Agenda Item

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JOINT INDEPENDENT AUDIT COMMITTEE
5 APRIL 2017

SUBJECT	**HMIC AREAS FOR IMPROVEMENT**
REPORT BY	**DEPUTY CHIEF CONSTABLE**
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SUMMARY AND PURPOSE OF REPORT To update the Audit Committee on the current status of Areas for Improvement (AFIs) identified by HMIC during the period 2014 to 2016	
RECOMMENDATION	**That the committee note the report.**

A. SUPPORTING INFORMATION

Summary

1. This report provides an overview of the action being taken by the force in response to areas for improvement and recommendations identified by HMIC following their force level inspections and thematic inspections.

2. The terms 'recommendation' and 'area for improvement' have different meanings. Areas for improvement (AFIs) are reported in relation to a shortcoming in an aspect of a force's practice, policy or performance, whereas Recommendations are provided to accompany a cause for concern. HMIC have a duty to monitor improvements against causes for concern that they have identified.

3. The force's progress against areas for improvement and recommendations from 2014 onwards have been reported to HMIC for publication on their website. There will be ongoing activity with the HMI and Force Liaison Lead attached to each Force to keep progress updated in the public forum.

4. Strategic responsibility for delivery of the action required rests with the Deputy Chief Constable.

5. The Continuous Improvement Unit has consolidated the outstanding HMIC recommendations into a single tracker which is used to drive activity, assess progress and provide assurance that areas for improvement (where agreed) are being delivered within the required timeframe. This tracker provides the Force with "one version of the truth".

6. Continuing work to monitor and report on the progress of recommendations and AFIs has resulted in a reduction of 15 in 2014, 7 in 2015 and the number for 2016 has increased as new HMIC reports have been released.

7. The report provides a snapshot of the current position at the time of writing, as the tracker is a live document, and as such is being continuously reviewed and updated.

The numbers of AFIs and recommendations still in progress in Force are:

	2014	2015	2016
PEEL	0	0	17
Thematic/Specific	6 (-15)	4 (-7)	0 (-2)

AFIs and Recommendations from 2014

8. There were previously twenty one outstanding AFIs and recommendations from 2014. Twelve relating to Core Policing, charging decisions and treatment of offenders with learning difficulties have now been completed and closed.

9. This now leaves 6 outstanding under core policing. Further information regarding the outstanding recommendations is provided at Appendix 1.

10. 2014 recommendations are continuing to be reviewed to ensure that they are still relevant to the force's current position, and removed as complete once the individual SROs have received sufficient assurance.

AFIs and Recommendations from 2015

11. There were previously eight outstanding AFIs and recommendations from thematic inspections, with all of those relating to PEEL having been completed and closed. This has now been reduced to four, in relation to JESIP, Firearms Licensing and Custody.

12. JESIP relates to the processes that allow lessons learned to be embedded between the local bluelight agencies. This is ongoing, as although there is now a national debrief process which includes a Joint Operational Learning (JOL) database, this is not yet populated in a way that is sufficient to provide evidence of JOL. It is expected that this recommendation can be closed in the next few months as evidence is gathered.

13. Firearms Licensing is actively being reviewed in relation to the transformation of processes to ensure a more streamlined and efficient approach. The expected upcoming bulge in demand has been analysed and sufficient resources put into place.

14. One custody recommendation in relation to the gathering of use of force data remains ongoing. The use of NICHE processes for recording and capturing data is being rolled out. Interim measures, including input at the first and second line supervisors seminar have improved the force's position.

AFIs and Recommendations from 2016

15. There are currently eight outstanding recommendations from 2016, seven relating to the Force's PEEL inspection and one from a thematic inspection in

relation to missing children.

16. The recommendation regarding the comprehensive benefits assessment of digitisation of criminal justice has been closed, as it relates to a piece of work being conducted nationally, not at force level.

17. Missing children is currently being addressed. A problem profile is in place, as well as additional controls through the creation of the Missing Persons team in force and multiagency input regarding children at risk of CSE via the SAFE Team meetings and LCSB.

18. The Force received a single AFI in its PEEL Efficiency Report, in relation to developing detailed financial plans. The Priority Based Budgeting exercise, annual budget setting and updating of the Medium Term Financial plan are all contributing to the detail required in this area.

19. The PEEL Legitimacy report made a number of AFIs in relation to ethical and lawful behaviour of staff, managing performance and demonstrating to the people it serves regarding how the force has taken action to improve its services. A number of early plans and proposals are in place to address these issues, principally through the Professional Standards Department (PSD). Further detail is provided at Appendix 1.

20. The Force's PEEL Effectiveness Report has been published on 2nd March 2017, and has added 5 AFI's and 5 Recommendations, with the force grade 'Good' overall, but 'Requires Improvement' in relation to Vulnerability. The report concluded the PEEL assessment of Lincolnshire Police, which has now received a judgement of Good in all three areas. The AFIs and Recommendations are currently being assessed by the T/Chief Superintendent Crime in relation to whether the force accepts them, the action to be taken, the timescale, and the confidence of completion.

Recent and upcoming Inspections

21. The force is currently preparing for its PEEL Efficiency and Legitimacy inspection, which will take place on 3rd April 2017. The force has been selected as an 'early adopter for HMIC's new inspection methodology in recognition of its good working relationship with HMIC and its current grading of 'Good' in both areas.

22. A review of complaints and grievance records has been undertaken prior to the inspection, as has a review of stop and search records. There are also a number of 'insight visits' to the force ahead of the inspection date, allowing HMIC to direct resources towards the areas they believe require the most scrutiny.

B. FINANCIAL CONSIDERATIONS

There are no specific financial considerations arising from this report.

C. LEGAL AND HUMAN RIGHTS CONSIDERATIONS

The provision of internal audit services is one of the means by which the Police and Crime Commissioner and Chief Constable discharge their responsibilities to secure the maintenance of an efficient and effective police

force under section 1 (6)(b) of the Police Reform and Social Responsibility Act 2011, and the Chief Finance Officer and Force Chief Finance Officer meet their responsibilities under section 151 of the Local Government Act 1972, section 73 of the Local Government Act 1985 and section 112 of the Local Government Finance Act 1988 for ensuring the proper administration of the Commissioner and Chief Constable's financial affairs.

D. PERSONNEL, EQUAL OPPORTUNITIES AND DIVERSITY ISSUES

There are no specific personnel, equal opportunities or diversity issues arising from this report or any that relate to Children and Young People.

E. REVIEW ARRANGEMENTS

The tracker document is continuously updated as progress is made against individual recommendations and areas for improvement. A report of progress and the current status of all active recommendations in force is made on a quarterly basis to the Audit Committee.

F. RISK MANAGEMENT

Progress against HMIC recommendations is currently recorded as risk on the Force Risk Register. The process described in the attached report forms the actions required to reduce that risk to an acceptable level.

Additional controls are put in place by the reporting structures for progress against individual HMIC reports, such as the PEEL Board.

G. PUBLIC ACCESS TO INFORMATION

Information in this report along with any supporting material is subject to the Freedom of Information Act 2000 and other legislation. The documents are marked as 'not protectively marked' under the Government Protective Marking Scheme (GPMS).