

For Information	
Public/Non Public	Public
Report to:	Audit & Scrutiny Panel
Date of Meeting:	Tuesday 9 June 2015
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Agenda Item:	16

AUDIT AND INSPECTION REPORT

1. Purpose of the Report

- 1.1 To provide the Audit and Scrutiny Panel with an update on progress against recommendations arising from audits and inspections that have taken place within the Force.
- 1.2 To inform the Panel of the schedule of planned 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 audits and inspections.

3. Reasons for Recommendations

- 3.1 To enable the Panel to fulfil its scrutiny obligations to with regard to the Force's response to audits and inspections.
- 3.2 To keep the Panel informed about forthcoming audits and inspections.

4. Summary of Key Points

- 4.1 The actions referred to in this report are the result of recommendations made by the Force's previous internal auditor Baker Tilly and external inspectorates, including Her Majesty's Inspectorate of Constabulary (HMIC). They are managed through the Force Activity Plan process and updated on a monthly basis.
- 4.2 Appendix 1 'Audit, Inspection and Review Status Report Quarter 4 2014/15' provides a summary of actions agreed following previous audits and inspections; those audits and inspections where actions have yet to be agreed; and those where a final report has not yet been received. It also shows forthcoming audits and inspections that the Force is currently aware of.

- 4.3 The Force's internal audit contract from 2015/16 has been awarded to Mazars, who will take over from Baker Tilly.
- 4.4 Appendix 2 'Audit and Inspection Actions Update Report Q4 2014/15' provides details of specific actions arising from audits and inspections that are either off target, at risk of being off target, proposed for closure, on target, or closed.

Actions off target

- 4.5 There are currently 2 actions showing as off target, both of which require a revised target completion date from the action owner. Both actions continue to be progressed and an explanation for why the original anticipated completion was not met has been added to 4Action.

Actions at risk of being off target

- 4.6 There are 2 actions showing as at risk, because their target completion date is the end of May 2015. Work is progressing against both of these; however it is likely that these actions will require new target completion dates during the next reporting period.

Actions proposed for closure

- 4.7 There are 4 actions proposed for closure as the manager responsible has reported that the requirements of the agreed action have now been met. These actions will be formally closed as part of the Force's established action management process.

Actions on target

- 4.8 The remaining 23 actions are currently on target, following review by the Force Executive Board (FEB).

Closed actions

- 4.9 There are also 13 actions that have been closed since the last report to the Panel, as part of the established action management process.

5 Financial Implications and Budget Provision

- 5.1 There is no additional budget provision required to implement any of the audit or inspection related actions currently on the Force's action plan. All actions will be resourced from within existing budgets.

6 Human Resources Implications

- 6.5 There are likely to be HR implications arising from the following actions:
- PCSO role review
 - Absence management process
 - Strategic Policing Requirement – large scale cyber incident (student placement)

7 Equality Implications

7.5 There may be equality implications arising from the following reviews of policy and process:

- PCSO role review
- Witness care unit review
- Child protection referrals review
- Domestic abuse procedure update
- Safeguarding children statutory responsibilities review
- Detention of children review
- Children missing from home review
- Absence management process
- Review of complaints against officers and staff with protected characteristics
- Strategic assessment of stalking / harassment, honour based violence and forced marriage

8 Risk Management

8.5 None of the current actions are addressing specific risks on the Force's risk register. There are also no new risks arising from any of the agreed actions.

8.6 Several 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 established risk management process.

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

9.5 There are likely to be policy implications in relation to several current actions:

- PCSO role review
- Out of court disposal policy review
- Domestic abuse procedure update
- Detention of children review
- Children missing from home review
- Information management strategy development
- Absence management process
- Complaints process review
- Management of Police Information (MoPI) implementation

9.6 The following actions relate to aspects of current Police and Crime Plan priorities:

- Witness care unit review
- Child protection referrals review
- Domestic abuse procedure update
- Safeguarding children statutory responsibilities review
- Detention of children review
- Children missing from home review

- Strategic Policing Requirement – large scale cyber incident (student placement)
- Strategic assessment of stalking / harassment, honour based violence and forced marriage

10 Changes in Legislation or other Legal Considerations

10.5 There are potential legal implications arising from the following actions:

- Safeguarding children, review of statutory responsibilities
- Complaints against officers and staff with protected characteristics
- Strategic Policing Requirement assessment
- Management of Police Information (MoPI) implementation

11 Details of outcome of consultation

11.5 Following receipt of a final audit or inspection report a member of the Planning and Policy team consults with the Force lead and other responsible stakeholders to plan appropriate actions in response to each relevant recommendation, or to agree a suitable closing comment where no action is deemed necessary.

11.6 All responses are recorded in a formal Action Capture Form and planned actions are added to the Force's action planning system, 4Action, for management and review until completion.

12. Appendices

12.1 Appendix 1: Audit and Inspection Status Report Q4 2014/15

12.2 Appendix 2: Audit and Inspection Actions Update Report Q4 2014/15