

<b>For Information</b>	
<b>Public/Non Public</b>	<b>Public</b>
<b>Report to:</b>	<b>Joint Audit and Scrutiny Panel (JASP)</b>
<b>Date of Meeting:</b>	<b>27 November 2020</b>
<b>Report of:</b>	<b>Deputy Chief Constable</b>
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<b>Agenda Item:</b>	<b>10</b>

## **Audit and Inspection Update**

### **1. Purpose of the Report**

- 1.1 To provide the Joint Audit and Scrutiny Panel (JASP) with an update on progress against recommendations arising from audits and inspections which have taken place during Quarter 2, 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 Appendix 1 and if required request further detail which will be reported at the next meeting.

### **3. Reasons for Recommendations**

- 3.1 To enable the Panel to fulfil its scrutiny obligations with regard to Nottinghamshire Police and its response to audits and inspections.
- 3.2 To provide the Panel with greater scrutiny opportunities and to reach more informed decisions.
- 3.3 To provide the Panel with the opportunity to shape the focus and data inputs for future HMICFRS inspections.

## 4. Summary of Key Points

### Audit and Inspection Action Updates

- 4.1 The actions referred to in this report are the result of recommendations made by Nottinghamshire Police's internal auditors and external inspectorates, including HMICFRS.
- 4.2 There are currently 0 actions which have exceeded their target date. There are 13 actions showing as 'at risk' of being off target i.e. they will exceed their target date in the next month.
- 4.3 There were 135 actions closed during this quarter.
- 4.4 Recent and forthcoming Inspections.

### Recent Inspection Activity

Date of Inspection	Inspection Area	Date Report Received	Final Grading	Status
None to report				

### Forthcoming HMICFRS Inspections

Date of Inspection	Inspection Area	Status
October 2020	Covid-19 Policing Inspection	Nottinghamshire Police was inspected 5 <sup>th</sup> -9 <sup>th</sup> October

### Publications

Date of Publication	Inspection Area	Status
None to report		

#### 4.5 Recent and Forthcoming Audits

##### Recent Audit Activity

<b>Date of Audit</b>	<b>Auditable Area</b>	<b>Date Report Received</b>	<b>Final Grading</b>	<b>Status</b>
September 2020	Victims Code	September 2020	Satisfactory Assurance	Actions being managed on 4Action
October 2020	Estates	October 2020	Significant Assurance	Draft report received, out for management comment

##### Forthcoming Audits

<b>Date of Audit</b>	<b>Auditable Area</b>	<b>Status</b>
Quarter 1	Workforce Planning and Operation Uplift	Awaiting copy of draft report
Quarter 2	Wellbeing	-
Quarter 2	Debt Recovery	-
Quarter 3	Business Change	-
Quarter 3	Core Financial Systems	-
Quarter 3	Seized Property	-
Quarter 3	GDPR Follow Up	-
Quarter 3	Information Assurance Follow Up	-
Quarter 4	Risk Management	-
Quarter 4	Complaints Management	-

## **5. Financial Implications and Budget Provision**

- 5.1 If financial implications arise from recommendations raised from audits, inspections and reviews, these implications are considered accordingly. Where an action cannot be delivered within budget provision, approval will be sought through the appropriate means.

## **6. Human Resources Implications**

- 6.1 There are no direct HR implications as a result of this report. HR implications resulting from specific actions will be managed on a case by case basis.

## **7. Equality Implications**

- 7.1 There are no direct HR implications as a result of this report. HR implications resulting from specific actions will be managed on a case by case basis.

## **8. Risk Management**

- 8.1 Some current actions involve the completion of formal reviews of specific business areas. It is possible that some or all of these reviews will identify and evaluate significant risks, which will then be incorporated into the Force's risk management process.

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

- 9.1 Any policy implications will be subject to current policy development process.

## **10. Changes in Legislation or other Legal Considerations**

- 10.1 There are no direct legal implications as a result of this report.

## **11. Details of outcome of consultation**

- 11.1 Following receipt of a final audit or inspection report a member of the Governance and Planning team consults with the appropriate Lead Officer and other stakeholders to plan appropriate actions in response to each relevant recommendation, or to agree a suitable closing comment where no action is deemed necessary.
- 11.2 All planned actions are added to the action planning system, 4Action, for management and review until completion.

## **12. Appendices**

12.1 Appendix 1 - Overview of all ongoing actions from Audits and Inspections

## Appendix 1 - Overview of all ongoing actions from Audits and Inspections: November 2020

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Audit-Mazars	Corporate Governance	October 2018	4	2	2	1	0	1
Audit-Mazars	Firearms Licensing	October 2018	4	4	0	0	0	4
Audit-Mazars	Late Night Levy	December 2018	4	4	0	0	0	4
Audit-Mazars	Performance Management	March 2019	5	3	2	0	0	3
Audit-Mazars	Partnerships	May 2019	3	2	1	0	0	2
Audit-Mazars	Custody Arrangements	October 2019	2	2	0	0	2	0
Audit-Mazars	Balance Transfers	March 2020	1	1	0	0	0	1
Audit-Mazars	Health and Safety Follow Up	March 2020	6	2	4	0	0	2
Audit-Mazars	GDPR Follow Up	March 2020	4	4	0	0	0	4
Audit-Mazars	Information Assurance Follow Up	March 2020	4	4	0	0	0	4
Audit-Mazars	Programme Management	March 2020	2	2	0	0	0	2
Audit-Mazars	Core Financial Systems Assurance	March 2020	5	5	0	5	0	0
Audit-Mazars	Victims Code	September 2020	6	6	0	6	0	0

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Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
IPCC	Use of Force Report	September 2016	15	2	13	0	0	2
Inspection-HMICFRS	Efficiency November 2016 'Hot De Brief' actions	November 2016	31	2	29	0	0	2
Inspection-HMICFRS	Efficiency, Legitimacy and Leadership Hot Debrief 2017	May 2017	9	1	8	0	0	1
Inspection-HMICFRS	Making it Fair: Disclosure of unused material in volume Crown Court Cases	July 2017	6	1	5	0	0	1
Inspection-HMICFRS	PEEL Effectiveness 2017	September 2017	23	3	20	1	0	2
Inspection-HMICFRS	Stolen freedom: the policing response to modern slavery and human trafficking	October 2017	7	1	6	0	0	1
Inspection-HMICFRS	Additional PEEL Efficiency, Legitimacy, Leadership Actions 2017	December 2017	7	1	6	0	0	1
Inspection-HMICFRS	Still no place for hate	May 2018	6	1	5	0	0	1
Inspection-HMICFRS	Crime Data Integrity	August 2018	18	11	7	4	3	4
Inspection-HMICFRS	Integrated PEEL Inspection	September 2018	17	16	1	1	0	15
Inspection-HMICFRS	Unannounced Custody Inspection	October 2018	31	29	2	29	0	0
Inspection-HMICFRS	Biometrics Commissioner's Visit	October 2018	5	1	4	0	0	1
Inspection-HMICFRS	Policing and Mental Health – Picking up the Pieces	November 2018	5	1	4	0	0	1
Inspection-HMICFRS	Time to Choose – An Inspection of the Police Response to Fraud	April 2019	7	7	0	0	0	7
Inspection-HMICFRS	The Poor Relation – The Police and CPS Response to Crimes against Older People	July 2019	4	2	2	0	0	2

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Inspection-HMICFRS	Shining a Light on Betrayal	September 2019	3	3	0	0	0	3
Inspection-HMICFRS	Cyber Keeping the Light on	October 2019	2	2	0	0	0	2
Inspection-HMICFRS	Youth Justice System Inspection	October 2019	3	3	0	0	0	3
Inspection-HMICFRS	Joint Inspection Evidence Led Domestic Abuse	January 2020	6	1	5	0	0	1
Inspection-HMICFRS	Integrated Offender Management Thematic	February 2020	4	4	0	0	0	4
Inspection-HMICFRS	HMICFRS Response to Review of Investigations into Allegations of Non-Recent Sexual Abuse	March 2020	10	1	9	0	0	1
Inspection-HMICFRS	A call for help Police contact management through call handling and control rooms in 2018/19	July 2020	8	8	0	0	8	0
Inspection-HMICFRS	Roads Policing: Not optional An inspection of roads policing in England and Wales	July 2020	10	10	0	0	0	10
Inspection-HMICFRS	PEEL spotlight report The Hard Yards Police-to-police collaboration	July 2020	1	1	0	1	0	0