

Appendix 1: Audit and Inspection Actions Update Report, Quarter 4, 2016/17

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	At risk of going off target (within 1 month): It is anticipated that there will be some slippage from the original target completion date and / or other constraints such as budget, available resource or expected efficiency saving. To be highlighted to the Portfolio Board as an issue for monitoring.
Off target	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.

Overdue Actions
There are no overdue actions to report for this period.

Actions at risk of becoming overdue within 1 month							
Reference	Target Date	Action Owner	Recommendation	Action	Source Title	Status	Action Update
CC/94a4/15916	28/2/2017	Austin Fuller	Recommendation 6: OCG working strategies should always include a Community Engagement plan and a senior member of the relevant NPT should be assigned to work jointly with a LRO to design and deliver the OCG management plan	T/Det Supt Austin Fuller to brief all LRO's who have an OCG action plan. b - IT to build a drop down marker / field to include a reference to an OCG management plan.	Effectiveness 2015	At risk	Chief Inspector Phil Davies has written a generic community engagement draft as a result of the meeting on the 30th January 2017. This will now include a bespoke section of organised crime. The LRO will work with the neighbourhood Policing inspector to design a bespoke engagement plan which will then be managed through ORCA. When complete this will be put on ECINS.
CH/5484/1415	28/2/2017	Leigh Sanders	1. Immediately: (pg 9-11) We recommend that Nottinghamshire Police ensures that in domestic abuse incidents, officers see and speak to children (where possible and appropriate) and record their observations of a child's behaviour and demeanour so that better assessments of children's needs are made.	Provide an update regarding effectiveness (by further audit) in this area to ensure that the voice of the child is being heard as a matter of course (following the current audit, the planned audit, the training programme being delivered and the peer review.)	National Child Protection Inspection. Post Inspection Review 3-7th August 2015	At risk	Originally it had been intended that front line officers (from the DAIT) would undertake the audit. The Head of PP has decided that this is not an appropriate use of those staff. It has since been agreed that Richard Mace (from MI) will complete it. However, he has now been delayed because of his continued commitment to outstanding information sharing (Op Socius) from which he cannot be released until the new staff are properly trained to fulfil this role. It was confirmed Richard Mace cannot now undertake this audit and so Head of PP has re-assigned it to DS Steve Peaks. The audit is still scheduled to be done by the end of February 2017.

BT/24b9/11216	28/2/2017	Paul Winter	<p>Recommendation 2: (cross ref with Rec 5) By 28 February 2017, the force should ensure that there are credible and achievable plans in place for the new police operating model and provide clarity on the effect the new model will have on the service provided to the public.</p> <p>Recommendation 5: The plans should make clear how the reductions in workforce numbers are to be achieved and provide costed options for service provision and clarity on the impact on services of each option.</p>	<p>Action:</p> <p>a) Produce a plan for the Police Operating Model, supported by a report which provides clarity on the effect the model will have on the service provided to the public.</p> <p>b) The plans should make clear how the reductions in workforce numbers are to be achieved and provide costed options for service provision and clarity on the impact on services of each option.</p>	Efficiency Nov 2016	At risk	A paper was given to the Force Executive Board which had recommendations for Police Officers and affordability. The Board were also made aware of plans for Policing staff and local policing but it is just a matter of looking at Police finances. The complete update is on time for the 28th February 2017.
CH/e4ba/1415	28/2/2017	Mel Bowden	<p>6. Within three months: (pg12-14) We recommend that Nottinghamshire Police undertakes a review, together with children's social care services, of how it manages child protection referrals to ensure a timely response to initial concerns, that action is subsequently taken, concerns are followed up and cases are regularly reviewed.</p>	Action 6: Carry out a review with identified practitioners from both local authorities and the police to address a plan for the points raised within the recommendation and also highlight where action has already taken place with Theresa Godfrey (Social Care County) and John Matravers (Social Care City).	National Child Protection Inspection. Post Inspection Review 3-7th August 2015	At risk	<p>The Head of PP has commissioned a review by DCI Bowden (or delegate) to work JOINTLY with a rep from the City CSC and a rep from the County CSC to RANDOMLY select 15 City cases and 15 County cases and to review and test (and then make any recommendations for processes that need improvement):</p> <ul style="list-style-type: none"> • How was timely was the response to any concerns • How effectively was information shared • How effective/timely was any subsequent action taken • Were any later concerns identified and followed up • How often were reviews of the case conducted. <p>The deadline for a final response to this review is 28th February 2017.</p>
CC/44be/15916	28/2/2017	Austin Fuller	Recommendation 12: Produce an internal communications strategy that incorporates the wider partnerships. A dedicated OCG Intranet page containing relevant reference materials would increase awareness across all functions of the force.	Action 12: Produce an internal communications strategy that incorporates the wider partnerships. Introduce a dedicated OCG Intranet page containing relevant reference materials to increase awareness across all functions of the force.	Effectiveness 2015	At risk	Corporate Communications have agreed to allocate a Comms Officer to design a comms strategy, but the use of the Intranet is currently on hold as it is currently being redesigned. This action will be complete by the end of February 2017.
BT/84ba/211116	31/1/2017	Ronnie Adams	Recommendation: The Contract Procedure Rules and Standing Orders document and EMSCU Policies and Strategies should be reviewed and updated regularly to ensure the document reflects current practices	Action 4.1: Review and update the Contract Procedure Rules.	Procurement Follow up Nov 2016	At risk	The EMSCU standard documentation is currently being reviewed, this will be completed by the end of February.
VA/14ad/101115	28/2/2017	Andrew Goodall	4.9 The reports detailing officers who are still to complete the Victims Code training should be located and the system for following up non compliance established to provide assurance that all officers are adequately trained to ensure compliance with the Code.	Action:- Contact EMCHRS and ensure they provide 6 monthly updates on who has completed Compliance with the Code Training. This to be circulated to Heads of Department for appropriate action.	Victim Code of Practice	At risk	Action reviewed. The training has commenced. Nothing further to add at this time.

BT/a4b5/10615	1/7/2016	Shaun Ostle	Recommendation 4.3 PSV's should undertake a brief annual PDR where performance of the individual can be discussed. Where there are weaknesses in the individuals performance further training should be provided to ensure that the Force is receiving the maximum benefit of its PSV's. PDR documents should be maintained by HR to ensure the process is completed by all PSV's.	Action: Implement an annual PDR for PSV's after consultation with the Human Resources Department.	Volunteering	Closed	Action closed 7.11.2016. The CIPD have decided that it will not provide volunteers with formal PDR's however there will be informal catch ups where feedback will be given to volunteers.
BT/d489/4716	30/9/2016	Janet Carlin	Recommendation: All police forces and CPS areas should, as a matter of urgency, jointly review arrangements for the provision, transportation and storage of hard media to ensure it is available securely to all appropriate individuals	Action: Jointly review arrangements with CPS for the provision, transportation and storage of hard media to ensure it is available securely to all appropriate individuals	Delivering Justice in a Digital Age	Closed	Action closed 7.11.2016 Further work is under way to minimise the amount of material which is transported as a hard copy. One way in which Nottinghamshire is doing this is by using more digital sources. However all hard copy documentation is closely monitored and if there are any breaches they can be challenged and reported to information security.
BT/a4b0/22116	31/12/2016	Leah Johnson	Recommendation 3: Regular reports on custody, including the data above, should be provided routinely by forces for consideration by the police and crime commissioner and be published on PCC's websites, to demonstrate to the public that the police are delivering services to communities on a fair and transparent basis.	Action: Nottinghamshire Police to provide regular reports on custody, including agreed mandatory Annual Data Return, to the Police and Crime Commissioner, for publication on the PCC's website	Welfare of Vulnerable People in Custody	Closed	Action closed 27/01/2017 The Northants work is now complete and their model is to be adopted by the other OPCCs. The Q2 data is currently being processed by Northants.
AF/5483/28716	31/12/2016	Det Supt Rob Griffin	Recommendation - By September 2016, Chief Constables should ensure management processes are in place which focus on outcomes for children who go missing, and to provide better analysis to understand the effectiveness of the police and multi-agency responses. Information should include the diversity of the communities the force serves	Develop a consistent information management process which focuses on outcomes for children who go missing to include - a. better analysis to understand the effectiveness of the police and multi-agency responses b. include information references to the diversity on the communities the force serves c. to show priority according to risk and vulnerability Evaluate the success after 3 months of the information management process, using a-c as part the evaluation criteria	Missing Children. Who cares?	Closed	Action closed 25/11/2016 The Force has reviewed the approach to missing from home enquiries across the force area and implemented a revised approach to ensure improved quality and consistency of service to this vital area of business.
BT/54b2/25116	31/10/2016	Gerard Milano	Recommendation 3 By 30 June 2016, every police force in England and Wales should publish an action plan that sets out in detail what steps it will take to make maximum use of the ROCU capabilities, minimise duplication at force level, and ensure that the use of shared ROCU resources are prioritised between regional forces. This action plan should be developed: * in consultation with police and crime commissioners, ROCUs and the ROCU executive board; * with regard to both local force priorities (in particular, as specified in the relevant police and crime plan) and National Crime Agency (NCA) priorities; and * with regard to the other recommendations contained in this report.	Action: Assess areas of duplication by conducting a gap analysis in relation to locally held resources with assets that are also held at the ROCU. If required produce a force bespoke plan to reduce this duplication.	Regional Organised Crime Units. A review of capability and effectiveness.	Closed	Action closed 18/11/2016 Detective Chief Superintendent Milano met with the CC and provided a report titled 'Specialist Programme phase 1', completion has been supported by the DCC.
CC/2482/15916	15/9/2016	Det Supt Austin Fuller	Recommendation 5: The Intelligence Unit should continue to provide the research and analytical capability to support LROs, irrespective of whether the LRO is provided from the NPT or elsewhere in the force	Action 5: No further action required. Business case written to look at the research and analytical capability broken into Thematic Areas to include one for Organised Crime led by Senior Intelligence Analyst.	Effectiveness 2015	Closed	Action closed 25/11/2016 A Business case was written to look at the research and analytical capability which has been broken into Thematic Areas to include one for Organised Crime. This is going to be led by the Senior Intelligence Analyst.

CC/5493/14916	28/2/2017	Det Supt Austin Fuller	<p>Recommendation 3: The annual force SOC profile should include contributions from NPTs and local partnerships. The profile should be shared widely across NPTs in an appropriately redacted format. NPTs should attend any relevant SOC Board hosted by the force or wider partnership</p>	<p>Action: Add to the draft SOC profile Bassetlaw, Mansfield and Ashfield. Present to Det Ch Supt Milano for scrutiny and decision on completion. Share the completed SOC profile with Neighbourhood Leads.</p>	Effectiveness 2015	Closed	<p>Action closed 06/02/2017 The profile was completed in November 2016 and has been distributed accordingly to the SOC Board and the relevant internal stakeholders.</p>
BT/493/23516	28/2/2017	Det Supt Austin Fuller	<p>Recommendation: The force should improve the awareness of organised crime groups among neighbourhood teams to ensure that they can reliably identify these groups, collect intelligence and disrupt their activity.</p>	<p>Action: The OCG Scrutiny Board to emphasise the importance to Neighbourhood lead responsible officers (LROs) how to improve the awareness of organised crime groups among neighbourhood teams to ensure that they can reliably identify these groups, collect intelligence and disrupt their activity. Promote the SOC Local Profile at a 'Neighbourhood level'</p>	Effectiveness 2015	Closed	<p>Action closed 16/12/2016 The neighbourhood leads agreed that the allocation of OCG Lead Responsible Officers can, where appropriate, be a Chief Inspector from the SNT. Neighbourhood leads can now attend the OCGM and, where they are not LRO's, arrangements have been conducted for their briefings to be concluded during Local Ops meetings. The OCG members have now been given green flags on Niche and all tasks are completed through BATS. The management plans used by the Neighbourhood LROs have been tested and have been found to be fit for purpose.</p>
BT/04b4/22116	30/11/2016	Det Supt Rob Griffin	<p>Recommendation 3 To inform the action plan specified in Recommendation 2, chief constables should review how they, and their senior officers, give full effect to their forces' stated priority on domestic abuse. This should consider how action to tackle domestic abuse is prioritised and valued, and how staff are given the appropriate level of professional and conspicuous support and encouragement. This should be done through a clear and specific assessment of the following issues in respect of domestic abuse: a) the force's culture and values; b) the force's performance management framework; c) the reward and recognition policy in the force and the roles and behaviours that this rewards currently; d) the selection and promotion arrangements in the force; e) the messages and communications sent by the senior leadership team to the rest of the force about tackling domestic abuse; f) the development opportunities for officers and staff in the force; and g) force policy on how perpetrators and victims of domestic abuse in the force are managed.</p> <p>Where the review identifies shortcomings, the chief constable should ensure the implementation of prompt, adequate and effective remedial action. Those remedial steps should be incorporated into the action plan specified in Recommendation 2.</p> <p>HMIC should be provided with a copy of each review and the</p>	<p>Action: Review how chief constables, and their senior officers, give full effect to their forces' stated priority on domestic abuse. If there are any shortcomings they should be included in the action plan as in recommendation 2.</p>	Increasingly everyone's business: A progress report on the police response to domestic abuse	Closed	<p>Action closed 01/12/2016 A self assessment was completed and submitted to HMIC during the Autumn Effectiveness Vulnerability Inspection.</p>

BT/0496/22116	30/11/2016	Det Supt Rob Griffin	<p>Recommendation 2 By September 2016, every police force in England and Wales should establish and publish an action plan that specifies in detail what steps it will take to improve its approach to domestic abuse. This action plan should be developed:</p> <p>a) in consultation with police and crime commissioners, domestic abuse support organisations and victims' representatives; b) after close consideration of all the recommendations in this report; c) with reference to all relevant domestic homicide reviews and IPCC findings, whether in connection with the force in question or another force; and d) drawing on relevant knowledge acquired or available from other sources such as CPS scrutiny panels and MARAC self assessments</p> <p>The action plan should be established on the basis of best practice, based on revised relevant guidance from the College of Policing. To ensure consistency, the College and the national policing lead on domestic abuse have agreed to provide advice on the areas that each plan should cover by the end of April 2016.</p> <p>Chief officers in each police force should oversee and ensure full implementation of these action plans. This should be a personal responsibility in each case. Police and crime commissioners should hold forces to account in this respect. HMIC will inspect forces' progress on domestic abuse as part of its new annual all-force inspection programme. Police and crime commissioners and chief</p>	<p>Action: Review, update and publish the domestic abuse action plan. This action plan should be developed:</p> <p>a) in consultation with police and crime commissioners, domestic abuse support organisations and victims' representatives; b) after close consideration of all the recommendations in this report; c) with reference to all relevant domestic homicide reviews and IPCC findings, whether in connection with the force in question or another force; and d) drawing on relevant knowledge acquired or available from other sources such as CPS scrutiny panels and MARAC self assessments</p>	Increasingly everyone's business: A progress report on the police response to domestic abuse	Closed	<p>Action closed 16/12/2016 The domestic abuse action plan is now complete, it has been shared with a key stakeholders and is being implemented through the PP's monthly Action Plan.</p>
BT/a4b5/11816	31/12/2016	Rob Taylor	<p>Recommendation 2: The blue light services need to develop a programme for delivering future JESIP tri-service training. This should incorporate refresher training, initial training for newly promoted commanders and awareness for new recruits. It should also be extended to Local Resilience Forums and other category 1 and 2 responders.</p>	<p>Action: All operational Sergeants to attend JESIP Operational Commander Course (14th September, 18th October, 22nd November 2016). EMCHRS to undertake course administration and delivery of JESIP as part of normal business</p>	The tri-service review of the Joint Emergency Services Interoperability Principles (JESIP)	Closed	<p>Action closed 16/12/2016 The package for JESIP refresher training is being developed locally with blue light partners. This will be delivered in April 2017. The new recruits and newly promoted sergeants will receive a JESIP input too. Furthermore LRF partners are invited to JESIP events and inputs are also being given to partners such as Safety Advisory Groups for football and the cricket clubs.</p>
CH/f4b6/1415	31/3/2017	Det Supt Rob Griffin	<p>3: Immediately: (pg 18-19) We recommend that Nottinghamshire Police takes steps to ensure that all relevant information is properly and uniformly recorded, and is readily accessible in all cases where there are concerns about the welfare of children.</p>	<p>Original Action 3: Implement the Public Protection module as part of phase 2 of the regional NICHE project.</p> <p>New action 3 : Carry out a review in 6 months time to ensure that the use of CATS has come to an end, that the information that was formerly input onto CATS is replicated in Niche and that we have successfully moved to the use of the PPN. (Activity request - Transformation Board)</p>	National Child Protection Inspection. Post Inspection Review 3-7th August 2015	Closed	<p>Action closed 25/11/2016 Nottinghamshire has taken steps to ensure that all relevant information is properly and uniformly recorded on Niche and is readily accessible in all cases where there are concerns about the welfare of a child.</p>
BT/f485/11816	31/12/2016	Rob Taylor	<p>Recommendation 4: There needs to be a greater knowledge and understanding of the capabilities of Airwave and the use of the interoperable channels at incidents.</p>	<p>Action: All officers and staff who use airwave should receive a refresher training session to ensure that police and multi-agency interoperability functions are understood</p>	The tri-service review of the Joint Emergency Services Interoperability Principles (JESIP)	Closed	<p>Action closed 16/12/2016 The control room staff are training as Airwave Tactical Advisors and will be able to manage an incident over an interoperable talk-group. The blue light services regularly test Airwave and talks are given to officers to ensure that staff are aware of the airwave functions in major incidents.</p>

BT/e4b7/23516	31/12/2016	Katie Ethelstone	Recommendation: The force should ensure that its local teams have sufficient information available to them to improve their understanding of local communities.	Action a): Develop an Overarching Engagement Strategy which will link the work between the Police (Neighbourhood Engagement Strategy) and the OoPCC (Engagement and Consultation Strategy).	Legitimacy 2015	Closed	Action closed 16/12/2016 An Engagement Strategy is now in place, this will be monitored by the Force Executive Board on a quarterly basis. The success of the overarching strategy will be evaluated against its aims in July 2017.
BT/d487/11216	31/3/2017	Det Supt Rob Griffin	Recommendation 15: Theme Child Detention: Improve staff awareness of child vulnerability and assessing needs.	Action: Deliver two separate 1 day sessions to improve custody staff awareness of child vulnerability and assessing their needs. Day 1 covers the changes to APP pertaining to children in detention and day 2 covers vulnerabilities in more detail, human trafficking (linked to CSE) and mental health for example. The aim is to have all staff trained across the region by April 2017.	In harms way: The role of policing in keeping children safe.	Closed	Action closed 06/02/2017 The day one session has been delivered successfully. The day two session has been superseded by an immersive death in custody package.
BT/1498/23516	31/12/2016	Phillip Davies	Recommendation: The force should ensure that its local teams have sufficient information available to them to improve their understanding of local communities.	Action b): Develop in consultation with the OoPCC a Neighbourhood Policing Engagement Strategy. Link to the overarching strategy.	Legitimacy 2015	Closed	Action closed 16/12/2016 All of the Community Profiles have been finalised across Nottinghamshire. The Profiles enable staff to understand the needs and demands of their communities whilst assisting with means of contact and engagement. There will be an on-going scrutiny throughout 2017 to ensure each engagement plan is successful.
BT/a4a8/11216	2/12/2016	Rachael Urwin	Recommendation 5: (cross ref with Rec 2) By 28 February 2017, the force should ensure that there are credible and achievable plans in place for the new police operating model. The plans should make clear how the reductions in workforce numbers are to be achieved and provide costed options for service provision and clarity on the impact on services of each option.	No action required. Combined into recommendation 2	Efficiency Nov 2016	Closed	Action closed 01/12/2016 The new management team are working on a plan to make the Force affordable by 2019. There is a medium term strategy within the PCC and there is an aim of producing a workforce and assets plan in the near future.
CC/1499/1591	15/9/2016	Det Supt Austin Fuller	Recommendation 7: Improve flagging of OCG subjects, their vehicles and addresses on NICHE to increase awareness across the NPT and Response function.	Action 7: No action required. This recommendation is complete. All mapped nominals have a flag on NICHE. All OCG's are listed as 'business / organisation'	Effectiveness 2015	Closed	Action closed 25/11/2016 All of the mapped nominals have a flag on the Niche system. Furthermore all of the OCG's are listed as 'business/organisation'.
BT/e4b9/22116	31/1/2017	DCI Leigh Sanders	Recommendation: The force should improve its investigation of cases involving vulnerable victims by ensuring officers with appropriate skills and expertise carry out such investigations and it supervises their workloads to ensure they can do so effectively.	Action: DCI on Public Protection to monitor and provide assurance that investigations are effective and workloads are appropriate.	PEEL: Police effectiveness 2015 (vulnerability National & Local)	Closed	Action closed 15/11/2016 To improve the quality of the investigation surrounding vulnerability the Force has embarked on a Career Pathways programme which has resulted in an influx of qualified detectives into PP departments and the non PIP2 officers have been replaced. In addition to the Initial Crime Investigators Development Programme, PP officers are receiving specialist inputs in order to investigate vulnerability. This includes using systems such as Visor, RM2K, SCADIP, Safeguarding adults, Safeguarding children, Domestic Abuse specialist training, DASH training, Rapid Response training and multi-agency cross authority training to tackle CSE. To deal with high workloads, a new PP business case has been submitted to COT to identify workloads and match demand with allocated resources. All front line staff have been given a series of briefings surrounding vulnerability to ensure an effective front end response to vulnerability.

CC/2489/14916	30/11/2016	Det Ch Supt Gerard Milano	Recommendation: 2 Where an OCG has a strong local footprint consideration should be given to allocating a LRO from the relevant NPT at Inspector or Chief Inspector level	Action: Review the current OCG cohort to enable an informed decision on which ones will be allocated to Neighbourhood Leads.	Effectiveness 2015	Closed	Action closed 25/11/2016 The responsibility of appointing an LRO is allocated to the Chair of the OCG Scrutiny Group. This has already proved very effective with some of the 'gang' type OCG's. Other OCG's are slowly migrating across to Neighbourhoods.
CH/249d/1415	31/12/2016	Det Supt Rob Griffin	5. Within three months: (pg12-14) We recommend that Nottinghamshire Police undertakes a review of the level and quality of supervisory activity in cases involving children missing from home;	Action: Monitor the success of the process which has been put in place for Missing From Home coordinators to conduct a review of sample children cases on a 6 monthly basis, to include levels and quality of supervision.	National Child Protection Inspection. Post Inspection Review 3-7th August 2015	Closed	Action closed 25/11/2016 There is now an agreed force process for monitoring and constant review of the management of MFH's which includes a feature on the level and quality of supervision.
CC/a48d/15916	31/12/2016	Det Supt Austin Fuller	Recommendation 9: LROs should periodically provide briefings on current OCG related threats at the fortnightly CSP Local operations meetings	Action: T/Det Supt Austin Fuller to compile a list of LROs and send out to all Ch Insp leads to enable invites to Local Ops meetings.	Effectiveness 2015	Closed	Action closed 16/12/2016 The CSP representatives have been vetted and can be briefed on all OCG's. The Neighbourhood leads have been briefed and are going to invite LRO's to their Local Ops meetings to be updated on the status of any OCG's at their discretion.
BT/b48e/16316	30/11/2016	DCI Leigh Sanders	Recommendation 11: The force should review the process by which repeat standard risk cases are identified and put in place a means by which these are monitored to ensure risk assessments accurately reflect a series of low level incidents.	Action: Review the process by which repeat standard risk cases are identified and put in place a means by which these are monitored to ensure risk assessments accurately reflect a series of low level incidents.	Nottinghamshire Police's approach to tackling Domestic Abuse (local report)	Closed	Action closed 15/11/2016 A search has been developed with MI and it has identified repeat survivors. This is completed on a monthly basis and it looks to see if people have been subjected to other DV incidents within the preceding 12 months. Furthermore there is a review in place to help with this task. For example when a victim passes on details about the a crime the report is passed on to the IDVA who conduct risk assessments and provide safeguarding interventions. If a case is identified as high, this is referred to the MARAC.
BT/649f/11216	28/2/2017	Mark Kimberley	Recommendation 4: Immediately, the force should build on the medium-term financial strategy and develop and work with an effective medium-term plan that aligns revenue and capital spending (over the next three years, as a minimum) with force priorities, taking into account future change and savings plans alongside prudent assumptions about anticipated income.	Action: Develop the medium-term financial strategy and plan to align revenue and capital spending (over the next 4 years) to force priorities to include: a) future change b) savings plans c) anticipated income	Efficiency Nov 2016	Closed	Action closed 06/02/2017 Progress has been made in developing the Forces operational medium term financial plan as part of the budget build for 2017/18. In addition FEB has recently agreed a new asset strategy as well as developing its IT/IS programme as part of the tri-force transformation bid.
CC/448e/15916	30/11/2016	Det Supt Austin Fuller	Recommendation 8: Whilst retaining appropriate levels of security, ORCA should offer greater flexibility to allow appropriate levels of access to relevant OCGs by key personnel, including the OCGs, at the discretion of the LRO	Action: Allow greater access on ORCA to neighbourhood Ch Insp leads.	Effectiveness 2015	Closed	Action closed 25/11/2016 Specific OCG management plans can now be opened up to any Police Officer / Staff at the discretion of the LRO. However, LROs are being asked to consider this with care as some records within ORCA reference sensitive tactics. LROs are now being educated to remove sensitive information form ORCA and transfer this to a hand written Sensitive Issues Policy file so ORCA can be made available securely to a wider, but relevant, audience.

BT/d49d/16316	31/10/2016	DCI Leigh Sanders	Recommendation 8: With the CPS and courts, the force should reduce the double listings of domestic abuse cases to improve victim engagement and attendance.	Action: With the CPS and courts, the force should reduce the double listings of domestic abuse cases to improve victim engagement and attendance.	Nottinghamshire Police's approach to tackling Domestic Abuse (local report)	Closed	Action closed 15/11/2016 Nottinghamshire Police have worked closely with the CPS and the Courts on this issue and will continue to do so. The Chair of the Nottinghamshire Domestic and Sexual Violence Criminal Justice Group will focus on this issue too. Furthermore the number of double listings in both Magistrates Courts has reduced but there some cases that still exist. There is also a project called 'DEEP DIVE' which is being led by the Ministry of Justice and the CPS which will run for the next six months.
CC/44af/15916	30/11/2016	Det Supt Austin Fuller	Recommendation 10:. Each active OCG should have BATS briefing with clear SMART based tasking where necessary. These should be refreshed every 2 weeks.	Action 10: Write and present to FEB a business case taking into account the thematic approach and staffing levels.	Effectiveness 2015	Closed	Action closed 16/12/2016 The items on the BATS briefing have been reviewed and were found to be effective.
BT/14ac/22116	30/11/2016	DCI Leigh Sanders	Recommendation: The force should improve its initial response to vulnerable victims by ensuring frontline officers and staff are appropriately trained to investigate and to safeguard vulnerable victims.	Action: Develop with regional learning and development (Andy Hough) a suitable training input to deliver to all frontline officers and staff to ensure all are appropriately trained to investigate and safeguard vulnerable victims.	PEEL: Police effectiveness 2015 (vulnerability National & Local)	Closed	Action closed 07/11/2016 The force has delivered a comprehensive vulnerability training package to all front line officers from response and neighbourhoods which allows them to make an effective assessment of the vulnerability of victims and provide relevant safeguarding. In 2013 all front-line officers were required to undertake a full day's classroom based training event specifically around dealing with vulnerability. These training sessions acted as a refresher for officers in terms of the actual identification of vulnerability, however, they also served to introduce to many officers a series of tiers of risk, based on outcomes. In 2016 DASH training, Coercion and Control, HBA, FM and FGM have been delivered face to face (by DASH trained trainers) to all frontline response and neighbourhood officers. The PP SMT are currently involved in delivering a series of vulnerability briefings to response and beat managers to focus on some of the key messages and provide clarity over processes in a number of areas, including Domestic Abuse, The Voice Of the Child, Children and Adult Safeguarding referrals. The briefings to this report were completed on the 2nd of November 2016.
CC/14b9/1491	14/9/2016	Det Supt Austin Fuller	Recommendation: 1. Senior Neighbourhood representatives should routinely attend the force's monthly OCG Scrutiny meeting	Action: Senior Neighbourhood representatives should routinely attend the force's monthly OCG Scrutiny meeting	Effectiveness 2015	Closed	Action closed 25/11/2016 Superintendent Richard Fretwell is to attend the OCG Scrutiny meeting for the Northern Cluster and Superintendent Ted Antill is to attend the Southern Cluster.

BT/64a8/22116	31/10/2016	DCI Leigh Sanders	Recommendation: The force should improve the way it works with partners to share information and safeguard vulnerable people, specifically in relation to addressing the backlog in cases that require further assessment and referring to other organisations.	Action: DCI Sanders to work with the Head of Children's Services Clive Chambers to reorganise the structure of Safeguarding. Review and update as necessary Service Level Agreement. Publish any new agreements on the library and communicate this through a weekly order.	PEEL: Police effectiveness 2015 (vulnerability National & Local)	Closed	<p>Action closed 15/11/2016</p> <p>The sharing of information and the backlog has been satisfactorily resolved, as is described within this action. MI have now recruited and up skilled resources to ensure that demand, going forward, can be met, and so we will not see a recurrence of this particular issue.</p> <p>A new service level agreement has been produced for the sharing of information in this context.</p> <p>The wider elements of the action (sharing information during child protection referrals etc) are all being addressed under the above identified action, which is a review to assess our (police and partners) effectiveness and efficiency in relation to child protection matters (which includes information sharing.)</p>
CC/c4a7/15916	30/11/2016	Det Supt Austin Fuller	Recommendation 11: Briefing boards are still valued by operational staff and should be fully utilised to display relevant messages. A review of security arrangements is required to ensure the displays are up to date and visible only to appropriately vetted staff	Action: Carry out a review of all briefing environments to check on security arrangements to ensure the displays are up to date and visible only to appropriately vetted staff	Effectiveness 2015	Closed	<p>Action closed 25/11/2016</p> <p>There are security issues in that briefing venues across the Police estates are often shared with partners for meetings. However the Force's position remains that intelligence briefings should only be delivered in an electronic format.</p>
BT/e4b4/25516	30/4/2017	Ian Hebb	Recommendation: The workforce is not universally aware of the coaching and mentoring scheme, which is an area that the force could improve. This means the force may not fully identify the talent available in the organisation.	Action: Re-promote Force-wide (via Corporate Communications) coaching and mentoring development opportunities. This will assist line managers to help support their team's PDR conversations, understand what talent development processes exist and how individuals can potentially access a Force mentor or coach.	Leadership 2015	Closed	<p>Action closed 16/12/2016</p> <p>The Force is developing a comprehensive leadership skills analysis which is linked to the Force's training needs. This is going to be sent to all management and then placed back into 4 action for monitoring.</p>
BT/d4a3/81116	31/1/2017	Det Supt Rob Griffin	Recommendation 7 Within 3 months. We recommend that Nottinghamshire Police initiate discussions at a senior level with CPS to improve the timeliness of actions and decisions by both the Police and CPS	Action: Nottinghamshire Police to initiate discussions at a senior level with CPS to improve the timeliness of actions and decisions by both the Police and CPS	National Child Protection Inspection. Post Inspection Review 3-7th August 2015	Closed	<p>Action closed 06/02/2017</p> <p>Nottinghamshire Police is initiating discussions at a senior level with CPS to improve the timelines of actions and decisions by both the Police and CPS. Discussions with Senior Police Officers, Head of Public Protection and the senior representatives from the CPS are on-going.</p> <p>Discussions are also being held when particular issues arise. For example a regional meeting monitored and scrutinised decisions made by the CPS and Police during the pilot of the 'Early Investigative Advice' project. There are also meetings that are governing the 'Deep Dive' project which is designed to improve timeliness and decision making around Domestic Abuse cases in the Specialist Domestic Violence Court.</p> <p>From further investigation it is seen that an appropriate framework exists and where issues arise, these are addressed within both organisations.</p>

AF/c4b0/29716	4/11/2016	Mark Kimberley	No regular reporting to monitor expenditure of credit cards	Action: Produce a monthly expenditure report going to a monitored person in Finance. Share this with Mark Kimberley and Paul Dawkins by exception	Credit Card	Closed	Action closed 25/01/2017 Each month the Treasury Management Accountant reviews all expenditure and reports immediately anything of concern to the Senior Financial Accountant. This was detailed in the new credit card procedures which were agreed by FEB. Furthermore the Head of Finance are provided with a summary quarterly.
VA/84b0/101115	31/1/2016	Ch Insp Andrew Goodall	4.4 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 Victim Code of Practice working sheet within the CRMS.	Action: Review and update the Victim Information Pack in line with the new amendments. Outline amendments in Communication Strategy and publish on internet. Confirm changes via Weekly Order.	Victim Code of Practice	Closed	Action closed 25/11/2016 A new victim pack and weekly order were presented to Mazars as part of a follow up audit.
AF/1480/29716	30/11/2016	Mark Kimberley	Some payments on credit cards appear questionable such as payments of Amazon and John Lewis, and as no receipts are required with the credit card statement it is not possible to verify that expenses are for business use	Action: Communicate to all staff that all receipts could be requested for expenditure spot checks. Scan to Oracle system to ensure VAT can be correctly accounted. Ensure this process is included in the Corporate Card Procedure document	Credit Card	Closed	Action closed 25/01/2017 Communication was sent to all staff and procedure guidelines were sent to the media for further communication and publication.
BT/e4b0/18116	31/8/2016	Ronnie Adams	Recommendation: Consideration should be given to monitoring purchases below £25,000 across the shared service forces.	Action: Nottinghamshire Police Contract lead to ensure MFSS take on responsibility to ensure that all low value spend is aggregated (passing to EMSCU above 25k), and suppliers are contracted through joint arrangements. Action: EMSCU to monitor and report under £25,000 spend in Nottinghamshire. EMSCU to also identify where multiple contracts could be amalgamated to deliver greater economies of scale and further savings	Procurement January 2016	Closed	Action closed 16/12/2016 A follow up audit by Mazars was conducted. A draft publication is being circulated and the activity from this has been superseded.
BT/94b1/151216	31/1/2017	Mark Kimberley	Recommendation 4.6: The Force should introduce a threshold limit on expense claims that are required to be audited prior to approval that have been submitted under the self-approve module on Oracle. Further consideration should be given to introducing threshold limits for individual categories of expense claims. For example, a threshold limit for self approval on glasses claims in line with Force Policy. [Force]	Action: The use of threshold controls at individual expense type is considered too burdensome at this time. However all expense claims above £250 will be subject to an audit review by the retained finance function.	Core Financials Systems Assurance Dec 2016	Closed	Action closed 06/02/2017 This is now part of the monthly audit procedures undertaken by management accountants and the retained financial function.
BT/c481/41116	30/11/2016	Mark Kimberley	Recommendation: A timetable for the delivery of improvements highlighted by the Head of Finance should be implemented to ensure improvements are delivered in a timely manner.	Action: Produce an action plan which identifies areas for the improvement of efficiency savings and budgeting to include timescales and person responsible.	Savings Programme Follow up October 2016	Closed	Action closed 18/11/2016 The initial Force Operational MTFP was approved by FEB in October 2016. This included a list of improvements and a timetable for the officer responsible for each action.
BT/04a4/8916	30/9/2016	Mark Kimberley	Recommendation 4.1: Procedure notes should be developed for all key tasks completed with regards to the Force budgeting process, including production, approval and monitoring. The procedures should be: •Regularly reviewed using version control to evidence the review; •Tested for accuracy and appropriateness; and •Made available to all relevant officers on the intranet	Action: Develop an interim local procedure for all key tasks completed with regards to the Force budgeting process, including production, approval and monitoring. The procedures should be: •Reviewed annually by the Head of Finance using version control to evidence the review; •Tested for accuracy and appropriateness; and •Made available to all relevant officers on the intranet	HR Establishment Budgeting	Closed	Action closed 11/11/2016 Following the FEB approval, guidance notes have been issued to all those involved in the budget process.

CC/7484/261016	31/12/2016	Pat Stocker	Recommendation 4.1.1: The Strategies, Policies and Procedures that support Information Management at the Force should be reviewed and updated in line with the current processes that have been adopted. The documents to be addressed are: Removal of the Information Assurance Framework, as this was superseded by the Information Management Strategy.	Action: Review and update the Strategies, Policies and Procedures that support Information Management in line with current processes. The documents which should be addressed are: Remove the Information Assurance framework as this has been superseded by the Information Management Strategy.	Data Protection Act Compliance Oct 2016	Closed	Action closed 16/12/2016 There has been confirmation from Corporate Communications that the IA Framework document has been removed from the Corporate Library.
BT/4495/151216	28/2/2017	Mark Kimberley	Recommendation 4.7: The Accounts & Purchasing Team Leader should conduct a secondary check to confirm all individual payments within the BACs run with a value greater than £5,000 have been reviewed by the Supervisor prior to uploading to the Bottom Line system for submission. [MFSS]	Action: The force will ensure that MFSS will put in place the secondary check.	Core Financials Systems Assurance Dec 2016	Closed	Action closed 06/02/2017 The original recommendation was implemented with immediate effect and the next audit will review the new process.
BT/54b6/211116	30/12/2016	Mark Kimberley	Recommendation 4.4: A further communication should be issued to remind all staff who raise and approve requisitions that the supporting documentation should be clearly attached in the Oracle system. This should include appropriate quotes or details of related contracts. Consideration should be given to completing dip samples to ensure compliance with Contract Procedure Rules.	Action: Communicate to all staff the process to be followed for purchases under £25k and attaching quotes to the system or including contract details to demonstrate this. Set up a dip sampling process to monitor compliance.	Procurement Follow up Nov 2016	Closed	Action closed 16/12/2016 On the 7th December 2016 an email and Force communication was produced by Business Partners.
BT/44b6/251116	28/11/2016	Mark Kimberley	Recommendation 4.8: Review the process of journal checking and introduce a periodic independent check to negate invalid or inaccurate journals being processed. Refresh the appropriate policy or procedure and communicate to relevant staff.	Action: Review the process of journal checking and introduce a periodic independent check to negate invalid or inaccurate journals being processed.	Core Financials Follow up July 2016	Closed	Action closed 25/11/2016 It was confirmed that an independent spot check of journals was conducted by the Management Accounting Manager in March 2016. The procedure followed for this review was to conduct a spot check of 10% of all journals posted during the period. A report was generated from the system of all journals posted and every tenth journal was selected for review. There were a total of 283 journals posted and therefore 28 journals were checked. Backing documentation for each of the 28 journals was obtained by the Management Accounting Manager to confirm accuracy and validity. Discussion with the Management Accounting Manager noted that this method was agreed with the Force external auditors (KPMG). The independent spot check of journals will be conducted on a quarterly basis and therefore the next review will be completed at the end of June 2016. This recommendation has been fully implemented.
CC/04a6/261016	31/1/2017	Pat Stocker	Recommendation 4.1.2: The Strategies, Policies and Procedures that support Information Management at the Force should be reviewed and updated in line with the current processes that have been adopted. The documents to be addressed are: A review and update of the Information Management Strategy. Link this to recommendation 4.8	Action: Review and update the Strategies, Policies and Procedures that support Information Management in line with current processes. The documents which should be addressed are: Review and update the Information Management Strategy. Consideration to be given to the new structure in place and with the recommendations raised from this audit. Link this to recommendation 4.8	Data Protection Act Compliance Oct 2016	Closed	Action closed 06/02/2017 The Information Management Strategy and accompanying documents area now complete and have been published onto the library.
CC/34b6/261016	31/10/2016	Pat Stocker	Recommendation 4.1.3: The Strategies, Policies and Procedures that support Information Management at the Force should be reviewed and updated in line with the current processes that have been adopted. The documents to be addressed are: A review and update of the Terms of Reference for the FIAB including performance monitoring.	Action: Review and update the Strategies, Policies and Procedures that support Information Management in line with current processes. The documents which should be addressed are: Review and update FIAB Terms of Reference to include performance monitoring.	Data Protection Act Compliance Oct 2016	Closed	Action closed 25/11/2016 The FIAB terms of reference were reviewed and agreed at the FIAB meeting on the 14th September 2016.

BT/c496/251116	28/11/2016	Mark Kimberley	Recommendation: Review service requests to identify if there is an adequate checking process in place to ensure that all requests for unpaid leave are actioned in a timely manner. The review should also comment upon that service requests are timely allocated to Payroll to allow records to be updated and the Payroll closed.	Action: Review service requests to identify if there is an adequate checking process in place to ensure that all requests for unpaid leave are actioned in a timely manner. The review should also comment upon that service requests are timely allocated to Payroll to allow records to be updated and the Payroll closed.	Core Financials Follow up July 2016	Closed	Action closed 25/11/2016 A process has been put in place whereby an automatic notification to payroll is generated on the system to inform MFSS of the action required. This has reduced the likelihood of a delay occurring. Furthermore a monitoring mechanism of overpayments has been introduced to help notify MFSS of a member of staff leaving the organisation. This system will be reviewed on a monthly basis. Regular update meetings are held between the Force and MFSS to address any actions required and to check on poor performance. This includes ensuring leavers are actioned on the system in a timely manner to prevent any overpayments from occurring.
BT/b499/22116	31/3/2016	Maria Fox	Recommendation 4.1: Officers should be reminded of the need to record evidence bag reference numbers within crime reporting management systems.	Action: All officers to complete training on NICHE Module 4 which will include a reminder of the importance of recording sealed bag numbers The new Other than Found Property Acquisition Policy and Flowcharts highlight the importance of officers recording sealed bag numbers on CRMS.	Proceeds of Crime Act January 2016	Closed	Action closed 10/11/2016 Maria Fox has amended the Training Material instructions for the Mod 4. This is a set of instructions that are easy for trainers and officers to follow.
CC/c49a/26101	31/12/2016	Pat Stoker	Recommendation 4.4: The Information Management Team should hold a complete list of Information Asset Owners and delegates and this should be published so staff are aware of the right contacts should they need to raise an issue.	Action 4.4: Complete a list of Information Asset Owners and delegates. Publish on the Force intranet so that staff are aware of the key contacts for information assets.	Data Protection Act Compliance Oct 2016	Closed	Action closed 16/12/2016 An updated IAO and Delegated list dated November 2016 has been produced and is available from the IM team. It will also be uploaded into the Force IMS when resources are in place.
AF/449a/29716	30/11/2016	Mark Kimberley	No policy or process in place to address all credit card issues	Action: Develop and implement a credit card policy and process to cover: a. Independent scrutiny of expenditure of each credit card. b. Regular maintenance of credit card file information and credit card agreements. c. Regular review of credit card limit and signatory levels. d. What personal information if any, is to be on itemised credit card statements. e. Identification of the role of overall responsibility for monitoring the use of credit cards. f. Identification if receipts should be requested over a stated amount and instruction to scan onto Oracle to ensure the correct VAT on purchases is being accounted for correctly. g. Controls in place to detect inappropriate spend eg. a secondary check with an authorising officer confirming transactions are in line with current policy. Include a formal 6 month expenditure review to share with PSD and Paul Dawkins for information and scrutiny. Ensure current policy/process is outlined in procedure and communicated to all staff via Weekly Order	Credit Card	Closed	Action closed 25/01/2017 A new procedure has been written and is in place.
CC/e48a/26101	31/12/2016	Pat Stoker	Recommendation 4.3.2 : The IAO Handbook should be updated to reflect the current processes that are in place and provide clarity on the actions that IAO's need to take to produce and maintain the information asset register.	Action: Update the IAO handbook to reflect the current processes followed and provide clarity on the actions that IAO's need to take to produce and maintain the information asset register.	Data Protection Act Compliance Oct 2016	Closed	Action closed 16/12/2016 The IAO handbook has been updated and a copy of the November version is on 4 action.

BT/849d/251116	31/1/2017	Mark Kimberley	Recommendation: MFSS to send to Pam Taylor (Senior Financial Accountant) an Aged Debtors report monthly in excel format. Add additional columns to incorporate the latest debt chasing notes and to confirm Dunning Letters 1 & 2 have been sent. This would then enable decisions on how to progress. Cross ref with recommendation 4.10.	Action: MFSS to send to Pam Taylor (Senior Financial Accountant) an Aged Debtors report monthly in excel format. Add additional columns to incorporate the latest debt chasing notes and to confirm Dunning Letters 1 & 2 have been sent. This would then enable decisions on how to progress. Cross ref with recommendation 4.10.	Core Financials Follow up July 2016	Closed	Action closed 25/11/2016 On a monthly basis, an aged debt report is sent to Finance at the Force by MFSS which details outstanding invoices unpaid and includes details of the debt recovery action currently taken. The MFSS Service Delivery Manager noted that, going forward, this process is to be completed bi-weekly rather than monthly. It was therefore confirmed that this recommendation has been implemented.
BT/24ad/19116	31/8/2016	Ronnie Adams	Recommendation: Management should review the suppliers in the system and remove those which are no longer being used. Management should ensure that staff use existing suppliers before procuring from new suppliers, and use this as a basis for negotiating multiple purchase discounts where possible. This should be monitored in line with recommendation 4.5. (Local Responsibility)	Action: Nottinghamshire Police Contract lead to ensure MFSS to carry out an audit and data cleanse the suppliers from the system Communication to be sent out advising staff to use existing suppliers before procuring from new suppliers. Communication to be sent out advising staff to use existing suppliers before procuring from new suppliers	Procurement January 2016	Closed	Action closed 21/12/2016 All of the CSE actions on 4action have been reviewed by the Public Protection team and partners. A new action plan has been compiled and shared with partners. Once approved by the Head of Public Protection these new actions will then be entered back into 4action.
BT/949d/4716	31/12/2016	Insp Craig Nolan	Recommendation 4.3: A standard level of access should be agreed upon so that it can be consistently applied.	Action: Agree a standard level of access so that it can be consistently applied.	Implementation of DMS June 2016	Closed	Action closed 06/02/2017 The current level of access for staff is satisfactory. The Force supervisors are advised to identify any requirements to ensure tree access is given to staff members. However this does remain an easier process for Police officers, although if the police staff member is defined as a supervisor then access to the trees will be provided.
BT/d49d/8916	31/1/2017	Mark Kimberley	Recommendation 4.3: A reconciliation between the data held on the payroll system, HR system and budget model should be conducted on a regular basis.3	Action: Identify a regular reconciliation process with appropriate controls in place to check the data retained on the payroll system, the HR system and budget model to identify and rectify any discrepancies to assist in the development of the HR Establishment for setting future budgets.	HR Establishment Budgeting	Closed	Action closed 06/02/2017 HR have fully reconciled records to establishments and budgets. In the future all changes will be reported via the workforce planning meetings which will now include a Finance representative to ensure records are kept in sync.
BT/04af/21111	31/1/2017	Ronnie Adams	Recommendation 4.2: The Force and EMSCU should ensure that the correct versions of procedures are available on the Force intranet site to ensure staff follow the correct procedures.	Action: Provide the Force Communications Team with the correct information to allow the Intranet to be updated. Changes to the Intranet had removed links to procedures. Links have now been restored and will be updated again once policy review complete.	Procurement Follow up Nov 2016	Closed	Action closed 06/02/2017 The procurement intranet site has now been reviewed and updated to ensure the correct versions of procedures are now available.
BT/d4bf/151216	31/1/2017	Mark Kimberley	Recommendation 4.2: MFSS should detail the fraud checks that have been completed when setting up a new supplier or amending an existing supplier on the Oracle System. This narrative should include the date of the check and the initials of the officer completing the check. [MFSS]	Action: Narrative to be entered into the notes section of the Oracle System upon the creation of a new supplier to ensure a fraud or background check has been carried out. This narrative should include the date of the check and the initials of the officer completing the check.	Core Financials Systems Assurance Dec 2016	Closed	Action closed 06/02/2017 The recommendation has been implemented and the impact will be reviewed at an audit follow up in November or December 2017.
AF/d4bf/29716	30/11/2016	Mark Kimberley	Control of credit cards function has moved between functions so it is unclear who has overall responsibility for monitoring the use of credit cards	Action: Identify and clearly communicate to identified credit card users, who has overall responsibility for monitoring the use of credit cards	Credit Card	Closed	Action closed 25/11/2016 The control of credit cards has been handed over to Financial Accounting. Furthermore, online access for the ease of administration and control has been set up with a new policy and procedure being put in place to support these changes.

BT/048f/8916	31/12/2016	Mark Kimberley	Recommendation 4.4: The development of the monitoring spread sheets should be finalised and these should be used to produce formal budget reports that should be reported to the appropriate forums, including the Force Executive Board. The Force Executive Board should comment on the budget reports supplied to ensure that the reporting process meets the requirements of both the OPCC and Force.	Action: Develop budget monitoring spread sheets and where possible link to MTFP assumptions and projections. The Head of Finance to provide a peer challenge.	HR Establishment Budgeting	Closed	Action closed 16/12/2016 Monitoring spread sheets have been developed by Finance and used to populate the MTFP planning process. Maintenance of the spread sheet and reconciliation with HR will now take place via the Workforce Planning meetings.
CC/548f/26101	31/10/2016	Pat Stocker	Recommendation 4.3.3: A clear process should be in place so that a 'gatekeeper' is in place to monitor consistency of the register.	Action: Amend the Information Security Officer Job description to include the role of 'gatekeeper' to maintain the IAO register and ensure that returns do not include missing data. This process will be included within the updated IAO handbook.	Data Protection Act Compliance Oct 2016	Closed	Action closed 25/11/2016 The ISO job description has been amended to include the gatekeeper role for ensuring the continued maintenance of Information Asset Registers by Information Asset Owners.
BT/748f/25111	31/1/2017	Mark Kimberley	Recommendation: Review and update map and desk instructions. Introduce a regular updating process to include revisions to instructions to be communicated to all relevant staff.	Action: Review and update map and desk instructions. Introduce a regular updating process to include revisions to instructions to be communicated to all relevant staff.	Core Financials Follow up July 2016	Closed	Action closed 06/02/2017 The original implementation date was September 2016 and therefore this has been reviewed by Mazars as part of the latest core financial systems audit and there are no outstanding recommendations.
BT/a4ad/4111	30/11/2016	Mark Kimberley	Recommendation: A review of the Medium Term Financial Plan and Budgeting Guidance should take place to ensure the Force has clearly documented how its finances will be managed.	Action: Review and update if required the Medium Term Financial Plan and Budgeting Guidance to show the Force has clearly documented how its finances will be managed.	Savings Programme Follow up October 2016	Closed	Action closed 11/11/2016 The Force Operational MTFP was approved on the 24th October 2016. The Budget Guidance was issued on the 16th September 2016. Both of these documents address the actions required.
AF/1488/2971	30/11/2016	Mark Kimberley	Process for ensuring credit card spend is entered correctly on accounting system not known by Finance team. It is unclear whether VAT is being accounted for correctly	Action: Train/Communicate to Finance team, correct process for entering credit card spend, to include how VAT should be accounted	Credit Card	Closed	Action closed 25/01/2017 A new process has been communicated to all new staff and the new procedure and guidelines reflect this.
BT/3499/22216	30/11/2016	Mark Kimberley	Recommendation: New suppliers should only be set up upon receipt of an approved new supplier form and this should include key details that then can be verified by MFSS, for example identification of directors of the company so the reputation and current financial status of the company can be verified. Consideration should be given to reviewing a sample of new suppliers set up since the implementation of MFSS processes to ensure appropriate checks have been made.	Action: Shelley Foy MFSS Accounts and Purchasing Service Delivery Manager. Carry out a review after the move to the 'no purchase order no pay' process to introduce if necessary a robust secondary checking and verification process As part of the review create a report which shows amendment's to suppliers	Core Financials February 2016	Closed	Action closed 16/12/2016 The process review was placed at the procurement stage and this was audited without comment during the October 2016 Mazars financial systems review.
BT/14a8/251116	31/1/2017	Mark Kimberley	Recommendation: Review and update the expenses policy to ensure it is fit for purpose. Include clear guidance on all categories of expenses and to be claimed through the self-serve systems and ensure that authorised limits for categories of expenditure remain valid. The policy should be reissued via a weekly order to all officers and staff to ensure awareness and compliance. This should include consequences for staff who breach the policy.	Action: Review and update the expenses policy to ensure it is fit for purpose. Include clear guidance on all categories of expenses and to be claimed through the self-serve systems and ensure that authorised limits for categories of expenditure remain valid. The policy should be reissued via a weekly order to all officers and staff to ensure awareness and compliance. This should include consequences for staff who breach the policy.	Core Financials Follow up July 2016	Closed	Action closed 06/02/2017 The procedural guidance was updated, agreed at FEB and sent to Corporate Development to publish in September 2016. Despite resourcing issues in the Corporate Development team, the procedural guidance has been published on the intranet.

VA/f4b8/101115	31/1/2016	Ch Insp Andrew Goodall	Recommendation: Needs assessments should be carried out with all victims of crime and results recorded on the Victim's Code of Practice working sheet within the CRMS system. This should then be used as the basis of support provision for the victim going forward.	Action: Communication strategy to be written and cascaded to relevant staff. Significant changes to be outlined and communicated via Weekly Order. Ensure victim figures are available and presented as part of the divisional OPR performance packs for monitoring and corrective action	Victim Code of Practice	Closed	Action closed 25/11/2016 The communications strategy was implemented on the 21st March 2017 with a news item on the intranet containing key messages. All of the divisional frontline sergeants have been signposted to the article and a request has been sent advising them to brief their staff in relation to the changes and requirements. The victim figures are presented to the Divisional OPR and during the VOLT meetings and the figures are also included in the performance packs.
BT/24b8/251116	28/11/2016	Mark Kimberley	Recommendation: Accounting and purchasing Service Delivery Manager MFSS to ensure that staff are updated on the process regarding proforma invoices, all invoices are approved by a budget holder prior to payment and that a force agreement is put in place in relation to 'no scanning in of proforma invoices'.	Action: Accounting and purchasing Service Delivery Manager MFSS to ensure that staff are updated on the process regarding proforma invoices, all invoices are approved by a budget holder prior to payment and that a force agreement is put in place in relation to 'no scanning in of proforma invoices'	Core Financials Follow up July 2016	Closed	Action closed 25/11/2016 The MFSS Service Delivery Manager sent an email to the Accounts Team to remind them that under no circumstances can a payment be made on a proforma invoice. All invoices must be approved by the Budget Holder on the Oracle system prior to payment being processed. It was therefore identified that staff have a reminder that payments should not be made on a proforma invoice and the MFSS team are aware of this.
BT/6487/251116	28/11/2016	Mark Kimberley	Recommendation: MFSS to review and clear invoices put on hold on a timely basis. MFSS to investigate the possibility of whether categories of expenditure (rather than the supplier as a whole) can be set with a default VAT code. MFSS to give consideration to assigning key categories of suppliers with a zero rated VAT percentage to ensure invoices placed on hold are kept to a minimum.	Action: MFSS to review and clear invoices put on hold on a timely basis. MFSS to investigate the possibility of whether categories of expenditure (rather than the supplier as a whole) can be set with a default VAT code. MFSS to give consideration to assigning key categories of suppliers with a zero rated VAT percentage to ensure invoices placed on hold are kept to a minimum.	Core Financials Follow up July 2016	Closed	Action closed 25/11/2016 It was confirmed with the MFSS Service Delivery Manager that the Oracle system was investigated to identify whether VAT could be coded to categories of expenditure rather than suppliers. However, it was identified as a result of this that the Oracle system does not have this functionality and therefore VAT must be coded by the supplier. However it was seen to be a difficult process to set up. Therefore, for those suppliers that charge varying levels of VAT, the system has been set at the default 20% VAT and any purchases from suppliers with a different VAT level will have to be manually adjusted. Furthermore, the audit confirmed that where suppliers will never charge VAT, their default VAT setting on Oracle would be set at a zero rating. The audit reviewed a report of invoices currently on hold and it was confirmed that the vast majority were on hold due to the purchaser not receipting the goods. Invoices on hold for reasons other than not being receipted were reviewed and it was noted that there were valid reasons for being on hold and a note had been left on Oracle to detail these reasons.

VA/34a6/101115	31/1/2016	Ch Insp Andrew Goodall	Recommendation: The offer/availability of a Victim Personal Statement (VPS) to the victim should be clearly communicated and acknowledged within the Victim Code of Practice working sheet.	Action: Communication strategy to be written and cascaded to relevant staff. Significant changes to be outlined and communicated via Weekly Order.	Victim Code of Practice	Closed	Action closed 25/11/2016 The communications strategy was implemented on the 21st March 2017 with a news item on the intranet containing key messages. All of the divisional frontline sergeants have been signposted to the article and a request has been sent advising them to brief their staff in relation to the changes and requirements. The victim figures are presented to the Divisional OPR and during the VOLT meetings and the figures are also included in the performance packs.
BT/8485/4716	31/12/2016	Insp Craig Nolan	Recommendation: A review of the existing trees in the system against the HR structure should be completed to ensure that the trees in the system are correct and that individual users are correctly placed in their respective tree.	Action: a) Review the existing trees in the system against the HR structure to ensure that the trees in the system are correct and that individual users are correctly placed in their respective tree. b) Once reviewed write a procedure to inform all staff using DMS of their responsibilities particularly in relation to informing DMU that line management have ceased. This new procedure should be put on the library with a link to the RMU Intranet site. A communications to go out on weekly orders to support this new procedure publication. Link this action to recommendation 4.1. System Governance	Implementation of DMS June 2016	Closed	Action closed 06/02/2017 The review of existing trees is on-going. The Force is currently working towards building a new structure for Complex and Organised Crime which will be followed by a Response and Neighbourhood structure. Following these plans a further set of departments will be built within the Investigations and Intelligence teams. A published guidance notice has been submitted onto the RMU intranet site and this gives users and supervisors guidance on how to perform certain tasks.
AF/34b5/2971	30/11/2016	Mark Kimberley	Recommendation: No independent scrutiny of expenditure incurred on credit cards	Action: Introduce a process which requires regular, independent scrutiny of expenditure incurred on credit cards. This process to be included in the Corporate Card Procedure document	Credit Card	Closed	Action closed 25/01/2017 The new process has been incorporated into the procedure and guidelines documents.
BT/54a4/12816	31/3/2017	Nicola Wade	Recommendation: The Independent Review Report should be discussed with partner organisations to ensure that the recommendations that it raises have been fully understood and actions agreed to ensure that weaknesses are addressed and opportunities to improve processes are taken.	Action: The Independent Review Report should be discussed with partner organisations to ensure that the recommendations that it raises have been fully understood and actions agreed to ensure that weaknesses are addressed and opportunities to improve processes are taken.	Commissioning - Community Safety	Closed	Action closed 20/12/2016 Following an audit by Mazars in December 2016 this recommendation and action has not been implemented however this is being progressed by the OPCC Chief Executive.
BT/d4b0/4716	31/12/2016	Insp Craig Nolan	Recommendation: The Force should clarify the roles and responsibilities of the parties involved in the ownership, maintenance and usage of the DMS System. This should include the information asset owners and information security responsibilities.	Action: Clarify roles and responsibilities of parties involved in the ownership, maintenance and usage of the Duty Management System, to include: a) Identification of the information asset owner b) Who has information security responsibility? Link this action to recommendation 4.4. Supervision Trees. The clarification of roles and responsibilities once identified to be communicated on the RMU intranet site.	Implementation of DMS June 2016	Closed	Action closed 06/02/2017 The IAO has been identified and updated in 2016. The supervision of trees are correct and are continually updated as the Force restructures with staff levels and supervisor changes. The Force is running as business as usual and it is not anticipated that the organisation will ever remain in stasis.
BT/04b2/21111	31/1/2017	Tracey Morris	Recommendation 4.7: Management should confirm with MFSS if supplier details are regularly reviewed and removed if they have not been used for some time.	Action: Discuss with MFSS and provide a suitable solution to ensure there are regular reviews of supplier details and the removal of ones which have not been used for some time (time to be identified).	Procurement Follow up Nov 2016	Closed	Action closed 16/12/2016 The suppliers are reviewed as part of the MFSS housekeeping process. The Force deactivates suppliers if they have not been used for 18 months or if the Force receives a notification they have ceased trading.
AF/24b2/29716	30/11/2016	Mark Kimberley	Recommendation: File of signed credit card agreements not updated and Named individuals who hold credit cards have not signed credit card agreements	Action: Introduce a process which regularly updates (when there is a change of personnel), the credit card file, to ensure each card holder has a signed bank agreement in place Remove/Archive any old or void agreements. This process to be included in the Corporate Card Procedure document	Credit Card	Closed	Action closed 25/01/2017 The procedure has been sent for publication in the library with a link from the A-Z site map.

VA/c4b0/101115	31/1/2016	Ch Insp Andrew Goodall	Recommendation: 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 Victim's Code of Practice working sheet and evidence maintained that updates have been provided in line with this request.	Action: Communication strategy to be written and cascaded to relevant staff. Significant changes to be outlined and communicated via Weekly Order. Ensure victim figures are available and presented as part of the divisional OPR performance packs for monitoring and corrective action	Victim Code of Practice	Closed	Action closed 25/11/2016 The communication strategy was implemented on the 21st March 2016 with a news item on the intranet containing key messages. All of the divisional frontline sergeants have been signposted to the article and a request has been sent advising them to brief their staff in relation to the changes and requirements. The victim figures are presented to the Divisional OPR and during the VOLT meetings and the figures are also included in the performance packs.
BT/8480/251116	31/1/2017	Mark Kimberley	Recommendation: Carry out a review after the move to the 'no purchase order no pay' process to introduce if necessary a robust secondary checking and verification process As part of the review create a report which shows amendment's to suppliers.	Action: Carry out a review after the move to the 'no purchase order no pay' process to introduce if necessary a robust secondary checking and verification process As part of the review create a report which shows amendment's to suppliers.	Core Financials Follow up July 2016	Closed	Action closed 06/02/2017 The 'no purchase order no pay' process has been implemented and has been reviewed by management and the internal auditors. There were no governance or control issues found and the recommendation was ratified.
VA/94b0/101115	31/1/2016	Ch Insp Andrew Goodall	Recommendation: Officers 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.	Action: Communication strategy to be written and cascaded to relevant staff. Significant changes to be outlined and communicated via Weekly Order	Victim Code of Practice	Closed	Action closed 25/11/2016 The communications strategy was implemented on the 21st March 2017 with a news item on the intranet containing key messages. All of the divisional frontline sergeants have been signposted to the article and a request has been sent advising them to brief their staff in relation to the changes and requirements. The victim figures are presented to the Divisional OPR and during the VOLT meetings and the figures are also included in the performance packs.
BT/a4b0/251116	31/1/2017	Mark Kimberley	Recommendation: Checklist to be introduced.	Action: A checklist for the MFSS payroll run for Nottinghamshire Police has been produced and is now operational. This is to be completed for each payroll run period. The checklist includes the following sections: •Daily and Monthly pre payroll processes; •Payroll running process; and, •Post payroll run processes. A check of each process must be completed and the checklist must be signed/dated to evidence this check. At the time of the follow up, a system interface was due to be implemented. However, this has not been completed and it is hoped that this will now be implemented in September 2016 following testing of the system.	Core Financials Follow up July 2016	Closed	Action closed 16/12/2016 This recommendation has been advised to be forwarded to the MFSS team however the action has become obsolete due to the functioning of the Oracle payroll service. This action was superseded.
BT/149a/201216	21/12/2016	Mark Tietjen-Miller	Recommendation 3: The Force Authorising Officer should introduce a means by which he is cognisant of new CHIS cases in a contemporaneous manner and prior to them being presented for authorisation.	No action required: 1/ Controllers briefed regarding the use of recruitment within SMS in order to provide more insight to the AO on potential CHIS. However, this needs to be balanced against requirement to authorise to prevent status drift. 2/ Weekly meetings between the AO and controllers to ensure that all recruitments discussed in detail.	Office Surveillance Commissioners	Closed	Action closed 20/12/2016 The meetings between the AO and controllers have been fully implemented to discuss all recruitments in detail.

BT/84b7/201216	21/12/2016	Mark Tietjen-Miller	<p>Recommendation 1: The Collaboration Agreement for the forces in this region should clearly provide for the relevant roles in CHIS management to be undertaken by different forces, or failing this, the handler and controller (cover officer and covert operations manager) roles should only be carried out by staff from the force benefitting from the activity of the CHIS.</p>	<p>No action required: 1/ A letter providing clarification was penned and sent in November 2016 from DCC Martyn BATES to Lord Judge. The letter outlines that provision still remains in place within the 18th Dec 2013 Regional Collaboration Agreement to specifically cover the sec 29(5) RIPA defined roles and allowance given for these roles to be undertaken by staff from differing forces from the force requesting such activity. The letter further provides explanation that the EMSOU December 2013 agreement has not been superseded or replaced by the May 2016 agreement.</p> <p>2/ A letter of reply dated 22/11/2016 has been sent from Lord Judge to DCC BATES outlining the need for further clarity in respect to collaboration agreements but, this recommendation is dealt with.</p>	Office Surveillance Commissioners	Closed	<p>Action closed 20/12/2016</p> <p>A letter was sent to the Lord Judge and it confirmed that provision still remained within the 18th Dec 2013 Regional Collaboration Agreement which covers the 29(5) RIPA defined roles. The letter also confirmed that the EMSOU December 2013 agreement had not been superseded or replaced by the May 2016 agreement.</p>
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