

<b>For Information</b>	
<b>Public/Non Public</b>	<b>Public</b>
<b>Report to:</b>	<b>Audit and Scrutiny Panel</b>
<b>Date of Meeting:</b>	<b>9th March 2017</b>
<b>Report of:</b>	<b>Julie Mair, Head of Corporate Development</b>
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<b>Agenda Item:</b>	<b>08</b>

## **Audit and Inspection Report, Quarter 4, 2016/17**

### **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 which have taken place during Quarter 4, 2016/17
- 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 and takes note of forthcoming audits and inspections.

### **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.

### **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 HMIC.
- 4.2 Appendix 1 'Audit and Inspection Actions Update Report Quarter 4, 2017/18' provides details of specific actions arising from audits and inspections that are either off target, at risk of being off target or closed.
- 4.3 There are currently no actions which have exceeded the proposed target date. There are 10 actions showing as 'at risk' of being off target i.e. they will exceed their target date in the next month.

#### 4.4 Recent and Forthcoming Inspections

##### Recent Inspection Activity

Date of Inspection	Inspection Area	Date Report Received	Final Grading	Status
Oct 2016	PEEL: Effectiveness Inspection 2016	Feb 2017	TBC	Draft report received and checked for factual accuracy. Returned to HMIC 06.02.2016

##### Forthcoming Inspections

Date of Inspection	Inspection Area	Status
7th & 8th March 2017	PEEL: Legitimacy, File Review	Details confirmed with PSD.
15th – 19th May 2017	PEEL: Spring Inspection 2017 (Efficiency, Leadership and Legitimacy)	Document and data submission being prepared for submission on 10th March.

#### 4.5 Recent and Forthcoming Audits

##### Recent Audit Activity

Date of Audit	Auditable Area	Date Report Received	Final Grading	Status
July 2016	Effectiveness of Audit and Scrutiny Panel	Feb 2017	None	Final report issued.
Nov 2016	Collaboration: EMSCU	Jan 2017	Substantial	Final report issued.
Nov 2016	Collaboration: EMPLS	Nov 2016	Limited	Final report issued.
Dec 2016	Collaboration: EMCHRS	NA	NA	Awaiting draft report.
Jan 2017	Collaboration: EMSOU	NA	NA	Awaiting draft report.
Jan 2017	HR Recruitment and Selection	Jan 2017	TBC	Draft report issued.

## Forthcoming Audits

Date of Audit	Auditable Area	Status
Mar 2017	Data Quality	Scope confirmed.
Mar 2017	Risk Management	Scope confirmed.
TBC	Collaboration: EMOpSS	Audit to take place in Q4.

### 4 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.

### 5 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.

### 6 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.

### 7 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.

### 8 Policy Implications and links to the Police and Crime Plan Priorities

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

### 9 Changes in Legislation or other Legal Considerations

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

### 10 Details of outcome of consultation

- 10.1 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.

10.2 All planned actions are added to the action planning system, 4Action, for management and review until completion.

## **12. Appendices**

12.1 Appendix 1: Audit and Inspection Actions Update Report Q4 2016/17