

Chief Constables Report  
to  
Kent Police and Crime Commissioner's Performance and Delivery Board

**INSPECTIONS, AUDITS & REVIEWS**

Wednesday 12 December 2018

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**1. Strategic Overview.**

Policing is an increasingly regulated public service and the overarching responsibility for governance is set out in the Police Reform and Social Responsibility Act 2011. The legislative framework is complemented by the Policing Protocol 2011 (which came into force in January 2012) and covers the scope of the Act and the specific responsibilities of the key stakeholders including both the Police and Crime Commissioner (PCC) and the Chief Constable. Amongst those responsibilities the protocol states the PCC should: "scrutinise, support and challenge the overall performance of the Force" and the utilisation of Her Majesty's Inspectorate of Constabulary and Fire and Rescue Service (HMICFRS) inspections and other audits and reviews enable the PCC to monitor specific areas of the force.

**2. Aims of the report.**

This report records the key detail of the latest or ongoing inspections, audits or other reviews that have taken place since the last PCC Performance and Delivery Board on 26 September 2018.

**3. Her Majesty's Inspectorate of Constabulary and Fire and Rescue Service (HMICFRS).**

HMICFRS's role is to inspect and report on the efficiency and effectiveness of police forces and specified national police agencies. HMICFRS's overall objective is to provide, in the public interest, independent and professional assessments of police efficiency and effectiveness for the public, their elected representatives and the police.

**3.1 PEEL Inspection.** The force is in the final stages of readiness for the HMICFRS Integrated PEEL Assessment which commences 10 December 2018. This has involved collating data and document returns and facilitating insight visits and audits. These have included but are not limited to; attendance with officers on patrol, an audit of stop and search, an audit of case files and a visit to the Force Control Room. The force is in regular contact with HMICFRS ensuring we provide the necessary information for them to deliver their inspection.

On 6 December, as part of the PEEL process, HMICFRS will be undertaking an inspection entitled 'CT4', the date of which is not yet known. This is an inspection of the Prevent aspect of Counter Terrorism.

**3.2 Crime Data Integrity.** As detailed in the 'Safer in Kent: Performance and Delivery Board' paper, the force has now been inspected on crime data integrity and we await the report, which is due to be published in February 2019.

**3.3 Thematic and Joint Inspections.** The force has received notification of the Child Protection inspection, which has been anticipated. There are two strands to this, the first being the requirement for the force to provide data and conduct a self-inspection, for a return to HMICFRS by 11 December 2018 and the inspection in force will take place between February and July 2019.

**3.4 HMICFRS Recommendations.** HMICFRS Supt Alderson has visited the force and reviewed and signed off a number of recommendations. Those that remain outstanding (17) are being reviewed by HMICFRS in January 2019.

**3.5 Force Management Statement (FMS).** As detailed in previous reports submitted to the PCC Performance and Delivery Board, Kent Police, along with all other forces, submitted its very first FMS in June 2018. The informal feedback received from HMICFRS on our FMS was positive. The force has since produced a shorter, edited version of the FMS suitable for the public domain and this has been published on the force's website. It had been suggested that HMICFRS would require an updated version of the FMS in September 2018, but as yet this has not been requested.

After the first FMS was submitted, the force created a small working group to develop and propose a process for preparing and handling future versions and seek agreement as to the role the FMS should play in the strategic decision-making of the force in the future.

Proposals on handling future FMS requests are complete and will be submitted to Chief Officers in due course for approval. In respect of the strategic decision making of the force, the FMS will link very closely, and inform, the Chief Constable's strategy, which is under development at this time. This will set out how Kent Police will meet the opportunities and challenges ahead over the next 3 years.

The force has attended a number of national workshops facilitated by HMICFRS and the NPCC to review the FMS 'experience', share best practice and exchange ideas. These have been useful and instructive. It is clear from these sessions, that HMICFRS wish forces to take control of their own FMS and shape them into instruments that 'work for them'. HMICFRS are likely to provide guidance about the FMS, but they are content to leave forces to create their own bespoke document, organically developed and driven locally. To this extent, the force should feel free to re-design its next FMS to suit its needs.

#### 4. Internal and External Audit Functions.

**4.1 Internal Audits.** The latest audit plan covering the Office of the Police and Crime Commissioner (OPCC) and force for 2018/19 is shown in the table below and includes start dates where these are known. There are no additions or deletions from the programme presented at the previous Performance and Delivery Board but some of the start dates have been amended to allow for leave and alignment with other audits particularly for joint departments such as Payroll.

Audit	Planned start	Sponsor(s)	Status
OPCC GDPR	16/04/2018	Rob Phillips	FINAL
Contract management – large spends (Joint)	20/04/2018	Dave Edwards	DRAFT report issued 19/07/18. Meeting held and revised draft to be issued w/c 15/10/18
POCA (Joint)	12/06/2018	DCI Lee Morton	FINAL
Pension Scheme Governance	26/06/2018	Kevin Kirby	FINAL
Follow Up Part 1	27/07/2018	Paul Curtis	FINAL
Treasury Management	09/07/2018	Matthew Bridges	FINAL
Capital Accounting and Fixed Assets	18/07/2018	Ricardo Herrera-Delgado	FINAL
Delivery of the Police and Crime Plan	14/09/2018	Rob Phillips	Complete now in QA
Fleet Management – Use of Telematics (Joint)	18/09/2018	John Gorton	FINAL
Training Records (Joint)	22/10/2018	Ch Supt Mat Newton	Requested to be delayed slightly as sponsor has changed. New date TBC but planned for 17/12/18
Collaboration – Recharges (Joint)	29/10/2018	Sonia Virdee	Requested to move due to client annual leave in July/August

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Payroll & Pensions payments to HMRC	Sept/Oct TBC	Matthew Bridges	Requested to move to Sept/Oct to avoid client availability pressures over the summer. Paul is in touch with Lee Knight.
Payroll	12/10/2018	John Stonestreet	Fieldwork complete, now in QA
Debtors	18/10/2018	Tina Smith	Draft report issued 14/11/18
Custody Management	26/11/2018	Ch Supt Rachel Curtis	Awaiting commencement
Performance Management	10/12/2018	Mr Ian Drysdale	Awaiting commencement
Creditors	18/12/2018	Tina Smith	Awaiting commencement
Follow Up Part 2	02/01/2019	Paul Curtis	Awaiting commencement
Complaints/PCC Correspondence	14/01/2019	Laura Steward	Delay to next year
Business Continuity	21/01/2019	TBC by Paul Curtis	Delayed as audit sponsor could not be ascertained
Health & Safety	04/02/2019	Colin Dowsing	
Restorative Justice	Jan/Feb	Rob Phillips	Delayed to March 2019

Seven audits have been completed so far this year including one solely relating to the OPCC so not covered in this report and a further one is in draft at the time of writing this update.

Audit Title	Assurance Level	Report Issued	Recommendations		
			Low	Medium	High
Proceeds of Crime, Cash, Property and Drugs seizures	Partial	07-Sep-18	3	3	0
Pension Scheme Governance	Reasonable	04-Sep-18	3	3	0
Capital Accounting & Fixed Assets	Substantial	31-Aug-18	0	0	0
Follow up – Part 1	Advisory	10-Aug-18	NA	NA	NA
Treasury Management	Substantial	31-Aug-18	2	1	0
Pension Scheme Governance	Reasonable	02-Aug-18	3	3	0
Fleet management – use of telematics	Reasonable	29-Oct-18	2	2	0
Debtors (Draft report)	Substantial	NA	2	2	

The result of the Proceeds of Crime, Cash, Property and Drugs seizure audit report was extremely disappointing given the progress made to improve training, policies and procedures in both Kent and Essex. Sadly, despite these policies being recognised as of a good standard by the audit team they were still able to identify a number of instances where they were not being followed. Since the audit, work has continued to embed best practice and dip-check the documentation and storing of seizures to help ensure compliance. The CFO is working with the Force Inspectorate to strengthen these checks further still and is expecting further improvements to be made across the force.

Recommendations continue to be monitored by the Finance Team to ensure they are completed and updates requested of the business as necessary to ensure the agreed action has been taken in the timescales which were also agreed at the review meetings between business owner and auditor. Recommendations are only signed off as being implemented and completed on the production of detailed evidence to the Force CFO. Incomplete or unsubstantiated evidence results in the recommendation not being signed off and further proof requested.

**4.2 External Audit.** As previously reported the external audit of the statutory accounts was completed on Tuesday 10 July and the Accounts were signed off with an unqualified audit opinion on this date. Not all forces and local authorities managed to achieve this, with only 87% meeting the deadline.

Preparations for the 2018/19 closedown are well underway and the auditors are expected back on site in December 2018 for process walk-throughs and again in January 2019 for the interim audit. We fully expect to continue the excellent trend of early completion and successful closure of the Accounts again this year and maintain the working relationship we have with the audit team.

## **5. Risks.**

This paper conveys a breadth of scrutiny, governance and monitoring arrangements that are established and embedded. When these work streams are combined together they may appear to be extensive in volume. It is important to ensure that such events are where possible "joined-up" and duplication is avoided.

Overall, the outcomes of the foregoing events and processes often lead to improvement opportunities and the force has gained a reputation for being transparent in the audit process and both receptive and responsive to the recommendations that may follow.

## **6. Summary.**

The force welcomes and benefits from varying levels of scrutiny and governance. The force will continue to strive for further improvements as part of the new integrated PEEL assessments, which will be commencing later this year. This demonstrates our commitment and drive to provide the very best service to victims, witnesses and the people of Kent. The extensive programme of internal inspections also reflects the force's commitment to provide a quality service across all of our business.