



Corporate Performance, Delivery & Scrutiny Board

28 June 2016

External Inspection Forecast (Organisational Assurance Calendar) and External Inspection (HMIC & Internal Audit) Recommendations Process

1. Report Purpose

1.1 To report to Corporate Performance, Delivery and Scrutiny Board (CPD&SB) the process for communication of the External Inspections Forecast and the Her Majesty's Inspectorate of Constabulary (HMIC) recommendations process.

2. Key Information including Implications

External Inspection Forecast

2.1 On an annual basis North Yorkshire Police (NYP) receive the national HMIC Inspection Programme Framework 2016/17 and Criminal Justice Inspection Programme 2016/17, which gives the force a picture of what HMIC and Criminal Justice Inspectorate intend to inspect (Thematic and Force), over the coming financial year. Whilst NYP are made aware of rough dates for the Police Effectiveness, Efficiency and Legitimacy (PEEL) inspections, NYP is not made aware of the Thematic and Joint inspection dates. Therefore whilst we know what topics are going to be inspected within the year, which enables us to plan pre-inspection activity, the dates are an unknown entity and so we could undergo pre-inspection activity with limited time to correct gaps/issues identified.

2.2 The Risk and Assurance Unit (RAU) take the information from the HMIC Inspection Programme Framework 2016/17, Criminal Justice Inspection Programme 2016/17, along with the Internal Audit Annual Plan for 2016/17, and internal assurance activity such as:

- Audits conducted by Information Management (Crime Recording)
- Audits conducted by Intelligence
- Pre-inspection activity conducted by ODT (Nexus)
- Inspection/review activity conducted by RAU
- Any other internal inspections/reviews
- Any other external inspections/reviews

2.3 The final product is the Organisational Assurance Calendar (OAS). The OAS is reported to:

- Operational Delivery Board (planning and proposal of pre-inspection work)
- Joint Corporate Risk Group (approval of pre-inspection work based on risk)
- Corporate Performance, Delivery and Scrutiny Board (information and overview)

- The Chief Officer Team (COT) assign a COT/NPCC Lead for HMIC inspection

2.4 The OAS gives the organisation oversight of the whole assurance picture, it enables pre-planning for inspections and pre-inspection activity to avoid duplication e.g. if the Crime and Incident Registrar is undertaking an audit of Domestic Violence it can negate the need for an internal pre-inspection or the findings can be linked in with any pre-inspection activity. The OAS is attached at Appendix A and presents the calendar of inspections for 2016/17, where NYP have received notification of inspection dates.

HMIC & Internal Audit Recommendations

2.5 **Hot-Debrief Stage.** HMIC hot-debrief recommendations/areas for improvement (AFIs) are risk assessed with the Portfolio holder/Head of Department and RAU. Any risk identified during the inspection and the related recommendations/AFIs are recorded on Active Risk Manager (ARM) with the HMIC recommendation linked as responses/mitigating actions. At this time a decision is made by the Portfolio Holder/Head of Department on what recommendations/AFIs are to be progressed, what recommendations/AFIs are complete and what recommendations/AFIs are to be rejected and the related risk tolerated. This is reported to Joint Corporate Risk Group (JCRG) for approval. This enables us to get ahead of the game by implementing agreed recommendations aligned to local priorities and risks before final report is received.

2.6 **Final Report Stage HMIC and Internal Audit.** At final report stage the recommendations/AFIs are cross referenced with the hot-debrief and any new/additional recommendations/AFIs are then risk assessed with the Portfolio holder/Head of Department and RAU as per the above process. Again these are reported to JCRG for approval of risk tolerance decisions or progressing with recommendations/AFIs. It is recognised that it may not be practicable or desirable to implement recommendations/AFIs where they do not align to local priorities or manage local risk. The process enables the rationale for such risk tolerance decisions to be recorded.

Monitoring of HMIC & Internal Audit Recommendations

2.7 Those risks associated with HMIC Inspections that have not been mitigated will have plans in place to address them incorporating the recommendations/AFIs. Progress is recorded on ARM and monitored by the Risk and Assurance Unit (RAU). Each department has a risk champion to support this process.

Reporting and Governance

2.8 Below is the process of reporting external inspection recommendations/AFIs:

- JCRG - Risk Assessment acceptance/mitigation/rejection of recommendations/AFIs
- JCRG & CPD&SB – HMIC recommendation/AFI progress against the monthly theme of the Police and Crime Plan i.e. April was Priority 1, May/June Priority 2.
- JCRG & CPD&SB – A quarterly report on Strategic Risk which includes progress on HMIC and Internal Audit recommendations/AFIs that have gone past their deadline date (exception report) plus rationale for delay
- Joint Independent Audit Committee (JIAC) – As per CPD&SB quarterly report.

3. Recommendations Requiring a Decision

3.1 The CPD&SB members are asked to note the information contained within this report.

4. Consultations Carried Out

4.1 Risk and Assurance Unit, Operational Delivery Team and Supt Cain

Report Information

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Supporting Documents: Appendix A – Organisational Assurance Calendar

Version Control

* a 'd' in front of the version number denotes the TOR are in draft. The 'd' will be removed once the Report has been approved by the Customer.

Version Number*	Date of Amendment	Summary of the Amendment
dv0.1	02.06.16	Draft report created.
v0.1	20.06.16	Draft report approved.