

For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	May 2021
Report of:	Deputy Chief Constable
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Agenda Item:	13

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 4, 2020/21.
- 1.2 To inform the Board of the schedule of planned audits and inspections.

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 Appendices 1 and 2 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 With regards to HMICFRS inspections (Appendix A) there are 39 open recommendations across the various HMICFRS reports. There are 10 closed recommendations. These closed recommendations have been reviewed by HMICFRS and they have assessed the Force's evidence as suitable to close and show it as complete.
- 4.3 Of the remaining 39 open recommendations, 7 have been assessed by the HMICFRS as requiring reality testing. This will be undertaken during the Integrated PEEL Inspection. HMICFRS will then confirm whether they are happy to close them.
- 4.4 In relation to internal audits, which have been undertaken by Mazars, there are 60 open recommendations.
- 4.5 There are currently 0 actions which have exceeded their target date.

Recent Inspection Activity

Date of Inspection	Inspection Area	Date Report Received	Final Grading	Status
October 2020	Covid-19 Policing Inspection	April 2021	N/A	Report circulated for management comment
March 2021	Fraud Inspection	-	N/A	Awaiting report
March 2021	Neurodiversity in the Criminal Justice System	-	N/A	Awaiting report
April 2021	Policing of Vigils	April 2021	N/A	No recommendations For information only

Forthcoming HMICFRS Inspections

Date of Inspection	Inspection Area	Status
July 2021	Integrated PEEL Inspection – Serious and Organised Crime	Confirmation received force will be inspected July 2021. Timetable in process of being put together

Publications

Date of Publication	Inspection Area	Status
February 2021	Stop and Search	Report published. Recommendations sent out for management update
March 2021	Policing Protests	Report published. Recommendations sent out for management update
March 2021	Roads Policing	Report published. Recommendations sent out for management update

4.5 Recent and Forthcoming Audits

Recent Audit Activity

Date of Audit	Auditable Area	Date Report Received	Final Grading	Status
February 2021	Debt Recovery	February 2021	Satisfactory Assurance	Circulated for management comments, recommendations entered on 4-Action

February 2021	Core Financials	February 2021	Significant Assurance	Circulated for management comments, recommendations entered on 4-Action
February 2021	Seized Property	February 2021	No Assurance	Circulated for management comments, recommendations entered on 4-Action
February 2021	Risk Management	February 2021	Limited Assurance	Circulated for management comments, report not agreed
April 2021	Complaints Management	April 2021	Satisfactory Assurance	Circulated for management comments, recommendations entered on 4-Action
April 2021	Wellbeing	April 2021	Limited Assurance	Circulated for management comments, report not agreed

Forthcoming Audits

Date of Audit	Auditable Area	Status
Unknown	Procurement	N/A
Unknown	Business Change	N/A
Unknown	Performance Management	N/A
Unknown	Core Financials	N/A
Unknown	Firearms Licensing	N/A
Unknown	MFSS Transfer	N/A
Unknown	Health and Safety	N/A
Unknown	Information Services	N/A
Unknown	Partnerships	N/A
Unknown	Workforce Planning	N/A
Unknown	Information Assurance	N/A

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 A – Overview of HMICFRS inspection recommendations.

12.2 Appendix B – Overview of Mazars internal audit recommendations.

HMICFRS INSPECTIONS CURRENT OVERVIEW

Date	Title	Recommendation	Total Number Outstanding	Total Number Closed
27 Nov 2018	Policing and mental health: Picking up the pieces STATUS – Evidence submitted to HMICFRS for review. The reason that one recommendation remains open is that HMICFRS will reality test when they undertake their Integrated PEEL Inspection in September 2021.			
		<p>By December 2019, forces should develop a better understanding of their mental health data, and the nature and scale of their demand. All forces should carry out a 24-hour snapshot exercise, using the new national definition of mental ill-health in Recommendation 1. This would help them see where their mental health demand is concentrated and identify any gaps in their data. The NPCC mental health lead should set out how the data was collected during the Welsh forces snapshot exercise.</p> <p>This exercise will help forces understand the strain on the service by assessing the combination of demand and workload. This will then help forces when establishing and reporting mental health demand in their force management statements (FMSs).</p> <p>The force took part in the NPCC '24 hour snapshot' exercise and have forwarded the substantial information to the NPCC for the national analysis.</p>	1	0
10 April 2019	Stalking and harassment: An inspection of Sussex Police commissioned by the police and crime commissioner, and an update on national recommendations in HMICFRS 2017 report STATUS – Evidence submitted to HMICFRS for review. One recommendation remains open as HMICFRS will reality test when they undertake their Integrated PEEL Inspection in September 2021.			

Appendix A

		<p>Within six months chief constables should ensure that forces record stalking or harassment crimes if appropriate when victims report breaches of orders.</p> <p>Within six months the National Police Chiefs Council (NPCC) lead and the CPS lead should consider whether they can do more to inform police officers and lawyers of the importance of treating breaches of orders as evidence of a wider pattern of offending, and when and in what circumstances officers and lawyers should treat this as further evidence of stalking or harassment.</p> <p>Within six months chief constables should ensure that officers are aware of the importance of treating breaches of orders, where appropriate, as part of a wider pattern of offending, and ensure that force policy and guidance helps officers to do this.</p>	1	0
17 July 2019	<p>The poor relation: The police and Crown Prosecution Service's response to crimes against older people</p> <p><u>STATUS</u> – Evidence submitted to HMICFRS for review. Two recommendations remain open, which will be reality tested when HMICFRS undertake their Integrated PEEL Inspection in September 2021.</p>			
		<p>Within six months, chief constables should make sure that victim needs assessments are always completed.</p>	2	0
		<p>Within three months, chief constables should conduct analysis of the current and future demand for adult safeguarding, including the gap in knowledge that may exist from those cases where referrals aren't made because of errors or omissions. This analysis should be incorporated into force management statements (FMSs).</p>		

27 Sep 2019	Shining a light on betrayal: Abuse of position for a sexual purpose STATUS – Evidence submitted to HMICFRS for review. The force will undergo a Counter Corruption and Vetting Inspection in November 2021. The 2 recommendations listed below will be reality tested to ensure compliance.			
		By April 2020, all forces that haven't yet done so should make sure they have enough people with the right skills to look proactively for intelligence about those abusing their position for a sexual purpose, and to successfully complete their investigations into those identified.	2	0
		<p>By April 2020, all forces that haven't yet done so should:</p> <ul style="list-style-type: none"> • record corruption using the national corruption categories; • produce a comprehensive annual counter-corruption strategic threat assessment, in line with the authorised professional practice; and • establish regular links between their counter-corruption units and those agencies and organisations who support vulnerable people. <p>Where forces are yet to implement an effective ICT monitoring system that allows them to monitor desktop and handheld devices, they should do so as soon as reasonably practicable.</p> <p>By September 2020, all forces should have completed a review of their use of encrypted apps on police ICT systems to understand the risk they pose and to take any necessary steps to mitigate that risk.</p>		
23 Jan 2020	Joint Inspection - Evidence Led Domestic Abuse Prosecutions			
		Police should ensure that investigations and decisions to take no further action in domestic abuse cases receive the same robustness of supervisory oversight as other domestic abuse cases.	0	5

Appendix A

		Police forces should ensure that training, messaging and guidance is clear that evidence led cases should benefit from the same quality of investigation, early gathering of evidence and supervisory oversight as other domestic abuse cases, particularly in cases where the victim does not support police action. Domestic abuse champions should reinforce this message.		
		Police forces with domestic abuse champions should raise awareness of the role and seek to utilise them to maximum effect.		
		The police should review training plans in order to ensure that all appropriate staff, both frontline officers and investigators, are trained how to handle domestic abuse cases.		
		Police supervisors and Crown Prosecution Service legal managers should maximise opportunities to share examples of good work and successful outcomes with their teams.		
27 Feb 2020	National Child Protection Inspections 2019 thematic report			
		We recommend that chief constables on those forces not yet inspected by the NCPI or JTAI take steps to identify and implement good practice and the learning highlighted from these programmes. This may include engaging with those forces who have been inspected, direct contact with the HMICFRS child protection lead or participating in a regional or national learning event.	0	3
		We recommend that chief constables should review performance management and quality assurance approaches to ensure that assessments of the nature and quality of decision making are routinely made. The purpose of this would be to reinforce the understanding that compliance with policy or process is only one part of effective practice.		
		We recommend that chief constables take steps to reduce the unnecessary criminalisation of children. Such steps could include (but		

Appendix A

		don't need to be limited to) considering fully a child's circumstances when making decisions; more effective use of legislation to discontinue prosecutions not in the public (or child's) interest; the development of more effective non-criminal justice pathways for vulnerable children who commit lower level crimes.		
28 Feb 2020	A joint thematic inspection of Integrated Offender Management			
	<u>STATUS</u> – Evidence submitted to HMICFRS for review. The reason three recommendations remain open is that HMICFRS will reality test these when they undertake their Integrated PEEL Inspection in September 2021.			
		Ensure that service users are kept informed, as much as possible, about the benefits of inclusion in IOM, the support available and the monitoring and information-sharing ramifications of IOM supervision.	3	1
		Analyse training needs and ensure that all staff receive sufficient training to enable them to fulfil their duties. Training in public protection, safeguarding children and working with vulnerable adults should be prioritised.		
		Improve the quality and accuracy of recording in IOM cases, in particular, the activity relating to public protection.		
		Define their IOM operating model and produce practice guidance that sets out clearly what is required by each agency at every stage of the IOM supervision process.		

9 Mar 2020	Counter-terrorism policing - An inspection of the police's contribution to the government's Prevent programme <u>STATUS</u> – Evidence submitted to HMICFRS for review. Awaiting feedback.			
		With immediate effect, the NPCC national Prevent lead and each force Prevent lead should review the attendance of force representatives at Channel panels so that police are correctly represented by decision makers who can contribute to managing risk.	1	0
9 July 2020	A call for help - Police contact management through call handling and control rooms in 2018/19 <u>STATUS</u> – Evidence submitted to HMICFRS for review. All recommendations will be reality tested when HMICFRS undertake their Integrated PEEL Inspection in September 2021.			
		Each force where there is a vulnerability desk should make sure it makes a positive contribution to initial safeguarding	7	0
		We expect forces to invest in technology and work with each other to use it to form and improve their risk assessments, their responses and their investigations to keep the public safe		
		Each force must be sure it effectively assesses risk at all points of contact with the public and the community. It should use the assessment to provide the best response to vulnerability		
		Each force should make sure its staff are trained, supervised and supported to be effective in their control room roles; this should include assessing the effect of better terms and conditions and career development for control room staff		
		We expect all forces to make sure the service they provide to their communities meets the new national contact management strategy. We will assess how well forces adopt the contact management		

Appendix A

		principles and practise as well as the learning standards during PEEL 2020/21		
		We expect to see all 43 forces get involved in the single online home and the social media projects		
		We expect the police service during 2020 to make sure that it has agreed a standard for how quickly forces respond to 999 calls. The absence of a national set of agreed response times for emergency calls means it is hard to make meaningful comparisons		
		We expect the police service during 2020 to make sure it has effective national guidelines, quality assurance and assessment in place for resolution without deployment		
July 2020	PEEL spotlight report: The Hard Yards Police to police collaboration			
	<u>STATUS</u> – Awaiting methodology from National Police Chiefs Council, College of Policing and Home Office - currently delayed due to Covid-19.			
		If forces haven't yet implemented an effective system to track the benefits of their collaborations, they should use the methodology created by the NPCC, the College of Policing and the Home Office.	1	0
July 2020	Roads Policing: Not optional - An inspection of roads policing in England and Wales			
	<u>STATUS</u> – Evidence submitted to HMICFRS for review. Awaiting feedback.			
		With immediate effect, chief constables should make sure that appropriate welfare support is provided to specialist investigators and family liaison officers involved in the investigation of fatal road traffic collisions.	8	1
		With immediate effect, in forces where Operation Snap (the provision of digital video footage by the public) has been adopted, chief		

Appendix A

		constables should make sure that it has enough resources and process to support its efficient and effective use.		
		With immediate effect, chief constables should satisfy themselves that the resources allocated to policing the strategic road network within their force areas are sufficient. As part of that process they should make sure that their force has effective partnership arrangements including appropriate intelligence sharing agreements with relevant highways agencies.		
		With immediate effect, chief constables should make sure that their force (or where applicable road safety partnerships of which their force is a member), comply with (the current version of) Department for Transport Circular 1/2007 in relation to the use of speed and red-light cameras.		
		With immediate effect, chief constables should make sure: <ul style="list-style-type: none"> • their force has enough analytical capability (including that provided by road safety partnerships) to identify risks and threats on the road network within their force area; • that information shared by partners relating to road safety is used effectively to reduce those risks and threats; and • There is evaluation of road safety initiatives to establish their effectiveness. 		
		With immediate effect, chief constables should make sure that roads policing is included in their forces strategic threat and risk assessments, which should identify the areas of highest harm and risk and the appropriate responses.		
		The awareness and understanding of the changes in the Professionalising Investigation Programme within police forces is an area for improvement.		
		The efficient and effective exchange of all collision data with other relevant bodies is an area for improvement.		

		Force-level support to national roads policing operations and intelligence structure is an area for improvement.		
8 Dec 2020	Pre-charge bail and released under investigation: striking a balance			
	<u>STATUS</u> – Evidence submitted to HMICFRS for review. Awaiting feedback.			
		Forces should record whether a suspect is on bail or RUI on the MG3 form when it is submitted to the CPS. This should be regularly checked and any changes in bail or RUI provided to the CPS. The CPS should work with the police to ensure this information is provided.	2	0
		Forces should develop processes and systems to clearly show whether suspects are on bail or RUI. This will help them to better understand the risk a suspect poses to victims and the wider community and will help to increase safeguarding.		
17 Dec 2020	Safe to share - Report on Liberty and Southall Black Sisters super-complaint on policing and immigration status			
	<u>STATUS</u> – Evidence currently being collated by Superintendent.			
		<p>Recommendation 1. To chief constables: As an interim measure, pending the outcome of recommendation 2, where officers only have concerns or doubts about a victims immigration status, we recommend that they immediately stop sharing information on domestic abuse victims with Immigration Enforcement. Instead, police officers should link the victim to a third party that can provide advice and assistance, as set out in recommendation 4 (on the creation of safe reporting pathways).</p> <p>This applies where police officers have doubts about a victims immigration status, not where they have evidence that an offence has been committed. The College of Policing will immediately develop guidance for the police service to clarify this aspect of practice.</p>	4	0

		<p>Notes to recommendation 1 This recommendation to stop information sharing only applies to victims of domestic abuse. The College of Policing guidance will also clarify the difference between insecure and uncertain status and immigration offending. Any sharing of information should be done in compliance with Information Commissioners Office (ICO) guidance. Third party could include a local or national specialist victim support organisation or another individual/organisation that can act as an intermediary and advocate on the victims behalf in communications with Immigration Enforcement as required.</p>		
		<p>To chief constables: With reference to recommendation 1, and in consultation/collaboration with local or national specialist organisations, chief constables should take steps to ensure that all migrant victims and witnesses of crime are effectively supported through safe reporting pathways to the police and other statutory agencies. They should:</p> <ul style="list-style-type: none"> • ensure there is a proper policy and practice framework in place for officers to work within; • develop victim and witness support policies that reflect the characteristics of the safeguarding protocol set out in recommendation 3, and: draw on all relevant national guidance with particular reference to the Code of Practice for Victims of Crime and data protection legislation; are developed in partnership with and include pathways to the relevant specialist organisations for supporting victims and witnesses with insecure immigration status; are clear about the circumstances in which information will be shared by police with immigration enforcement; provide clarity about the purpose of sharing information at different points of the pathway; and explicitly recognise the importance of telling victims, witnesses and supporting agencies whether information will be shared with Immigration Enforcement, and if so, when and in what circumstances. 		

Appendix A

		<ul style="list-style-type: none"> • promote understanding among police officers and staff to differentiate between responses to victims of modern slavery/human trafficking and victims of domestic abuse; • promote awareness within their forces of any existing pathways to specialist organisations for supporting victims with insecure immigration status; • ensure the policy and practice framework is adopted by all officers and staff who come into contact with victims of crime who have insecure immigration status; and • promote police engagement in regular outreach community work, as highlighted as good practice in this report. 		
		<p>To chief constables and police and crime commissioners (or equivalents):</p> <p>With reference to recommendation 1, pending the developments outlined in other recommendations and in consultation/collaboration with local or national specialist organisations, chief constables and police and crime commissioners should take steps, through the appropriate channels, to promote migrant victims and witnesses confidence in reporting crimes to the police through safe reporting pathways, without fear of prioritised immigration control.</p>		
		<p>To all recipients of recommendations from this investigation:</p> <p>Provide an update to Her Majesty’s Chief Inspector of Constabulary on progress in implementing these recommendations within six months of the date of publication of this report.</p>		

10 Feb 2021	An inspection of the effectiveness of the Regional Organised Crime Units <u>STATUS</u> – Evidence submitted to HMICFRS for review. Awaiting feedback.			
		By February 2022, the chief constable with the lead for SOC in each region, with the chief officers of the affected forces, should ensure that a chief officer is appointed with responsibility for each ROCU, as far as practicable working autonomously of force responsibilities.	2	0
		By February 2022, chief officers responsible for SOC in each region, with the chief officers of the affected forces, should make sure that systems are in place for senior investigating officers (SIOs) and lead responsible officers (LROs) to work effectively together.		
26 Feb 2021	Disproportionate use of police powers - A spotlight on stop and search and the use of force <u>STATUS</u> – Evidence currently being collated by Superintendent for submission to HMICFRS.			
		With immediate effect, forces should ensure that all stop and search records include detail of the self-defined ethnicity of the subject. When this information is refused by the subject, the officer-defined ethnicity code should be recorded.	6	0
		By July 2021, forces should ensure they have effective external scrutiny processes in place in relation to the use of force. Forces should take account of feedback and update the scrutiny panel and the community on the action taken.		

Appendix A

		By July 2021, forces should ensure they have effective internal monitoring processes on the use of force, to help them to identify and understand disproportionate use, explain the reasons and implement any necessary improvement action.		
		<p>By September 2021, forces should:</p> <ul style="list-style-type: none"> • ensure that officers record on body-worn video (when this is available) the entirety of all stop and search encounters, including traffic stops and use of force incidents; • have a structured process for regularly reviewing and monitoring internally a sufficient sample of body-worn video footage to identify and disseminate learning and hold officers to account when behaviour falls below acceptable standards; and • provide external scrutiny panel members with access to samples of body- worn video footage showing stop and search encounters and use of force incidents, taking account of the safeguards in the College of Policing’s Authorised Professional Practice. 		
		By July 2021, forces should ensure that communication skills are reinforced as part of the programme of continuing professional development for officers and staff, and that supervisors are supported to routinely and frequently debrief officers on these skills using body-worn video footage.		
		By July 2022, forces should ensure that officers and staff have effective communication skills, in line with the National Policing Guidelines on Conflict Management. This should be in addition to existing training on conflict Management and de-escalation.		

INTERNAL Audits 2020/21

Date	Title	Recommendations	Total Number Outstanding	Total Number Closed
Sep 2020	Victims' Code of Practice September 2020			
		The Force should produce a condensed guide to the Victims' Code of Practice, following the introduction of the currently proposed changes.	16	0
		The proposed changes to the Victims' Code of Practice should be included within the action plan that is monitored by the Victim and Witness Assurance Group.		
		For the Force to better understand the satisfaction levels of the true population of victims, stratified sampling should be adopted for the surveys undertaken. The results of the surveys can then be analysed to a greater degree by the Force, including: the level of satisfaction dependent on whether a positive / negative outcome was achieved for the victim; and the trends in satisfaction for different crime types.		
		Officers should be reminded when inputting victims records directly onto Niche that they complete all required information including the preferred method.		
		All victims should be offered the Victim Information Pack and / or referred to the information available on the Nottinghamshire Police Victim website. In the instance that the victims have refused, the reason should be recorded on the Niche system.		

Appendix B

		<p>A regime should be established as to how non-completion of the training module will be escalated by the Force.</p> <p>This could entail the Force sending regular updates to line managers details of any Staff or Officers with training that is overdue for completion.</p>		
		<p>A VCOP working sheet should be maintained for each crime involving a victim. Officers should be reminded of the importance of creating and maintaining this working sheet which should be evidenced within the CRMS system.</p>		
		<p>Needs assessments should be carried out with all victims of crime and results recorded on the VCOP working sheet within the CRMS system. This should then be used based on support provision for the victim going forward.</p>		
		<p>Preferred method and frequency of contact should be established with each victim of crime to enable them to be updated on the progress of any ongoing investigation. This should be recorded on the VCOP working sheet and evidence maintained that updates have been provided in line with this request.</p>		
		<p>All victims should be provided with the Victim Information Pack and/or referred to the information available on the Nottinghamshire Police Victim website. Confirmation that this information has been communicated should be recorded on the VCOP working sheet within the CRMS.</p>		
		<p>The VIP should be reviewed and updated to incorporate the Right to Review procedure and information in respect of participation of the Restorative Justice scheme. (It is noted that a further update to the Victims Code of Practice is due later in 2015 and therefore it is practical to await this publication prior to review and update of the VIP to establish whether any additional areas require review).</p>		

Appendix B

		Officer should be reminded that when updates are provided to victims, acknowledgement should be made within the 'aggrieved updated' box on CRMS to support the update and prevent this being escalated via performance management information.		
		The offer/ availability of a VPS to the victim should be clearly communicated and acknowledged within the VCOP working sheet.		
		All victims should be considered for referral to specialist agencies in addition to Victim Support Services. These referrals and proactive support provided should be evidenced within the CRMS system.		
		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.		
		Consideration should be given to documenting guidance for officers in respect of a list of available specialist organisations/ agencies to which victims can be referred to.		
Oct 2020	Estates Management Oct 2020			
		The Force should ensure that where SR's are cancelled that these SR's do not feature in the KPI calculation and instead these are reported as a separate figure to identify the number of SR's cancelled each month.	3	0
		The Force should report non-compliance with the SLA in the month in which the SR falls non-compliant, as opposed to amending historical data. This will ensure that the Force maintain the integrity of the reported KPI figure.		

Appendix B

		<p>The Force should consider introducing a suite of KPI's to effectively monitor the performance of the Estates and Facilities department. Furthermore, this will enable the Force to demonstrate value for money from the expenditure incurred in fulfilling the Capital and Planned Maintenance Programme. This suite of KPI's could include but not be limited to:</p> <ul style="list-style-type: none"> • Monitoring the number of repairs completed right the first time by contractors fulfilling SR's. • Recording and reporting on the results of customer satisfaction surveys for newly built and recently refurbished projects and; <p>Monitoring the number of SR's received for newly built or recently refurbished projects in the first 12 months following completion.</p>		
Dec 2020	Workforce Planning December 2020			
		<p>The Force should review and update the People Strategy to include reporting arrangements and decision making processes in place at the Force; a defined individual responsible for the People Strategy; and version control of the document.</p>	2	0
		<p>The Force should complete a mapping exercise and produce a centralised log of all key roles across the organisation, including non-leadership roles which are critical or specialised.</p> <p>Alongside this exercise, individuals who are able to assume these positions in a short / medium / long term capacity should be highlighted.</p>		
Jan 2021	Information Assurance Follow up January 2021			
		<p>As intended, the organisation must continue to liaise with NPRIMT in relation to the GIRR accreditation process.</p>	2	0

Appendix B

		Now the force has more resource in place to manage the process the force should look in the longer term to return to an annual cycle of compliance rather than an ongoing pattern of late submissions for the variety of frameworks it is required to comply with.		
Feb 2021	Core Financial Systems Assurance Feb 2021			
		OPCC should ensure that the most up-to-date version of the Financial Regulations is published on their website.	7	0
		The Force should request that MFSS update sales invoice credit notes and adjustments process maps to include version control and approval processes.		
		Force should update sales invoice process documentation and guidance notes in respect of changes in working practices.		
		The Force should request that MFSS ensure that all reconciliations are completed and reviewed in a timely manner, i.e. within 1 month of the period end.		
		The Force should liaise with MFSS to ensure that historic balances are investigated and cleared down.		
		The Force should request that MFSS seek authorisation from the Force when looking to perform reconciliations more than one month after the period end and provide notice to the Force when this is unarranged.		

Appendix B

		<p>The Force should liaise with MFSS to ensure that appropriate performance data is provided with regards payroll processing. This could include, but not be limited to, the following:</p> <ul style="list-style-type: none"> • No. of overpayments & underpayments. • Value of overpayments & underpayments. • Reasons for overpayment i.e. late notification by Force, MFSS missed SLA for Payroll Date etc. 		
Feb 2021	Debt Management Feb 2021			
		<p>The Force should ensure that Debt Recovery processes are documented in a policy/procedure document. This requires the Force to liaise with MFSS to ensure that processes are aligned.</p>	2	0
		<p>The Force should ensure that MFSS issue invoices with the correct payment terms, therefore ensuring that recovery actions are being carried out at the correct timings.</p>		
Feb 2021	GDPR Follow Up February 2021			
		<p>The Force should continue to address the issues identified in the ICO Controllers Checklist, all of which are currently in some level of implementation.</p>	2	0
		<p>We continue to support the approach being taken to complete the Information Asset Register and this should look to be completed as soon as is practical and how the National Enabling Programme progresses.</p>		

Appendix B

Feb 2021	Risk Management February 2021			
		The Force should ensure that a thorough review is undertaken of the Force's departmental risk registers, so that risks that are inherent to the respective departments are identified and scored, as stated in the Risk Management Strategy.	6	0
		The Force should ensure that all risk registers are complete and that appropriate controls are recorded for each risk. Where risk controls are being reviewed, the Force should ensure that interim controls are in place to effectively monitor risks.		
		The Force should ensure that further training is provided to users of the JCAD system to ensure that appropriate controls are recorded to mitigate the risks identified.		
		Furthermore, the Force should ensure that where controls and other risk mitigation activities are inserted that these are reviewed to ensure their appropriateness.		
		The Force could consider introducing guidance for users of the JCAD system, which outlines a criterion for controls and risk mitigation activities.		
		<p>The Force should ensure the meeting minutes for the Organisational Risk, Learning, Standards, and Integrity Board are well documented, which demonstrate at the very least:</p> <ul style="list-style-type: none"> • The registers presented; • The risks discussed; and <p>The decisions reached / action plans devised.</p>		

Appendix B

Feb 2021	Seized Property February 2021			
		Policies and Procedures in relation to seized property should be updated to reflect the current adopted process since implementation of Niche in February 2016.	9	0
		Policies and Procedures should be made available for Staff and Officers to view on the intranet.		
		Officers within the Force should be provided with Niche training in relation to the continuity of property management, including the checking in and out of property from temporary storage. Consideration should be made as to how to record the training attendance for all Officers.		
		The Archives and Exhibits team at stores should reject acceptance of any items which do not have a property reference attached.		
		A log should be maintained of instances where property has not been correctly labelled. Through use of this log, individuals responsible for the failures should be held accountable.		
		The Force should regularly perform reconciliations of locations for property that is held against records maintained on the Niche system. Where it is identified that property is not in the location stated on Niche, Niche should be updated to reflect that it is in the Officers' possession.		
		The Force should review and streamline the C17 form. Where a C17 form has not been completed correctly, this should be recorded and referred to the Officer responsible.		

Appendix B

		Access to the Temporary Stores should be restricted to only police officers or the Archive & Exhibit Team who require access. Those who do not have a job-related purpose should have their access to these areas removed.		
		In the interim period, the Force should consider if audit trail access for individuals entering the stores is available. This data could be analysed to show an inappropriate access.		
April 2021	Wellbeing April 2021			
		The Force should ensure that policies, procedures, and guidance notes are reviewed regularly; and, that this is noted in the document control sections even if no updates are made.	4	0
		The Force should ensure that the review of policies, procedures and guidance notes is monitored regularly, either by the Strategic Wellbeing Board or within the HR function.		
		The Force should ensure that data is included in the decision-making process for wellbeing, which will ensure that the need for initiatives can be clearly evidenced. Force should also look at performing data analysis to identify areas of need at a detailed level and assist in providing resources for wellbeing to the areas that could be most impacted or are in the most need.		
		Management information should be produced to demonstrate the impact and delivery of third-party services and internal projects and/or programmes, with this being presented to the relevant governance boards.		

Appendix B

April 2021	Complaints Management April 2021			
		The OPCC should remind staff of the importance of issuing terms of references to complainants.	7	0
		The fix for the system issue should be sought, so that closed complaints can be accurately updated on the Centurion system.		
		OPCC staff should ensure that records are closed on Centurion in a timely manner.		
		The sample testing performed should include review of whether a term of reference was issued to the complainant.		
		The OPCC should ensure that all communication made with complainants are logged and recorded on the Centurion system.		
		The PSD team should communicate to complaint handlers the importance of maintaining complete records for complaints on the Centurion system. This can be approached by both circulating bulletins and informing the team of issues through presentations.		
		The PSD team should perform regular reviews over cases managed outside of schedule 3 to ensure that they are correctly administered.		

For Information	
Public	
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	25th May, 2020
Report of:	Tim Wendels, Head of Estates and Facilities Management
Report Author:	Tim Wendels, Head of Estates and Facilities Management
E-mail:	tim.wendels@notts.police.uk
Other Contacts:	
Agenda Item:	13c

*If Non Public, please state under which category number from the guidance in the space provided.

INTERNAL AUDIT REPORT – ESTATES MANAGEMENT

1. Purpose of the Report

- 1.1 To inform the Panel of the outcome of the recent internal audit of Estates Management undertaken by Mazars.

2. Recommendations

- 2.1 To note the outcome and findings of the internal audit report.

3. Reasons for Recommendations

- 3.1 To ensure the Panel is informed of the outcome of the internal audit.

4. Summary of Key Points (this should include background information and options appraisal if applicable)

- 4.1 As part of the Internal Audit Plan for 2020/21 for the Office of the Police and Crime Commissioner and Nottinghamshire Police, Mazars undertook an audit of the controls and processes in place in respect of Estates Management. The Final Audit Report was received in November, 2020 and is attached as an Appendix to this Report.
- 4.2 The Audit Report was very positive in respect of how Estates Management is undertaken within Nottinghamshire Police and the controls and processes that are in place. The overall assurance on adequacy and effectiveness of internal controls was assessed as “Significant Assurance” which is the highest rating available.
- 4.3 Furthermore, comments made within the Report included “There is a sound system of internal control designed to achieve the Organisation’s objectives”, “The Estates Strategy sets out the Force’s vision relating to the running and management of the Estate, which is clearly aligned to the strategic objectives of the PCC’s Police and Crime Plan” and “Common areas of control strengths in management of the estate, which were also found to be evident in Nottinghamshire, include a well developed rationalisation plan to reduce the number of uneconomical buildings and focus on a small cohort of assets to

refurbish and develop, which will remain fit for purpose in the medium to long term.”

- 4.4 There were just two recommendations as part of the Report which were both classified as Priority 3 (Housekeeping), which is the lowest priority. They are detailed on pages 8 and 9 of the Report and relate to the way that Key Performance Indicators (KPIs) are calculated and suggest an expansion in the suite of KPIs. These recommendations will be implemented to the extent permitted by the severe limitations to the reporting capabilities of the current MFSS system. Work is currently underway to replace the current MFSS system and it is anticipated that reporting capabilities will be greatly improved, which will assist in KPI reporting going forward.

5. Financial Implications and Budget Provision

- 5.1 Not applicable.

6. Human Resources Implications

- 6.1 Not applicable.

7. Equality Implications

- 7.1 Not applicable.

8. Risk Management

- 8.1 The Internal Audit Report concludes that there is a sound system of internal control designed to achieve the Organisation’s objectives.

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

- 9.1 Not applicable.

10. Changes in Legislation or other Legal Considerations

- 10.1 Not applicable.

11. Details of outcome of consultation

- 11.1 Not applicable.

12. Appendices

- 12.1 Final Internal Audit Report – Estates Management – November 2020.

13. Background Papers (relevant for Police and Crime Panel Only)

13. Not applicable.



Internal Audit Report – Estates Management

Tim Wendels – Head of Estates and Facilities Management



NOTTINGHAMSHIRE
POLICE
PROUD TO SERVE

Internal Audit Report – Estates Management

- Internal Audit undertaken by Mazars in 2020. Final Report received November, 2020.
- The overall assurance on adequacy and effectiveness of internal controls was assessed as “**Significant Assurance**” .



NOTTINGHAMSHIRE
POLICE
PROUD TO SERVE

Internal Audit Report – Estates Management

Comments made within the Report included:-

- “There is a sound system of internal control designed to achieve the Organisation’s objectives”
- “The Estates Strategy sets out the Force’s vision relating to the running and management of the Estate, which is clearly aligned to the strategic objectives of the PCC’s Police and Crime Plan” and
- “Common areas of control strengths in management of the estate, which were also found to be evident in Nottinghamshire, include a well developed rationalisation plan to reduce the number of uneconomical buildings and focus on a small cohort of assets to refurbish and develop, which will remain fit for purpose in the medium to long term.”

Internal Audit Report – Estates Management

- Only two recommendations – both Priority 3 (Housekeeping)
- They relate to the way that Key Performance Indicators (KPIs) are calculated and suggest an expansion in the suite of KPIs.
- These recommendations will be implemented to the extent permitted by the severe limitations to the reporting capabilities of the current MFSS system. Work is currently underway to replace the current MFSS system and it is anticipated that reporting capabilities will be greatly improved, which will assist in KPI reporting going forward.



OPCC for Nottinghamshire and Nottinghamshire Police

Final Internal Audit Report

Estates Management

November 2020

Contents

- 01 Introduction
- 02 Background
- 03 Summary
- 04 Areas for Further Improvement and Action Plan

Appendices

- A1 Audit Information
- A2 Statement of Responsibility

If you should wish to discuss any aspect of this report, please contact Mark Lunn, Internal Audit Manager, mark.lunn@mazars.co.uk or David Hoose, Partner, david.hoose@mazars.co.uk

Status of our reports

This report ("Report") was prepared by Mazars LLP at the request of the Office of the Police & Crime Commissioner for Nottinghamshire and Nottinghamshire Police and terms for the preparation and scope of the Report have been agreed with them. The matters raised in this Report are only those which came to our attention during our internal audit work. Whilst every care has been taken to ensure that the information provided in this Report is as accurate as possible, Internal Audit have only been able to base findings on the information and documentation provided and consequently no complete guarantee can be given that this Report is necessarily a comprehensive statement of all the weaknesses that exist, or of all the improvements that may be required.

The Report was prepared solely for the use and benefit of the Office of the Police & Crime Commissioner for Nottinghamshire and Nottinghamshire Police and to the fullest extent permitted by law Mazars LLP accepts no responsibility and disclaims all liability to any third party who purports to use or rely for any reason whatsoever on the Report, its contents, conclusions, any extract, reinterpretation, amendment and/or modification. Accordingly, any reliance placed on the Report, its contents, conclusions, any extract, reinterpretation, amendment and/or modification by any third party is entirely at their own risk

Please refer to the Statement of Responsibility in Appendix A2 of this report for further information about responsibilities, limitations and confidentiality.

01 Introduction

As part of the Internal Audit Plan for 2020/21 for the Office of the Police and Crime Commissioner for Nottinghamshire (OPCC) and Nottinghamshire Police, we have undertaken an audit of the controls and processes in place in respect of Estates Management.

The specific areas that formed part of this review included: The Estates Strategy, the capital works programme, the planned maintenance plan, reactive maintenance, property disposals, budget monitoring and scrutiny, and management information.

The fieldwork for this audit was completed whilst government measures were in place in response to the coronavirus pandemic (Covid-19). The fieldwork for this audit has been completed and the agreed scope fully covered. Whilst we had to complete this audit remotely, we have been able to obtain all relevant documentation and/or review evidence via screen sharing functionality to enable us to complete the work.

We engaged with several staff members across the Force and the OPCC during the review and are grateful for their assistance during the course of the audit.

02 Background

The estate supports the delivery of a range of operations for the Force. Therefore, the management of the estate is of paramount importance and significance. The management of the Estates department rests with the Head of Estates and Facilities Management, who oversees the Estates Manager and the Facilities Manager. The management of the Capital Programme and the Planned Maintenance Plan is carried out by the Estates Manager, whilst the management of the Force's reactive repair service is overseen by the Facilities Manager.

The purpose of the Force's Estates Strategy is to set out the direction for the Force estate in support of the Police and Crime Plan. The strategy should also outline the future development of its physical assets, whilst ensuring that the environment required to effectively operate its services and deliver its objectives is still provided.

An Estates Strategy is essential in ensuring that assets are managed effectively and in a manner that support the achievement of the Police and Crime Plan and other related requirements, including the efficient and effective use of resources. Nottinghamshire's Estates Strategy covers the period from 2017-2021 and was approved in May 2017 by the Police and Crime Commissioner at the Strategic Resources and Performance Meeting, as the OPCC has ownership of the Force's estate.


For the Estates Strategy to be delivered as intended in the timeframe set, it should not be viewed as an isolated document. There should be further plans or strategies which sit beneath or alongside the Estates Strategy that act as supporting mechanisms in the delivery of the Force's objectives. These should be referenced as necessary within the Estates Strategy to outline the importance of these for effective delivery. Operational Plans should also be produced that direct individual work streams for the Force, which supports the achievement of strategic aims. The Force's Estates Strategy details clear alignment between the Strategy and the PCC's Police and Crime Plan, which prioritises collaboration with key 'blue-light' partners where possible. This also allows the Force to reduce the costs of running its Estate and achieving value for money, without compromising on the quality of service.

The Nottinghamshire Estates Strategy provides high level strategic direction for the Force. This includes directing the current stock level for the Police Estate, which includes: 15 freehold properties and 28 leasehold properties. The current composition of stock levels is designed to support the Force's objective of maximising the utilisation of its estates, and where possible to collaborate with key blue-light partners.

Each building in the estate is reviewed every five years through a stock condition survey. The Force commissioned external consultants Faithful & Gould to undertake these surveys two years ago, which highlighted capital works of approximately £10m being needed. These surveys allowed the Force to assess the condition of the buildings in the Estate and identify any improvement works that need to be completed. The results of these surveys have been used to develop the five-year Capital Programme for the Force.

03 Key Findings

Overall Assurance on Adequacy and Effectiveness of Internal Controls

	Significant Assurance
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Priority	Number of recommendations
1 (Fundamental)	-
2 (Significant)	-
3 (Housekeeping)	2
TOTAL	2

Examples of areas where controls are operating reliably

- The Estates Strategy sets out the Force's vision in respect of

its objectives relating to the running and management of the Estate, which is clearly aligned to the strategic objectives of the PCC's Police and Crime Plan. This includes co-locating with partners in either police buildings or partner buildings; providing local deployment bases and public contact facilities; and through the implementation of the Estates Rationalisation Programme.

- The Estates Rationalisation Programme advances the objectives set out in the Estates Strategy, which includes implementing collaborative working to ensure the Force has the right premises of the right size and in the right location. Furthermore, the Programme considered the stock of the Force's existing buildings that were either leased or held on freehold and set out a plan to dispose of buildings the Force no longer needed and replace these with buildings shared with partners through co-location agreements.
- The Strategic Resources and Performance meeting, which is chaired by the PCC, was last updated on the progress against the Estates Strategy and the Estates Rationalisation Programme in September 2020. The Estates Strategy was approved at the Strategic Resources and Performance meeting in May 2017.
- The Capital Programme is developed annually and is subjected to scrutiny from the Force Executive Board and the OPCC, with final approval sought from the OPCC.
- The stock condition surveys carried out by an external consultant recommended works to the value of £10m, which has been developed into the Capital Programme for the next five years.
- Audit confirmed for a sample of capital works that capital works

are being carried out in line with the Capital Programme.

- For a sample of disposals, audit confirmed that disposals are being carried out in line with those listed in the Estates Strategy, with a business case and decision record evidenced for each.
- There is an approved budget in place for the: Capital Programme, Planned Maintenance Plan and reactive repairs service. These budgets have been developed through the stock condition surveys undertaken by Faithful & Gould, knowledge of the Estates by the Estates and Facilities Management department and through specific requests made by Heads of Service.
- The Force utilises capital receipts obtained from the disposal of buildings to finance the Capital Programme. An illustration of this can be seen in the Treasury Management Strategy, which details the overall net financing needed to finance the remainder of the Programme.
- There are monthly meetings between Finance and the Estates team to ensure budgetary control and oversight over capital expenditure.
- Monthly Capital and Revenue reports are produced for the Force Executive Board following the monthly meetings with Finance; and quarterly Capital and Revenue reports produced for the Strategic Resources and Performance Meeting, which is chaired by the PCC. This enables the Estates team to report on the progress against the respective programmes of work.
- Audit confirmed for a sample of partnership arrangements that the Force has in place formal agreements, either in the form of leases or licence to occupy agreements.

Risk Management

There is a sound system of internal control designed to achieve the Organisation's objectives.

When repairs are required the Facilities Management department receive service requests and assign each request with one of four ratings, depending on the nature of the repair work, so this will be either a critical rating, high rating, standard rating or a low rating, with each rating being assigned a timeframe within which the contractor is required to complete the repair job. This is four hours for critical jobs, 24 hours for high rated jobs, and 28 days for both standard and low rated jobs. The Facilities department will then use this data to monitor and scrutinise contractor performance through the separate dashboards for each contractor. Overall, this data will feed into the monthly KPI the department produces to report on the number of repair jobs completed within the service level agreement (SLA).

However, audit noted there were two errors with the way in which this data is currently being recorded and reported by the Force. The first being that for service requests which are cancelled, the Facilities department will record this as completed and this will consequently feed into the KPI data. Secondly, where service requests are non-compliant with the service level agreement, the Force will not report this as non-compliant until the repair has been completed, which could be months later. Therefore, once the repair is completed, the Force will amend the reported figure for the original month in which the SR was raised. Therefore, non-compliance is only seen from changes in previous month rates. This reduces the integrity of the reported figure for any given month, as this is susceptible to amendment in the future.

Furthermore, we noted that the current suite of KPIs could be expanded to include additional performance measures, which would enable the Estates and Facilities department to better demonstrate their performance in respect

of the various functions they carry out. This is further explored in the 04 – Areas for Further Improvement and Action Plan section.

Value for Money

Value for Money (VfM) considerations can arise in various ways and our audit process aims to include an overview of the efficiency of systems and processes in place within the auditable area.

Where an organisation commits to a capital project, it should do so with a clear understanding of the likely benefits that it aims to realise. Whilst not all benefits may be financial (e.g. enhanced collaboration, visibility), most projects will have links to either tangible financial benefits or increased efficiencies which will improve value for money. Audit noted that the Force considers the expected benefits that will derive from the project and the risks attached with each project, prior to committing to the project. This information is presented in the respective business cases for capital projects. This information is presented to the Force Executive Board, which aids the decision-making process of the Board.

Furthermore, the Force has increased collaborative working with partners where it has been possible to do so, to better utilise its resources through the joint use of Estates and bring the overall running cost of its Estate down. These arrangements are supported with formal agreements in place to better protect the Force's interests. This also permits the Force to continue delivery of its services, whilst increasing visibility in communities despite disposing buildings.

Sector Comparison

From our experience across our client base, we are seeing pressure on resources and higher service demands have resulted in challenges to the existing control environment. This often results in increased challenges to the decision-making process where conflicting priorities exist and need to be balanced with effective risk management.

Common areas of control strengths in management of the estate, which were also found to be evident at Nottinghamshire, include a well-developed rationalisation plan to reduce the number of uneconomical buildings and focus on a small cohort of assets to refurbish and develop, which will remain fit for purpose in the medium to long term. This is also supported by updates sent to the PCC through the Strategic Resources Performance meeting, which enables the PCC to have oversight of the progress made against the Estates Strategy and the Estates Rationalisation Programme.

In line with best practice the Force has key performance indicators (KPIs), which enable the Facilities department to monitor contractor performance against four priority ratings, with each assigned a timescale within which the service request is required to be completed.

Furthermore, audit have identified well performing peers in the public sector have in place additional KPIs to monitor the performance of the Estates and Facilities functions. This includes but is not limited to monitoring the number of repairs completed right the first time, monitoring customer satisfaction with particularly large capital works or planned maintenance works and monitoring the number of service requests raised for newly built or refurbished projects in the first 12 months. These metrics enable organisations to demonstrate value for money from the expenditure incurred and to further scrutinise contractor performance. At present, the Force is not performing in line with well performing peers, as the performance indicators in place currently prevent the Force from achieving demonstrating value for money or from scrutinising contractor performance where capital works or planned maintenance work has been carried out. Therefore, a recommendation has been raised – see Section 04 below.

04 Areas for Further Improvement and Action Plan

Definitions for the levels of assurance and recommendations used within our reports are included in Appendix A1.

We identified a number of areas where there is scope for improvement in the control environment. The matters arising have been discussed with management, to whom we have made recommendations. The recommendations are detailed in the management action plan below.

	Observation/Risk	Recommendation	Priority	Management response	Timescale/ responsibility
4.1	<p><u>KPI calculation</u></p> <p><i>Observation:</i> The Oracle system is used to raise service requests (SR) for the Facilities Management department, each SR is assigned a unique reference number. The SR's are then reviewed by the Facilities Management department and a priority rating is assigned to the SR depending on the nature of the work required. In certain circumstances such as job raised in error, job no longer required or where the department decides against completing the SR, the SR will be cancelled.</p> <p>Through a discussion with the Service Desk Supervisor audit were informed that where SR's are cancelled, these will feature in the KPI figure, as a completed SR. This KPI figure calculates compliance against the service level agreements (SLA) the Force has in place with the contractors, where 'critical' rated jobs are required to be completed within the target time of four hours, 'high' rated jobs 24 hours and 'standard' and 'low' rated jobs within 28 days.</p> <p>Audit also noted that the current process for recording non-compliance with the SLA in the KPI figures is not calculated correctly. This is because where an SR is non-compliant it is not recorded so until it has been completed, which could</p>	<p>The Force should ensure that where SR's are cancelled that these SR's do not feature in the KPI calculation and instead these are reported as a separate figure to identify the number of SR's cancelled each month.</p> <p>Furthermore, the Force should report non-compliance with the SLA in the month in which the SR falls non-compliant, as opposed to amending historical data. This will ensure that the Force maintain the integrity of the reported KPI figure.</p>	3	<p>Noted and agreed.</p> <p>Due to severe limitations in the reporting capabilities of the current MFSS system, it will not be possible to report the data in the way suggested. It is considered that this has very little impact on the overall figures as non-compliance with agreed timescales is always reported in the KPI figures, albeit in the month that the SR is completed.</p>	<p>Head of Estates</p> <p>30/11/20</p>

	<p>be the months after the original SR was raised. Therefore, resulting in compliance rates for previous months being adjusted, which does not provide clarity on the compliance with SLA's.</p> <p><i>Risk:</i> Inaccurate KPI calculation reduces the integrity of the figure reported and therefore prevents the effective scrutiny of contractor performance.</p>				
4.2	<p><u>Expansion of KPI suite</u></p> <p><i>Observation:</i> The Force currently monitors compliance against the SLA for SR's completed by contractors. This is currently the only KPI the Estates and Facilities department report on. As such, audit found there are no additional KPI's, which the Force has in place to enable senior management to scrutinise the performance of the Estates and Facilities department.</p> <p><i>Risk:</i> Poor performance of the Estates and Facilities department is not identified and addressed in a timely and effective manner</p>	<p>The Force should consider introducing a suite of KPI's to effectively monitor the performance of the Estates and Facilities department. Furthermore, this will enable the Force to demonstrate value for money from the expenditure incurred in fulfilling the Capital and Planned Maintenance Programme. This suite of KPI's could include but not be limited to:</p> <ul style="list-style-type: none"> • Monitoring the number of repairs completed right the first time by contractors fulfilling SR's; • Recording and reporting on the results of customer satisfaction surveys for newly built and recently refurbished projects and; • Monitoring the number of SR's received for newly built or recently refurbished projects in the first 12 months following completion. 	3	<p>As suggested, the suite of KPIs for Estates and Facilities will be expanded.</p>	<p>Head of Estates 31/1/21</p>

A1 Audit Information

Audit Control Schedule	
Client contacts:	Charlotte Radford, OPCC, CFO Mark Kimberley, Force, Head of Finance Tim Wendels, Head of Estates
Internal Audit Team:	David Hoose, Partner Mark Lunn, Assistant Manager Israr Raza, Internal Auditor
Finish on Site \ Exit Meeting:	9 th October 2020
Draft report issued:	14 th October 2020
Management responses received:	2 nd November 2020
Final report issued:	3 rd November 2020

Scope and Objectives

Our audit considered the following risks relating to the area under review:

- There is a comprehensive and approved Estates Strategy in place which is aligned with strategic and medium / long term objectives of the OPCC and Force.
- The Estates Strategy is in line with the approved budget and is aligned with a fully costed and approved stock condition survey.
- Delivery of the Estates Strategy is supported by an agreed implementation plan / programme of work including the disposals of estates assets.
- Capital works are carried out in accordance with the implementation plan / programme of work including the use of capital receipts from disposals.
- Non-delivery of the capital programme is flagged at the earliest opportunity and actions put in place to address the issues.
- Effective processes have been put in place for the delivery of day-to-day / reactive maintenance work.
- Budget control processes ensure that actual spend is in accordance with the approved budget.
- Joint working arrangements with the Fire service have clear and defined agreements in place that have been subject to appropriate levels of scrutiny and authorisation.
- Management information is available to enable effective monitoring of performance against the capital programme and delivery the reactive maintenance service.

The objectives of our audit were to assess the adequacy and effectiveness of internal controls in operation with a view to providing an opinion on the extent to which risks in this area are managed. In giving this assessment it should be noted that assurance cannot be absolute. The most an Internal Audit Service can provide is reasonable assurance that there are no major weaknesses in the framework of internal control.

We are only able to provide an overall assessment on those aspects of Estate Management that we have tested or reviewed. Testing has been performed on a sample basis, and as a result our work does not provide absolute assurance that material error, loss or fraud does not exist.

Definitions of Assurance Levels		
Assurance Level	Adequacy of system design	Effectiveness of operating controls
Significant Assurance:	There is a sound system of internal control designed to achieve the Organisation's objectives.	The control processes tested are being consistently applied.
Satisfactory Assurance:	While there is a basically sound system of internal control, there are weaknesses which put some of the Organisation's objectives at risk.	There is evidence that the level of non-compliance with some of the control processes may put some of the Organisation's objectives at risk.
Limited Assurance:	Weaknesses in the system of internal controls are such as to put the Organisation's objectives at risk.	The level of non-compliance puts the Organisation's objectives at risk.
No Assurance:	Control processes are generally weak leaving the processes/systems open to significant error or abuse.	Significant non-compliance with basic control processes leaves the processes/systems open to error or abuse.

Definitions of Recommendations	
Priority	Description
Priority 1 (Fundamental)	Recommendations represent fundamental control weaknesses, which expose the organisation to a high degree of unnecessary risk.
Priority 2 (Significant)	Recommendations represent significant control weaknesses which expose the organisation to a moderate degree of unnecessary risk.
Priority 3 (Housekeeping)	Recommendations show areas where we have highlighted opportunities to implement a good or better practice, to improve efficiency or further reduce exposure to risk.

A2 Statement of Responsibility

Status of our reports

We take responsibility to the Office of the Police & Crime Commissioner for Nottinghamshire and Nottinghamshire Police for this report which is prepared on the basis of the limitations set out below.

The responsibility for designing and maintaining a sound system of internal control and the prevention and detection of fraud and other irregularities rests with management, with internal audit providing a service to management to enable them to achieve this objective. Specifically, we assess the adequacy and effectiveness of the system of internal control arrangements implemented by management and perform sample testing on those controls in the period under review with a view to providing an opinion on the extent to which risks in this area are managed.

We plan our work in order to ensure that we have a reasonable expectation of detecting significant control weaknesses. However, our procedures alone should not be relied upon to identify all strengths and weaknesses in internal controls, nor relied upon to identify any circumstances of fraud or irregularity. Even sound systems of internal control can only provide reasonable and not absolute assurance and may not be proof against collusive fraud.

The matters raised in this report are only those which came to our attention during the course of our work and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. Recommendations for improvements should be assessed by you for their full impact before they are implemented. The performance of our work is not and should not be taken as a substitute for management's responsibilities for the application of sound management practices.

This report is confidential and must not be disclosed to any third party or reproduced in whole or in part without our prior written consent. To the fullest extent permitted by law Mazars LLP accepts no responsibility and disclaims all liability to any third party who purports to use or rely on any part of the Report, its contents, conclusions, any extract, re-interpretation amendment and/or modification by any third party is entirely at their own risk.

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