

Appendix 2: Audit and Inspection Actions Update Report. Quarter 1: 2016/17

| Summary                               | Current | Previous | Trend |
|---------------------------------------|---------|----------|-------|
| Action(s) off target                  | 4       | 29       | ↓     |
| Action(s) at risk of being off target | 12      | 6        | ↑     |
| Action(s) proposed for closure        | 2       | 8        | ↓     |
| New Action(s)                         | 6       | 7        | ↓     |
| Total actions                         | 24      | 50       | ↓     |

RAG Key

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| On target to deliver within constraints, including target completion date, budget and resource allocated. It is also anticipated that any expected efficiency savings will be met. No further action required at this time.   |
| At risk of going off target (within 1 month): It is anticipated that there will be some slippage from the original target completion date and / or other constraints such as budget, available resource or expected efficiency saving. To be highlighted to the Portfolio Board as an issue for monitoring. |
| Off target: Target date and / or other constraints such as budget or available resource have been exceeded, or it is anticipated that an expected efficiency saving will not be met. Issue to be highlighted to the Portfolio Board and corrective action sought to meet business objectives.               |

Action(s) off target

| Target date | Recommendation or Issue  | Action   | Manager Responsible                                | Source originator. | Source title   | Action Status | Action update  |
|-------------|--|--|--|--------------------|--|---------------|--|
| 30/6/2016   | Recommendation:<br>Provide assurance / response to the DCC in relation to final published report: National Child Protection Inspection. Post Inspection Review 3-7th August 2015   | Action:<br>Consult with stakeholders and subject matter experts to provide a response to final report. National Child Protection Inspection. Post Inspection Review 3-7th August 2015. Present findings to DCC for scrutiny and approval. Once approved input if needed all activity into 4action. | Julie Mair<br>(Organisational Development Manager) | HMIC               | National Child Protection Inspection. Post Inspection Review 3-7th August 2015 | Off target    | 28/07/2016 Det Supt Griffin is due to meet with Moira Munroe from HMIC to finalise the Force's response to this review in August prior to publication"   |
| 30/6/2016   | Recommendation 11:<br>The force should review the process by which repeat standard risk cases are identified and put in place a means by which these are monitored to ensure risk assessments accurately reflect a series of low level incidents.  | Action:<br>Review the process by which repeat standard risk cases are identified and put in place a means by which these are monitored to ensure risk assessments accurately reflect a series of low level incidents.  | DCI Leigh Sanders                                  | HMIC               | Nottinghamshire Police's approach to tackling Domestic Abuse (local report)    | Off target    | 28/07/2016 TDI Dean: DA has been subject of a process review and this area has been highlighted to the review team who will look at recommendations surrounding this. This process happens in a multi-agency environment within the MASH and DART but the above is to look at what the police response will be.<br><br>This action is not expected to be finalised until the results of the Peer to Peer review and the Public Protection Business Case have been finalised. A new completion date of November 2016 is proposed.   |
| 30/6/2016   | Recommendation 9:<br>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. | Action:<br>Develop 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.                       | DCI Leigh Sanders                                  | HMIC               | Nottinghamshire Police's approach to tackling Domestic Abuse (local report)    | Off target    | 28/07/2016 TDI Dean has met with Insp Harris and CI Anderson to look at whether this area of perpetrator management can sit within IOM. This is ongoing.<br><br>This action is not expected to be finalised until the results of the Peer to Peer review and the Public Protection Business Case have been finalised. A new completion date of November 2016 is proposed.  |
| 30/6/2016   | Recommendation 4.4:<br>The Force should report annually on activity against historic plans and refresh future forecasts and plans accordingly.   | Action:<br>Carry out a review to understand the level of resources required to report annually on activity against historic plans and refresh future forecasts and plans accordingly.  | Maria Fox (Archive & Exhibits Manager)             | Mazars             | Proceeds of Crime Act January 2016   | Off target    | The thrust of this action required a paper to be put before the Transformation Board in respect of certain matters. That has now been completed. Thinking further ahead and in direct response to the wording of the action as opposed to the narrative I think there is a need to report formally to the Force the annual ARIS incentivisation (held by HO and published on performance insight). It needs to be decided what is the best format for reporting to take place.<br><br>DCC Scrutiny 25/07/2016: Requested copy of final report to put this recommendation into context. |

Action(s) at risk of being off target (Overdue within the next month)

| Target date | Recommendation or Issue   | Action  | Manager Responsible   | Source originator. | Source title   | Action Status | Action update  |
|-------------|---|---|---|--------------------|--|---------------|--|
| 31/08/2016  | Recommendation:<br>MFSS process maps and desk instructions should be subject to review and update where necessary, following which they should be subject to this process at least annually. Any revisions to instructions should be communicated to all relevant staff | Action:<br>Shelley Foy MFSS Accounts and Purchasing Service Delivery Manager. Review and update map and desk instructions. Introduce a regular updating process to include revisions to instructions to be communicated to all relevant staff | Mark Kimberley<br>(Head of Finance Nottingham)                        | Mazars             | Core Financials February 2016                                | At Risk       | Follow up visit from MAZARS auditors on 05/07/16 states: , audit obtained the reviewed desk instructions and noted that the date of the documents was either the same as previous or was not evident. Additionally, the following is not evident on the desk instructions:<br>• Version control; • Last review date; • Next review date; and, • Name of reviewer.<br>Therefore, there is no evidence of when the review took place, who completed the review and when the next review is due and so audit could not confirm, other than through discussion, that a review of all the desk instructions had taken place.<br>It has therefore been concluded that this recommendation has been partially implemented and it has been agreed that further updates will be completed by the end of August 2016.<br><br>DCC Scrutiny 25/07/2016. Supports end August as new completion date   |
| 31/08/2016  | Provide assurance / response to the DCC in relation to final published report.: In harms way: The role of police in keeping children safe.  | Action:<br>Consult with stakeholders and subject matter experts to provide a response to final report. Present findings to DCC for scrutiny and approval. Once approved input if needed all activity into 4action.                            | Natalie Baker<br>(Corporate Governance and Business Planning Manager) | HMIC               | In harms way: The role of policing in keeping children safe. | At Risk       | Update: Still collecting responses from Key stakeholders and subject matter experts. Request target completion date be changed to end August 2016.<br><br>DCC Scrutiny 25/07/2016: Approval to extend the target completion date to end August.  |
| 31/08/2016  | Recommendation:<br>The police and CPS should ensure that a formally agreed common naming convention covering all document types is consistently applied   | Action:<br>Formally agree with CPS a common and consistent naming convention covering all document types.   | Janet Carlin  | CJJI               | Delivering Justice in a Digital Age                          | At Risk       | Update 13/7/16 (JC) - The workshop on the 5th July took place and the phase two of naming conventions is now in draft form. For the most part the technical solutions are easy to determine in Niche however there are some which need further work (Phase 1 and 2) and a meeting took place on 12th July between East Midlands CJ, CPS and Niche technical leads to find a solution for the region. This is being designed and hopefully a solution for delivery will be put into place within the next two months. It does however, rely upon officers inputting details correctly and in the right field in order for the correct information to be transferred. Information on how this is to be achieved will be provided once the technical solution is built and ready to be delivered. any non-compliance therefore would need to be reported back to force to take remedial action.<br><br>DCC Scrutiny 25/07/2016: Update comment noted. |

| Target date | Recommendation or Issue   | Action   | Manager Responsible                            | Source originator. | Source title  | Action Status | Action update   |
|-------------|---|--|--|--------------------|---|---------------|---|
| 31/08/2016  | Recommendation:<br>National Police Chief's Council, CPS and Her Majesty's Courts and Tribunals Service undertake a comprehensive national cost and benefits assessment resulting from digitalisation implementation. This should be informed by information from a local level  | Action:<br>Undertake a comprehensive cost and benefits assessment resulting from digitalisation implementation, informed by information from the local Digital Working Group.  | Janet Carlin                                   | CJJI               | Delivering Justice in a Digital Age   | At Risk       | Update J Carlin 13/07/2016: This is a national action and not one which will be directed locally. Nottinghamshire Police will need to respond to whatever is put to us as and when it arrives. It may come via the Chief Constable who will pass it to Ch Supt Julia Debenham Head of East Midlands Criminal Justice or it may go straight to Ch Supt Debenham who will respond accordingly. Whilst there may be some benefits realisation from Niche, this is a much wider area of work and across several agencies.<br><br><b>DCC Scrutiny 25/07/2016: Update comment noted.</b>  |
| 31/08/2016  | Recommendation 8:<br>With the CPS and courts, the force should reduce the double listings of domestic abuse cases to improve victim engagement and attendance.  | Action:<br>With the CPS and courts, the force should reduce the double listings of domestic abuse cases to improve victim engagement and attendance.   | DCI Leigh Sanders                              | HMIC               | Nottinghamshire Police's approach to tackling Domestic Abuse (local report) | At Risk       | Update: With the advent of NICHE there should be no double bookings / listings as it is an automatic system that enables regional custody suites to bail to Nottinghamshire DA courts. However at the last Domestic and Sexual Violence Action Delivery Board (where both CPS and Court representatives attend) it would still appear that both a) Double listings still occur as does B) Persons charged do not appear on the court listings. To that extent, there must still be teething issues with NICHE and within the custody process. To liaise with NICHE project board and head of custody to establish where the difficulty exits with what appears to be an automated service.<br><br><b>DCC Scrutiny 25/07/2016: Update comment noted.</b> |
| 31/08/2016  | Recommendation:<br>The force should improve the way it works with partners to share information and safeguard vulnerable people, specifically in relation to addressing the backlog in cases that require further assessment and referring to other organisations.  | Action:<br>DCI Sanders to work with the Head of Children's Services Clive Chambers to reorganise the structure of Safeguarding. Review and update as necessary Information Sharing Agreements. Publish any new agreements on the library and communicate this through a weekly order.  | Det Supt Robert Griffin                        | HMIC               | PEEL: Police effectiveness 2015 (vulnerability National & Local)            | At Risk       | Update: Leigh Sanders still working with Clive Chambers on the restructure. Request to extend target completion date to take into account the complexity of this work. (Jan 2017)<br><br><b>DCC Scrutiny 25/07/2016: Immediate update needed please. Need to determine what the specific difficulties are with completing this activity and why an extension to the end of Jan 2017 is required.</b>  |
| 31/08/2016  | Recommendation:<br>Management should review the suppliers in the system and remove those which are no longer being used. Management should ensure that staff use existing suppliers before procuring from new suppliers, and use this as a basis for negotiating multiple purchase discounts where possible. This should be monitored in line with recommendation 4.5. (Local Responsibility)   | Action:<br>Nottinghamshire Police Contract lead to ensure MFSS to carry out an audit and data cleanse the suppliers from the system Communication to be sent out advising staff to use existing suppliers before procuring from new suppliers. Communication to be sent out advising staff to use existing suppliers before procuring from new suppliers   | Ronnie Adams (Commercial Director Procurement) | Mazars             | Procurement January 2016  | At Risk       | <b>Lindsey Stillings, 01.8.2016: The Force needs to ask MFSS to provide a list of suppliers. Finance colleagues will consult with key individuals in Force to ascertain which, if any suppliers, can be purged from the list. Lindsey has asked Paul Dawkins for an update on this, Paul Dawkins to check with Mark Kimberley and update.</b>   |
| 31/08/2016  | Recommendation:<br>Consideration should be given to monitoring purchases below £25,000 across the shared service forces.  | Action:<br>Nottinghamshire Police Contract lead to ensure MFSS take on responsibility to ensure that all low value spend is aggregated (passing to EMSCU above 25k), and suppliers are contracted through joint arrangements.<br><br>Action:<br>EMSCU to monitor and report under £25,000 spend in Nottinghamshire. EMSCU to also identify where multiple contracts could be amalgamated to deliver greater economies of scale and further savings   | Ronnie Adams (Commercial Director Procurement) | Mazars             | Procurement January 2016  | At Risk       | <b>Lindsey Stillings, 01.08.2016: Awaiting update from Ronnie Adams.</b>  |
| 31/08/2016  | Recommendation 5:<br>All police forces have effective processes for the supervision and management of pre-charge bail in accordance with Authorised Professional Practice (paragraph 5.30).   | Action:<br>Review and develop a scorecard through the VOLT and the regional EMCJS process. Update the procedure to make reference to the scorecard and communicate the changes.  | Ch Supt Julia Debenham                         | CJJI               | Provision of Charging Decisions   | At Risk       | LJ update 06/07/2016: Bail plan for region agreed at SMT, debated at SCG. For Notts bail plan is already in place for most part with bail Sgts. Notts perform is generally better than rest of region for this reason.<br><br><b>DCC Scrutiny 25/07/2016: An update will be provided by Ch Supt Debenham at FEB in September.</b>   |
| 31/08/2016  | Recommendation 4.9:<br>The reports detailing officers who are still to complete the Victims Code training should be located and the system for following up non compliance established to provide assurance that all officers are adequately trained to ensure compliance with the Code.  | Action:<br>Contact EMCHRS and ensure they provide 6 monthly updates on who has completed Compliance with the Code Training. This to be circulated to Heads of Department for appropriate action.   | T/Ch Insp Andrew Goodall                       | Mazars             | Victim Code of Practice   | At Risk       | DCC Scrutiny 28/06/2016 DCC questions, do we need to do the same as West Midlands Police and if so link in with EMCHRS and work with them?<br><br><b>DCC Scrutiny 25/07/2016: Update needed please.</b>   |
| 31/08/2016  | Recommendation 14:<br>Local Safeguarding Children's Boards (LSCBs) should hold police forces and local authority children's services to account for the provision of services to divert children away from custody and provide support as required in law to children in custody. Police forces urgently should work with local authorities and LSCBs to:<br><br>a) develop joint strategies that equip frontline staff to manage the behaviour of children looked after by the local authority so that detention is a last resort;<br>b) ensure that no child who is looked after by the local authority is denied accommodation by them;<br>c) share data, as collected under recommendation 1, to inform local joint strategic needs assessments on safe accommodation requirements for children;<br>d) record and report to the LSCB the number of children held in custody (and their legal status), the efforts made to secure alternative accommodation and the reasons for failing to do so (with plans to address them); and<br>e) promote joint engagement with local Magistrates' Associations to support a common, cross-agency understanding of relevant terminology, in particular the distinction between 'safe' and 'secure' accommodation. | Action:<br>Nottinghamshire Police will work with Local Safeguarding Boards and local authorities to divert children away from custody. The force will also help to -<br><br>a) develop joint strategies that equip frontline staff to manage the behaviour of children looked after by the local authority so that detention is a last resort;<br>b) ensure that no child who is looked after by the local authority is denied accommodation by them;<br>c) share data, as collected under recommendation 1, to inform local joint strategic needs assessments on safe accommodation requirements for children;<br>d) record and report to the LSCB the number of children held in custody (and their legal status), the efforts made to secure alternative accommodation and the reasons for failing to do so (with plans to address them); and<br>e) promote joint engagement with local Magistrates' Associations to support a common, cross-agency understanding of relevant terminology, in particular the distinction between 'safe' and 'secure' accommodation. | Ch Supt Julia Debenham                         | HMIC               | Welfare of Vulnerable People in Custody                                     | At Risk       | Update LJ 07/07/2016:discussion has taken place with Supt Rob Griffin who will take the finalised data to the Local Safe guarding children's Board. A section 38 agreement has been signed by the force and Insp Neil Smith is developing this agreement and the National children's Concordat to ensure certificates of detention are included on the necessary files. A single email address has been created to allow review of those cases where the Magistrates have any concerns. A performance Health Check was sent as evidence of this work.<br><br><b>DCC Scrutiny 25/07/2016: An update will be provided by Ch Supt Debenham at FEB in September.</b>  |
| 31/08/2016  | Recommendation 9:<br>Police forces should establish a race equality governance framework linked to the force's risk register. This framework should include:<br><br>a) collection of core data sets by ethnicity<br>b) development of a common understanding of the current situation through analysis of the data and engagement with Independent Advisory Groups and local communities;<br>c) plans to make improvements to practice where this is identified as being necessary; and<br>d) establishing appropriate leadership and governance structures to oversee and make sure the work is carried out.   | Action:<br>Nottinghamshire Police to establish a race equality governance framework linked to the force's risk register. The framework will include:-<br><br>a) collection of core data sets by ethnicity;<br>b) development of a common understanding of the current situation through analysis of the data and engagement with Independent Advisory Groups and local communities;<br>c) plans to make improvements to practice where this is identified as being necessary; and<br>d) appropriate leadership and governance structures to oversee and make sure the work is carried out.   | Ch Supt Julia Debenham                         | HMIC               | Welfare of Vulnerable People in Custody                                     | At Risk       | DCC Scrutiny 28/06/2016: Please can LJ or JD arrange to present all HMIC activity to the next most convenient Force Executive Board so COT can be assured that the recommendations have been dealt with.<br><br><b>DCC Scrutiny 25/07/2016: An update will be provided by Ch Supt Debenham at FEB in September.</b>   |

| Proposed for closure. |  |   |                                |                    |   |                    |  |
|-----------------------|--|---|--------------------------------|--------------------|---|--------------------|--|
| Target date           | Recommendation or Issue  | Action  | Manager Responsible            | Source originator. | Source title  | Action Status      | Action update  |
| 18/6/2016             | Recommendation:<br>The workforce is not universally aware of the coaching and mentoring scheme, which is an area that the force could improve. This means the force may not fully identify the talent available in the organisation. | Action:<br>Re-promote Force-wide (via Corporate Communications) coaching and mentoring development opportunities. This will assist line managers to help support their team's PDR conversations, understand what talent development processes exist and how individuals can potentially access a Force mentor or coach. | James Lunn (Senior HR Partner) | HMIC               | Leadership 2015   | Recommend Complete | IH update 22/07/2016: Guidance information for line managers regarding the process for accessing either coaching and mentoring support is provided on the Force PDR intranet page. A specific coaching and mentoring section will be incorporated into the online PDR documentation from the start of the 2017/18 PDR year. This will call a manager's attention to the coaching and mentoring process, how it works and what a manager needs to do. The Leadership and Management Development function has regular direct contact with senior leaders and will continue to highlight the role and the importance of coaching and mentoring opportunities for their officers and staff. Coaching and mentoring also clearly feature within internal promotion processes, as part of the development options running alongside the work-based assessment stage.<br><br>As part of the expected tri-force Organisational Development and Leadership Strategy, opportunities to create a shared coach and mentor pool with local Fire and Rescue Services will be explored.<br><br><b>DCC Scrutiny 25/07/2016: DCC will review Ian Hebbs comment and reconsider completion of this activity. BT to send update.</b>   |
| 30/9/2016             | Recommendation 11.2 and joint working structures in place to ensure an integrated approach to HBV, FM and FGM between police forces and other agencies.  | Action: 11.2 Develop joint working structures to enable an integrated approach to HBV, FGM and FM between police forces and other agencies.   | Det Supt Robert Griffin        | HMIC               | The depths of dishonour: Hidden voices and shameful crimes. | Recommend Complete | Nottinghamshire Police have reviewed and updated their own procedures/policies in all three of these fields. FGM – there is a cross authority strategic group, chaired by consultant paediatrician/DCI Bowden. Attendees are from all partner agencies and include NGO's. The purpose of the group is to develop and deliver a robust strategy to prevent babies, infants, children and young women from undergoing this illegal procedure and identify and support women affected by FGM. To manage and co-ordinate the development and implementation of the overarching strategy. To develop and implement individual areas of the FGM action plan through multi agency and integrated working practices in conjunction with robust community engagement, consultation and development. Analyse, interpret and disseminate the results of local and national epidemiology. Ensure FGM is integral to multiagency safeguarding: Adults and Children referral pathways. Ensure FGM is embedded within all Domestic Violence cases (including children). Develop, promote and monitor training provision and uptake. Promote and support local community engagement. Develop robust commissioning systems which will improve access to appropriate services including but, not exclusively: maternity, paediatric, obstetrics and mental health services. The Female Genital Mutilation Board will provide leadership, guidance and expertise for the successful identification and prevention of FGM. It will ensure that key leaders, experts and officers are engaged in the governance structure at the appropriate level. It will also ensure robust project, financial and information management. The Group will be accountable to the Nottingham City Adults and Children's Safeguarding Boards and Nottinghamshire County Adults and Children's Safeguarding Boards. This group has produced a clear working practice for all partners to adhere to. Best practice and current guidance are distributed to all partners. HBA/FM – there are single authority groups looking at these areas under the DSWA in the City and a Task and Finish Group in the county whose purpose it is to improve practice/reporting and raise awareness in these areas.<br><br>Request to show this as complete.<br><br><b>DCC Scrutiny 25/07/2016. Support completion once I have seen the ToR and membership for the strategic group.</b> |

| New Actions in last quarter |   |   |                     |                    |                                 |               |               |
|-----------------------------|---|---|---------------------|--------------------|---------------------------------|---------------|---------------|
| Target date                 | Recommendation or Issue   | Action  | Manager Responsible | Source originator. | Source title                    | Action Status | Action update |
| 31/12/2016                  | Recommendation 4.3:<br>A standard level of access should be agreed upon so that it can be consistently applied.   | Action:<br>Agree a standard level of access so that it can be consistently applied.   | Insp Craig Nolan    | Mazars             | Implementation of DMS June 2016 | On Target     |               |
| 31/12/2016                  | Recommendation 4.2:<br>A Standard Operational Manual should be produced that clearly documents the procedures and processes that should be carried out on the DMS System by administrators. This should include starters, leavers, temporary promotions, amendments to access. Moreover, clear workflows should be produced that shows how requests are to be processed by the RMU, MFSS and Crown. | Action:<br>Write a Resource Management Unit 'in house' manual of guidance that clearly identifies all the maintenance functions of the Duty Management System.  | Insp Craig Nolan    | Mazars             | Implementation of DMS June 2016 | On Target     |               |
| 30/4/2017                   | Recommendation 4.5<br>The Force should raise the issue of system reconciliation with MFSS and ensure that an effective process for reconciling data between Oracle and DMS can be completed on a regular basis  | Agreed.<br>Action: Implement a process to ensure the interface of reconciliation data between Oracle and DMS can be completed on a regular basis.   | Insp Craig Nolan    | Mazars             | Implementation of DMS June 2016 | On Target     |               |
| 30/4/2017                   | Recommendation 4.6<br>The Force should determine what reports they require for effective review and monitoring purposes and then request this functionality from MFSS,  | Action:<br>Review and introduce Myanalytics as a dashboard for users to enable the running of reports for effective review and monitoring purposes.   | Insp Craig Nolan    | Mazars             | Implementation of DMS June 2016 | On Target     |               |
| 31/12/2016                  | Recommendation 4.4:<br>A review of the existing trees in the system against the HR structure should be completed to ensure that the trees in the system are correct and that individual users are correctly placed in their respective tree.  | Action:<br>a) Review the existing trees in the system against the HR structure to ensure that the trees in the system are correct and that individual users are correctly placed in their respective tree.<br>b) Once reviewed write a procedure to inform all staff using DMS of their responsibilities particularly in relation to informing DMU that line management have ceased. This new procedure should be put on the library with a link to the RMU Intranet site. A communications to go out on weekly orders to support this new procedure publication. Link this action to recommendation 4.1. System Governance | Insp Craig Nolan    | Mazars             | Implementation of DMS June 2016 | On Target     |               |
| 31/12/2016                  | Recommendation:<br>The Force should clarify the roles and responsibilities of the parties involved in the ownership, maintenance and usage of the DMS System. This should include the information asset owners and information security responsibilities.   | Action:<br>Clarify roles and responsibilities of parties involved in the ownership, maintenance and usage of the Duty Management System, to include:<br>a) Identification of the information asset owner<br>b) Who has information security responsibility?<br>Link this action to recommendation 4.4. Supervision Trees. The clarification of roles and responsibilities once identified to be communicated on the RMU intranet site.  | Insp Craig Nolan    | Mazars             | Implementation of DMS June 2016 | On Target     |               |