

For Information	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	23rd September 2014
Report of:	ACO Resources
Report Author:	Beverly Topham, Strategic Support and Review Officer
E-mail:	Beverly.topham@nottinghamshire.pnn.police.uk
Other Contacts:	Julie Mair, Organisational Development Manager Paul Steeples, Interim Head of Business and Finance
Agenda Item:	9

AUDIT AND INSPECTION

1. Purpose of the Report

- 1.1 To provide the Audit and Scrutiny Panel with an update on the status of audits and inspections taking place in Force. This report also informs the Panel of expected future audits and inspections.

2. Recommendations

- 2.1 That the Panel notes the progress made against audit and inspection recommendations.
- 2.2 That the Panel takes note of forthcoming audit and inspections.

3. Reasons for Recommendations

- 3.1 To enable the Panel to fulfil its scrutiny obligations to oversee and consider Force arrangements to deliver against audits and inspections.

4. Summary of Key Points

- 4.1 The actions outlined in this report are the result of recommendations made by the Force's internal auditor Baker Tilly (formerly RSM Tenon) and external inspectorates, such as Her Majesty's Inspectorate of Constabulary (HMIC) and Criminal Justice Joint Inspectorate (CJJI). They are managed through the Force Activity Plan process and reported at the Chief Officer Portfolio Boards on a monthly basis.
- 4.2 Appendix 1 'Audit, Inspection and Review Status Report Quarter 1' gives a summary of current, recent and forthcoming audits, inspections and reviews taking place in force.
- 4.3 **Actions update** – Appendix 2 outlines the actions arising from audits and inspections that are off target, at risk of being off target, closed, on target and new actions added in Quarter 1.

4.4 **Overdue actions** - There is one action arising from audit and inspection which is currently overdue:

- **Baker Tilly – Culture Review.**

Action: Complete a staff survey to gauge if the cultural change has had an impact.

Comment: ACO Monckton update 05/09/2014: Decision has been taken to delay the staff survey until 2015 as the level of change that the force is undergoing will give an unrepresentative result. Feedback has been received through various forums and this feedback was collated into a COT paper at the beginning of the summer. A number of actions from that paper are being taken forward, for example roll out of leadership development quest.

4.5 **Recent Audits and Inspections.**

See appendix 1.

4.6 **Forthcoming audits and inspections**

See appendix 1.

4.7 A number of audit reports have recently been received and actions need to be agreed for these, there are also a number of reports due. All of these reports will be scrutinised and where necessary actions agreed and added to the Force Activity Plan.

5. Financial Implications and Budget Provision

5.1 There are no direct financial implications. 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. Where an audit or inspection has Human Resources implications, these will be managed through the Force Activity Plan.

7. Equality Implications

7.1 There are no direct equality implications. Any equality implications which arise from an audit or inspection recommendation will be managed on an individual basis.

8. Risk Management

8.1 There is a risk to Force reputation, if mandatory or agreed actions identified as a result of audit or inspections are not completed. The degree of risk will

depend on the nature of the audit or inspection and will be assessed on a case by case basis.

9. Policy Implications and links to the Police and Crime Plan Priorities

9.1 Where an audit or inspection recommends changes to Force Policy or Strategy, those changes will be managed through the Force Activity Plan.

10. Changes in Legislation or other Legal Considerations

10.1 Where an audit or inspection relates to a change in Legislation or other legal considerations, those changes will be managed through the Force Activity Plan.

11. Details of outcome of consultation

11.1 This process for monitoring audits, inspections and reviews has been agreed by the Chief Officer Team (COT).

11.2 Action owners are consulted through the action monitoring process.

12. Appendices

12.1 Appendix 1: Audit, Inspection and Review Status Report Q1

Appendix 2: Actions arising from audits and inspections that are off target, at risk of being off target, proposed for closure, on target and new actions added in Quarter 1

Appendix 1: Audit, Inspection and Review Status Report. Quarter 1.

On target	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	Actions will be off target within one month and / or are unlikely to be completed by the end date.
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.

Current Audits, Inspections and Reviews

COT Portfolio	Title	Scrutiny Body	Audit, Inspection or Review	Total number of actions	Actions				
					On target	At risk of being off target*	Off target	Proposed for Closure	Closed
ACO Monckton	Culture Review	Baker Tilly	Audit	2			1		1
ACO Monckton	Proceeds of Crime Act	Baker Tilly	Audit	7					7
ACO Monckton	Partnerships Governance 2012	Baker Tilly	Audit	1	1				
ACO Monckton	Environmental Policy	Baker Tilly	Audit	1	1				
ACO Monckton	Estates Management	Baker Tilly	Audit	1					1
ACO Monckton	Health and Safety	Baker Tilly	Audit	1					1
ACO Monckton	Workforce Planning	Baker Tilly	Audit	4		1			3
ACC Jupp	Business Planning	Internal	Audit	1	1				
ACC Jupp	Everyones Business: Improving the Police Response to domestic abuse (National Report)	HMIC	Inspection	2					2
				20	3	1	1	0	15

*Actions will be off target within one month and/ or are unlikely to be completed by the original target date.

Recent Audits, Inspections and Reviews

COT Portfolio	Title	Description	Date	Force Lead	Status
ACO Monckton	HMIC: Valuing the Police 4 (VtP4).	How forces are responding to the remainder of the spending review but in particular look at preparations for 2015/16 and beyond.	12th – 13th May 2014	Paul Steeples	On force action plan (4action)
ACO Monckton	HMIC: Building the Picture. Information Management.	If force strategies, policies and procedures for information management adhere to the principles of the MoPI doctrine, are proportionate to risk and fit for purpose.	23rd – 25th June 2014	Julie Mair	Awaiting final report.
ACC Jupp	HMIC: Crime Data Integrity Audit.	Assess crime recording standards, examine incidents already reported to the police and crimes which have subsequently been recorded. Interviews with staff and visits to departments will help us understand the reasons for any issues around crime recording standards.	30th June – 3rd July 2014	DCI Simon Firth	Awaiting final report. (due in the autumn)
ACC Jupp	HMIC: Crime Data Integrity Inspection	As above.	8 th – 10 th July 2014	DCI Simon Firth	Awaiting final report. (due in the autumn)
DCC Fish	HMIC: Police Integrity and Corruption	A research of policies, procedures and guidance to determine the direction, influence and control that organisations have on operational officers in respect of integrity and anti-corruption.	23 rd – 25 th July 2014	D Supt Jackie Alexander	Awaiting final report.
ACO Monckton	Baker Tilly: Absence Management	To evaluate and the adequacy of risk management and control within the system and the extent to which controls have been applied, with a view to providing an opinion.	10th - 14th March 2014.	Steve Mitchell.	Actions to be captured
ACO Monckton	Baker Tilly: Information Management	Effective governance and co-ordination of Information Management compliance arrangements within the Force and Management arrangements to prevent an avoidable breach of the Data Protection Act (DPA) and The Force's Information Management Policies which could otherwise result in enforcement action, financial penalty or reputational damage.	22nd -24th April 2014	Julie Mair	Actions to be captured
ACO Monckton	Baker Tilly: Business Continuity and IT Disaster Recovery Plan.	To ensure the Force has effective IT disaster recovery arrangements in place to minimise disruption, maintain the service continuity of information systems, and to protect the integrity of critical data in the event of a disaster occurring.	24th-26th June 2014	Christi Carson	Awaiting final report.

Forthcoming Audits, Inspections and Reviews

COT Portfolio	Title	Description	Date	Force Lead	Planning and Policy SPOC
ACC Jupp	HMIC Thematic:Welfare of vulnerable people in police custody**	This work is to include, but not be limited to, those with mental health problems, those from black and minority ethnic backgrounds and children.	Between September 2014 and January 2015	Paul Saint Insp Mark Turner	TBC
ACC Jupp	HMIC Thematic Inspection: Child Protection Arrangements**	Focus on the following areas of child protection work in police forces: <ul style="list-style-type: none"> - Section 47 Children's Act 1989 cases where there has been police involvement; - Domestic abuse cases where children have been identified as being part of the family; - Sex offender management cases where there are children identified within the risk assessment or risk planning process; - Cases of missing children, in particular those that go missing frequently and those in care; - Cases where children are considered at risk of harm from child sexual exploitation; - On-line investigations where child protection has been considered; - Cases where children or young people have been detained under Section 136 Mental Health Act 1983; and - Cases where children and young people have been remanded in custody after arrest. 	2nd - 11th September	Supt Helen Chamberlain	Beverly Topham
ACC Jupp	Police Response to Online Child Sexual Exploitation*	An additional inspection to update HMIC's original report on 21st Century Child Exploitation inspection (October 2013).	TBC	Supt Helen Chamberlain	TBC
ACC Jupp	Interim Crime Inspection	An interim inspection that will concentrate on the effectiveness of forces at cutting crime and is designed to support forces to improve the way they reduce, prevent and investigate crime including anti-social behaviour.	31st September - 3rd October 2014	Det Ch Supt Jebb	Vijayshree Appa

* This is a thematic inspection. HMIC are yet to confirm whether Nottinghamshire will be visited as part of this inspection.

** Unannounced inspection, the Force will be informed on the Thursday prior to the fieldwork commencing.

Appendix 2: Audit and Scrutiny Panel - Actions Update Report

Quarter 1: September 2014

NB. Actions include those arising from recommendations highlighted by audit, inspection or internal / external review, and any activity on the Force Activity Plan, where monitoring is required but not project management.

Summary	Current
Action(s) off target	1
Action(s) at risk of being off target	1
Action(s) proposed for closure	0
Action(s) on target	3
New action(s)	0
Total closed action(s)	8
Total actions	13

RAG Key	
On target	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	Actions will be off target within one month and / or are unlikely to be completed by the end date.
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									
Ref	Source/ Title	Action overview	Dept / Div	Action Owner	End date	Original end date	Action status	Action Update	Portfolio Board Comments
BT/94b5/141113	Baker Tilly: Culture Review.	Action: Complete a staff survey to gauge if the cultural change has had an impact.	Human Resources	James Lunn	30/04/2014		Off target	There will be a staff survey before end March 2014. Meanwhile all Divisions and Departments have had action plans in place following the last staff survey and an update report was recently provided to FEB.	

Action(s) at risk of being off target									
Ref	Source/ Title	Action overview	Dept / Div	Action Owner	End date	Original end date	Action status	Action Update	Portfolio Board Comments
BT/9499/18314	Baker Tilly: Workforce Planning	Action: Add the form reference into the 'Police Officer Acting Duties and Temporary Promotion Procedure'	Human Resources	James Lunn	31/08/2014		At Risk	Police Officer Acting & Temporary Promotion – the procedure has been drafted and includes the form reference. Initial consultation on the draft procedure has been completed.	

Action(s) proposed for closure									
Ref	Source/ Title	Action overview	Dept / Div	Action Owner	End date	Original end date	Action status	Action Update	Portfolio Board Comments
No actions are currently proposed for closure.									

New action(s)									
Ref	Source/ Title	Action overview	Dept / Div	Action Owner	End date	Original end date	Action status	Action Update	Portfolio Board Comments
There are no new actions to be added this quarter.									

Closed action(s)									
Ref	Source/ Title	Action overview	Dept / Div	Action Owner	End date	Original end date	Action status	Action Update	Portfolio Board Comments
HC/34a4/22714	Everyone's business: Improving the police response to domestic abuse. (National Report)	Research team to carry out a review to establish best practice by consultation with OoPCC, Partners, Support Organisations and Victims' representatives to specify in detail what steps it will take to improve its approach to domestic abuse. Work with Planning and Policy to produce a plan which will be monitored through the force action plan with scrutiny through the ACC / ACO Boards, and a final scrutiny with the DCC. The actions should be incorporated into the action plan and HMIC should be provided with a copy of each review and the action plan.	Crime and Justice	Keiley Freeman	31/08/2014		Closed	A review was completed by the Research team, who have worked with Planning and Policy to produce a plan. The completed plan has been returned to HMIC. Action complete.	
HC/c4ac/22714	Everyone's business: Improving the police response to domestic abuse. (National Report)	Complete a review using the self evaluation / gap analysis template provided by ACC Louisa Rolfe - ACPO lead for National Policing DA Working Group. Actions arising to be monitored and scrutinised through the force action plan. The actions should be incorporated into the action plan specified in Recommendation 2. HMIC should be provided with a copy of each review and the action plan.	Crime and Justice	Keiley Freeman	31/08/2014		Closed	Gap analysis / self evaluation complete. The completed domestic abuse action plan has been sent to HMIC. Action complete.	

BT/f48a/18314	Baker Tilly: Workforce Planning.	Action: HR and Finance to agree the definition of Externally Funded and Seconded Officers.	Human Resources	Roger Lee	31/05/2013		Closed	Definition agreed, ACO Scrutiny supports completion. Action complete.	
BT/6494/18314	Baker Tilly: Workforce Planning.	Action: Review and updated the recruitment and selection procedures. Present to the Force Executive Board in March 2014	Human Resources	James Lunn	30/04/2013		Closed	The Recruitment and Selection policies & procedures have now been published and communicated Action complete.	
C&J035	RSM Tenon: Proceeds of Crime Act	Action: Complete the force wide roll out of electronic property recording	Criminal Justice	Maria Fox	31/07/2014	14/11/2013	Closed	In terms of training, all supervisors are being trained (approx 1100 officers/staff over June/July 2014 with these individuals cascading this training to their staff (approx 1700 officers/staff). A Userguide, Powerpoint training presentation and demonstration video will be available on the updated Archive and Exhibits Intranet Site to support the delivery of the cascade training. Action complete.	
BT/1483/27314	Baker Tilly: Health and Safety	Action: In order for new Staff to complete the e-learning modules the Force should ensure that all new starters are communicated to the ICT Trainer Learning and Development Team.	Human Resources	James Lunn	31/08/2014	31/08/2014	Closed	Trevor Burgess receives all the names from HR on a monthly basis. Training records are checked regularly to make sure that the appropriate e learning has taken place. Action complete.	
BT/b4b9/18314	Baker Tilly: Workforce Planning.	Action: Introduce a monthly report so that budget holders can confirm the accuracy of the post holder and data.	Human Resources	David Machin	31/05/2014	31/05/2014	Closed	Incorporated staff analysis into the monthly budget holder report. In transition to self service and MFSS. Any changes the budget holder wants should feed through the HR route. Currently finance can by pass this but they will not have the ability once go to new DMS system. Example of report sent electronically to Beverly Topham to present to DCC Fish. Action complete.	
BT/f4aa/13314	Baker Tilly: Estates Management	Action: Review options for improving the management of facilities jobs to include potential software solutions and opportunities for collaborative working with Northamptonshire. Produce a report to present to the Corporate Services.	Estates and Facilities.	Tracey Blincow	31/05/2014	31/05/2014	Closed	The requirement for this action has been superseded by the implementation of Policing Business Services (PBS). Action closed.	

Action(s) on target

Ref	Source/ Title	Action overview	Dept / Div	Action Owner	End date	Original end date	Action status	Action Update	Portfolio Board Comments
BT/c482/13314	Baker Tilly: Environmental Policy.	Action: Work with Corporate Communications to develop and produce a Strategy and plan to ensure all employees are fully aware of environmental targets.	Estates and Facilities.	Ainsley Peters	30/09/2014	30/09/2014	On Target	Refreshing current Environmental Strategy. Meeting to be arranged with Paul Coffey.	
BT/44b3/141113	RSM Tenon: Partnership Governance	Action: Develop a Partnership Policy.	Business and Finance	Martin Bakalarczyk	30/09/2014	31/10/2013	On Target	Scheduled within a programme of work.	

NB/c49e/1414	Business Planning	Implement the protocol to share information to safeguard public safety following the European Union wide removal of border controls.	Crime and Justice	Insp Simon Carter	31/10/2014	31/10/2014	On Target	<p>Policy and procedural guidance with quick guides for staff have all been completed. A draft Web site together with the Policy and quick guides has been made available to the Force Design Champions for feedback by the beginning of September with a view to go live for the force in early September. The Home Office have announced a slippage of the Schengen go live until December 1st at the earliest. Mandatory NCALT training has now commenced within force and is being monitored by our Training Department.</p> <p>The form to ensure communication between the PNC Bureau and Contact Management is still in design stage.</p> <p>Back Record conversion assessment for Article 36 Discrete checking is currently being undertaken. This will need manual inputting post go live. The numbers required for circulation are anticipated to be less than 400 circulations.</p> <p>Richard Mace has audited PNC Objects and found a high compliance in readiness for go live.</p> <p>Information Services have confirmed that Capita have scoped the costs of any potential changes to the interfaces with the Home Office and Capita.</p>	
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