

For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	7th November 2018
Report of:	Chief Constable
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Agenda Item:	6

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 2, 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 – Nottinghamshire Police’s Approach to tackling Domestic Abuse).

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 are currently 0 actions which have exceeded its target date. There are 100 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 70 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
July 2018	Serious and Organised Insight Visit	-	-	Will be incorporated into Integrated PEEL Inspection report
September 2018	Integrated PEEL Inspection	-	-	Inspection undertaken

Forthcoming HMICFRS Inspections

Date of Inspection	Inspection Area	Status
October 2018	Unannounced Custody Inspection	Currently taking place
December 2018	Counter Terrorism	N/A
April – June 2019	Cyber-Dependent Crime	N/A

Publications

Date of Publication	Inspection Area	Status
July 2018	Older Children Neglect	Out for Management Action

4.5 Recent and Forthcoming Audits

Recent Audit Activity

Date of Audit	Auditable Area	Date Report Received	Final Grading	Status
May 2018	Collaboration - Review of Collaboration Assurance Statements	May 2018	-	Report issued
June 2018	Contract Management of MFSS	-	Limited Assurance	Actions being monitored on 4Action
June 2018	Follow-up of Limited Assurance Reports <ul style="list-style-type: none"> - Risk Management - Safety Camera - Data Protection 	July 2018	-	Report issued, actions updated on 4Action
July 2018	Collaboration – Strategic Financial Planning	-	-	Report to be issued
August 2018	Collaboration – Risk Management	-	-	Delay in seeing EMOpSS
August 2018	Code of Governance	August 2018	Satisfactory Assurance	Draft report issued, out for management comment
September 2018	Collaboration – Business Planning	-	-	Report to be issued
September 2018	Health and Safety	-	-	Awaiting draft report
September 2018	Commissioning	-	-	Audit commenced 24 th September

Forthcoming Audits

Date of Audit	Auditable Area	Status
August 2018	Collaboration – Risk Management	Delay due to EMOpSS
Proposed October 2018	GDPR	Audit not yet scheduled
October 2018	Firearms Licensing	Terms of Reference agreed, audit will commence 16 th October
Proposed November 2018	Core Financial Systems	Audit to take place 26 th November
TBC	Seized Property	Audit deferred to Quarter 4
TBC	Late Night Levy	Audit not yet scheduled
Proposed March 2019	IT Strategy	Audit deferred to Quarter 4
Proposed March 2019	Partnership Working	Audit to take place 31 st March 2019

Overview of all ongoing actions from Audits & Inspections - Appendix 1

Area Identified for further scrutiny – Nottinghamshire Police's Approach to tackling Domestic Abuse – See Appendix 2

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 – Nottinghamshire Police's Approach to tackling Domestic Abuse

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

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	0	3	0
Audit-Mazars	Data Protection Act Compliance Oct 2016	October 2016	14	2	12	0	2	0
Audit-Mazars	Procurement Follow up Nov 2016	November 2016	9	0	9	0	0	0
Audit-Mazars	Core Financials Systems Assurance Dec 2016	December 2016	9	1	8	0	1	0
Audit-Mazars	HR Recruitment and Selection	January 2017	4	3	1	0	3	0
Audit-Mazars	Data Quality 2016/17	May 2017	4	2	2	0	2	0
Audit-Mazars	Risk Management	May 2017	7	1	6	1	0	0
Audit-Mazars	Fleet Management	August 2017	6	4	2	0	2	0
Audit-Mazars	Workforce Planning	September 2017	8	1	7	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	24	6	18	0	6	0

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Audit-Mazars	Procurement Follow up Sept 2017	September 2017	3	1	2	0	1	0
Audit-Mazars	Core Financials Follow up July 2016	October 2016	12	1	11	0	1	0
Audit-Mazars	EMCHRS Learning & Development Collaboration	August 2017	5	1	4	0	1	0
Audit-Mazars	Joint Code of Corporate Governance	November 2015	2	1	1	0	1	0
Audit-Mazars	Safety Camera Partnership	September 2017	2	1	1	0	1	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	4	1	0	4	0
Audit-Mazars	MFSS Contract Management	June 2018	4	4	0	4	0	0
Inspection-HMIC	Nottinghamshire Police's approach to tackling Domestic Abuse (local report)	March 2014	13	1	12	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	1	30	0	1	0
Inspection-HMIC	Legitimacy 2016	December 2016	10	1	9	0	1	0
Inspection-HMIC	Effectiveness 2016	March 2017	10	2	8	0	2	0
Inspection-HMIC	Neighbourhood Strategy	2018	16	16	0	0	0	0
Inspection-HMIC	Efficiency, Legitimacy and Leadership Hot Debrief 2017	May 2017	9	2	7	0	2	0
Inspection-HMIC	Making it Fair: Disclosure of unused material in volume Crown Court Cases	July 2017	6	4	2	0	4	0

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Inspection-HMIC	National Child Protection 2015	August 2015	8	1	7	0	1	0
Inspection-HMIC	Stolen freedom: the policing response to modern slavery and human trafficking	October 2017	7	1	6	0	1	0
Inspection-HMIC	PEEL Effectiveness 2017	September 2017	23	23	0	0	23	0
Inspection-HMIC	Additional PEEL Efficiency, Legitimacy, Leadership Actions 2017	2017	7	7	0	0	7	0
Inspection-HMIC	Progress Report on Domestic Abuse	Jan 2018	2	0	2	0	0	0
Inspection-HMIC	Hate Crime Thematic	2018	15	15	0	15	0	0
Inspection-HMIC	PEEL Legitimacy inc Leadership 2017	2017	4	4	0	0	4	0
Inspection-HMIC	PEEL Vulnerability Re Visit 2017	2017	9	9	0	0	9	0
Inspection-HMIC	PEEL Effectiveness National Report	2018	3	3	0	3	0	0
Inspection-HMIC	PEEL Efficiency 2017	2017	2	2	0	2	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

Appendix 2 - Nottinghamshire Police's Approach to tackling Domestic Abuse: Outstanding Recommendation

Area Identified for further scrutiny –

The area identified by the Chair of the Panel for further scrutiny this period is Nottinghamshire Police's approach to tackling Domestic Abuse which was a local HMIC Inspection completed in 2014. The key reason for this choice was 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 (DV) cohort into the Integrated Offender Management (IOM) process, so that Nottinghamshire would have a stronger focus on repeat victims and serial perpetrators.

Update

Since October 2017 Nottinghamshire IOM have developed a cohort of high risk serial DV perpetrators. Offenders are selected using the current academic leading tool – the Priority Perpetrator Identification Tool (PPIT).

IOM currently manages 45 of the highest risk serial DV perpetrators using the standard IOM mechanisms and processes, but with the additional resources of embedded IOM Independent Domestic Violence Advisors (IDVAs) and expert consultation on all Offender Management decisions from the Domestic Abuse Support Unit.

The scheme was developed in 2017 in full consultation with all Offender Management and Domestic Abuse services and since its inception has been very successful. We are able to tailor measures such as licence conditions, prison releases, and community offender management to ensure that the risks posed by these people are significantly reduced.

As the risk levels are reduced through tried and tested IOM tactics (daily risk assessment, weekly case reviews, prison release and licence planning etc.) they can be removed from this cohort (with the consent of all agencies), to be replaced by those whose current risk requires that level of resource heavy management.

IOM IDVAs have received 131 referrals for survivors linked to this cohort and have identified 152 children at risk through their association with these perpetrators. The scheme has also been successful in achieving engagement with offenders to undertake rehabilitative programmes as part of their licences.

The scheme sits alongside and complements existing DV measures to deliver a greater level of safety for the survivor through intensive management of the perpetrator.