There are currently 0 actions which have exceeded their target date. There are 9 actions showing as 'at risk' of being off target i.e. they will exceed their target date in the next month.
- 4.3 There are 18 actions which have been closed during this quarter.
- 4.4 Recent and Forthcoming Inspections.

#### **Recent Inspection Activity**

<b>Date of Inspection</b>	<b>Inspection Area</b>	<b>Date Report Received</b>	<b>Final Grading</b>	<b>Status</b>
May 2017	PEEL: Leadership and Efficiency	October 2017	TBC	Draft report checked for factual accuracy. Awaiting publication of final report
May 2017	PEEL: Legitimacy	October 2017	TBC	Draft report received for factual accuracy – to be returned by 17 <sup>th</sup> October
June 2017	PEEL: Effectiveness – Re-visit	-	N/A	Awaiting report

July 2017	Historical Recommendation Review	-	N/A	286 recommendations reviewed, 280 signed off, 6 to be re-submitted
July 2017	Crime File Review	-	N/A	Will be incorporated into final PEEL Effectiveness Report
September 2017	PEEL: Effectiveness	-	TBC	Awaiting report
September 2017	Office of Surveillance Commission	-	N/A	Hot debrief identified no significant recommendations. Awaiting report
N/A	Abuse of Position for a Sexual Purpose	-	N/A	Assessment of Action Plan received

### Forthcoming Inspections

Date of Inspection	Inspection Area	Status
TBC	Crime Data	Date not yet confirmed

### Publications

Date of Publication	Inspection Area	Status
July 2017	Disclosure of Unused Material in Volume Crown Court Cases	Actions being monitored on 4Action
July 2017	HMIC report 'Living in Fear the Police and CPS response to Harassment & Stalking'	Actions incorporated into Domestic Violence Action Plan, being monitored on 4Action

## 4.5 Recent and Forthcoming Audits

### Recent Audit Activity

Date of Audit	Auditable Area	Date Report Received	Final Grading	Status
May 2017	Workforce Planning	June 2017	Satisfactory Assurance	Actions being monitored on 4Action
May 2017	Seized and Found Property	June 2017	Limited Assurance	Actions being monitored on 4Action
July 2017	Estates	August 2017	Satisfactory Assurance	Actions being monitored on 4Action
July 2017	Fleet	August 2017	Satisfactory Assurance	Actions being monitored on 4Action
September 2017	Procurement Follow Up	September 2017	Satisfactory Assurance	Out for Management Comment
August 2017	EMCHRS L&D	-	-	Out for Management Comment
September 2017	Safety Camera Partnership	-	-	Out for Management Comment
October 2017	Core Financials	-	-	Audit currently on-going

### Forthcoming Audits

Date of Audit	Auditable Area	Status
October 2017	Collaborative Audit of Counter Fraud	Terms of reference agreed, questionnaire currently on Intranet to be completed by 17 <sup>th</sup> November

### 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.

## **Force Management Statement**

The Force Management Statement is an instrument of self-assessment, designed to improve and streamline information provided by the Police service. The intention of the statement is to encourage forces to ask themselves what needs to be done now and in the immediate term to prepare for the demands of the future.

The template is currently in its developmental phase so HMICFRS are asking for feedback on the draft statement embedded within the document. Any opinions or views on the structure and contents of this document should be sent to [auditandinspectionteam@nottinghamshire.pnn.police.uk](mailto:auditandinspectionteam@nottinghamshire.pnn.police.uk) by the 12<sup>th</sup> December. The consultation document is attached below.



Template for  
Consultation.docx

## **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  
Appendix 2: PEEL Effectiveness - AF/149c/4717

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk
Audit-Mazars	Procurement January 2016	January 2016	10	1	9	1	0
Audit-Mazars	Implementation of DMS June 2016	June 2016	6	3	3	3	0
Audit-Mazars	Data Protection Act Compliance Oct 2016	October 2016	14	6	8	6	0
Audit-Mazars	Procurement Follow up Nov 2016	November 2016	6	1	5	0	1
Audit-Mazars	Core Financials Systems Assurance Dec 2016	December 2016	9	2	7	2	0
Audit-Mazars	HR Recruitment and Selection	January 2017	4	3	1	3	0

Overview of all ongoing actions from Audits and Inspections

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk
Audit-Mazars	Data Quality 2016/17	May 2017	4	3	1	3	0
Audit-Mazars	Risk Management	May 2017	7	7	0	7	0
Audit-Mazars	Estates Management	August 2017	3	3	0	1	2
Audit-Mazars	Fleet Management	August 2017	6	6	0	6	0
Audit-Mazars	Workforce Planning	September 2017	8	6	2	6	0



Overview of all ongoing actions from Audits and Inspections

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk
Inspection-HMIC	Nottinghamshire Police's approach to tackling Domestic Abuse (local report)	May 2014	13	1	12	1	0
Inspection-HMIC	Welfare of Vulnerable People in Custody	March 2015	8	2	6	1	1
IPCC	Use of Force Report	September 2016	15	5	10	5	0
Inspection-HMIC	Efficiency Nov 2016 'Hot De Brief' actions	November 2016	31	6	25	6	0
Inspection-HMIC	Legitimacy 2016	December 2016	10	2	8	2	0
Inspection-HMIC	Effectiveness 2016	March 2017	10	10	0	6	4

Overview of all ongoing actions from Audits and Inspections

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk
Inspection-HMIC	Efficiency, Legitimacy and Leadership Hot Debrief 2017	May 2017	9	8	1	7	0
Inspection-HMIC	Making it Fair: Disclosure of unused material in volume Crown Court Cases	July 2017	6	5	1	4	1