Nottinghamshire
POLICE & CRIME COMMISSIONER

JOINT AUDIT AND SCRUTINY PANEL

Thursday 12 February 2015 at 2.00 pm
THE COUNCIL CHAMBER,
GEDLING BOROUGH COUNCIL

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Membership
Stephen Charnock (Chair)
Leslie Ayoola
John Brooks
Peter McKay
Philip Hodgson

A G E N D A

1. Apologies for absence

2. Declarations of Interest by Panel Members and Officers (see notes below)

3. To agree the minutes of the previous meetings held on 23 September 2014 and 15 December 2014

4. Refreshed Police and Crime Plan (2015-18)

5. Precept and Budget Reports 2015-16

6. External Audit Plan 2014-15

7. Internal Audit Progress Report

8. Audit and Inspection

9. Strategic Risk Management Report (2014/15 Quarter 3)

10. Business Continuity Management Report (2014/15)

11. Freedom of information monitoring, review and assurance

12. Information Management Report

13. Corporate Governance and Working Together

14. Police and Crime Commissioner's Update Report

15. Work plan and Meeting Schedule

NOTES

- Members of the **public are welcome to attend** to observe this meeting

- For **further information** on this agenda, please contact the Office of the Police and Crime Commissioner on 0115 9670999 extension 801 2005 or email nopcc@nottinghamshire.pnn.police.uk

- A **declaration of interest** could involve a private or financial matter which could be seen as having an influence on the decision being taken, such as having a family member who would be directly affected by the decision being taken, or being involved with the organisation the decision relates to. Contact the Democratic Services Officer: sara.allmond@nottscc.gov.uk for clarification or advice prior to the meeting.

NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER
County Hall, West Bridgford, Nottingham, NG2 7QP

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MINUTES
OF THE MEETING OF THE
NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER
JOINT AUDIT & SCRUTINY PANEL
HELD ON TUESDAY 23 SEPTEMBER 2014
AT COUNTY HALL, WEST BRIDGFORD
NOTTINGHAM
COMMENCING AT 2.00 PM

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MEMBERSHIP
(A - denotes absent)

A   Mr Stephen Charnock (Chair)
A   Mr Leslie Ayoola
        Mr John Brooks
        Dr Phil Hodgson
A   Mr Peter McKay

OFFICERS PRESENT

Adrian Benselin	KPMG (External Audit)
John Cornett	KPMG (External Audit)
Sara Allmond	Democratic Services, Notts County Council
Alison Fawley	Democratic Services, Notts County Council
Chris Eyre	Chief Constable, Notts. Police
Margaret Monckton	ACO Resources, Notts. Police
Charlotte Radford	Chief Finance Officer, OPCC
Angela Ward	Baker Tilly (Internal Audit)

1.   **CHAIR**
        In the absence of Stephen Charnock, the panel agreed that John Brooks
        take the chair for this meeting.

2.   **APOLOGIES FOR ABSENCE**

        Apologies for absence were received from Stephen Charnock, Leslie Ayoola,

Peter McKay and Paddy Tipping.

3. **DECLARATIONS OF INTERESTS BY MEMBERS AND OFFICERS**

None

4. **MINUTES OF THE PREVIOUS MEETING**

The minutes of the last meeting held on 17 June 2014, having been circulated to all Members, were taken as read and were confirmed, subject to the following amendment, and were signed by the Chair:

- Paddy Tipping was removed from the list of Officers present as apologies for absence had been received.

5. **MATTERS ARISING -**

Item 15 - Charlie Radford confirmed that the issues regarding performance data had been resolved.

6. **AGENDA ORDER**

The Panel agreed to discuss Agenda item 5 prior to Agenda item 4.

7. **EXTERNAL AUDIT OF THE ACCOUNTS 2013-14 (ISA 260)**

John Cornett introduced the report and summarised the key findings of the external auditors during the audit of accounts for 2013-14. He confirmed that he intended to issue an unqualified opinion in relation to the accounts, governance arrangements and value for money. This was a good achievement as a number of changes to the reporting format had been made.

During discussion the following points were raised:
- The Auditors had worked closely with management to reflect the new CIPFA accounting guidance. The hard work of the finance team was commented on and congratulations were offered for a job well done.
- The Finance team would work with KPMG to address the key issues and implement recommendations.

RESOLVED 2014/28

1) That the report of the External Auditor be noted and its findings be recommended to the Police and Crime Commissioner.

2) That the letter of representation be recommended to the Police and Crime Commissioner for signing and sending to the external auditors.

8. STATEMENT OF ACCOUNTS AND ANNUAL GOVERNANCE STATEMENTS FOR 2013-14

Charlie Radford introduced the report which included the audited statement of accounts and annual governance statements for 2013-14. The accounts were the final accounts which included changes identified by the auditors and which fairly represented the financial position of the group and its individual entities.

During discussion the following points were raised:

- A vacancy control process was in place to mitigate any impact on performance through budget reductions. The Force had signed up to paying the Living Wage and was encouraging contractors to do the same. Black and Minority Ethnic (BME) recruitment strategy was still a focus for the Force and was moving slowly in the right direction.
- The titles on each statement would be checked.
- Other local authority debtors had increased significantly and it was agreed to look into the reasons why.
- The Chief Constable would bring a report on the Proceeds of Crime Act and Police Property Act to a future meeting.
- Forces were being consulted on a proposal to bring forward the deadline for year-end accounts to May with audit opinions by July. The changes would be incremental to 2017-18. The new format used this year would help with meeting the new deadlines.
- The Business Continuity Plan should be checked to ensure it reflected that it was a joint document and the date that it was presented to Panel.

RESOLVED 2014/29

1) To recommend the accounts and annual governance statements to the Police and Crime Commissioner for approval.
2) To recommend the accounts and annual governance statements to the Police and Crime Commissioner and Chief Constable for signing.

9. STRATEGIC RISK REGISTER REPORT (2014/15 QUARTER 1)

Margaret Moncton introduced the report which provided an update on the strategic risk across Nottinghamshire Police and the Nottinghamshire Office of the Police & Crime Commissioner (NOPCC).

During discussion the following points were raised:

- Standards had not changed but inspection against the standards had changed. More offences were now recorded than previously would have been. New standards would give like for like comparisons across all Forces. Data was still in line with NOPCC targets.
- Updates to the risk register were on a quarterly basis and sometimes this did not align with agenda dates so it was agreed to share information with Panel Members at point of completion via email and to add to agenda for the next meeting.
- The contract with Microsoft for Microsoft XP had been extended until April 2015 whilst the roll out of new technology continued to be implemented.
- PCC001 and PCC002 would be reworded to explain the low probability ratings.

RESOLVED 2014/30

1) That the current level of strategic risk be noted.
2) That the Panel had received assurance as to the effectiveness of corporate risk management within Nottinghamshire Police and the Nottinghamshire Office of the Police and Crime Commissioner.

10. **EAST MIDLANDS POLICE COLLABORATION UPDATE**

Margaret Moncton introduced the report which gave a high level overview of collaboration in the East Midlands.

During discussion the following points were raised:

- The regional OSD senior management team was in place and an outline business case for phase three implementation would be presented to the Programme Board at the end of September. The East Midlands region had been successful in a number of bids submitted for 2014-15 and preparations were underway for the next round of bids to be allocated for 2015-16.
- Changes to governance & decision making arrangements meant that only those involved in a project were at the meeting. Forces can join in projects at any point. Collaboration was seen as the way forward as funding cuts could be anticipated up to 2019/20.
- A LEAN specialist had been appointed to work with the business support project team as part of the collaboration between Nottinghamshire and Northamptonshire to transform infrastructure and service base.

RESOLVED 2014/31

That the report be noted.

11. **INTERNAL AUDIT PROGRESS REPORT**

Angela Ward introduced the report to update Panel Members on progress against the Annual Plan and the findings from audits completed to date.

During discussion the following points were raised:
- A review of Microsoft licences would be undertaken as part of the regional review and would use an allocation of days previously given to HR Training and Skills audit. The number of days required would be confirmed.
- The Business Continuity report was not yet finalised but a positive opinion was expected.
- The scope of the report regarding Information Management arrangements had changed and the arrangements had been tested as part of a pre HMIC inspection. The findings would be reported back to the Panel as concerns were expressed regarding the availability of the uninterrupted power supply.
- Confirmation that actions had been completed was requested for those items showing a completion date of 31 August 2014.

RESOLVED 2014/32

That progress against the Internal Audit Annual plan be noted.

12. **AUDIT AND INSPECTION REPORT**

Margaret Moncton introduced the report which provided the Panel with an update on the status of audits and inspections taking place in the Force and provided information on expected future audits and inspections.

During discussions the following points were raised:
- It had been decided to defer the staff survey due to lack of resources and on-going changes within the Force. A PULSE survey might be used to judge morale in the interim.
- A new leadership development programme (QUEST) was being rolled out.

13. **PANEL WORK PLAN AND MEETING SCHEDULE**

The work plan and schedule of meetings was considered by the Panel.

RESOLVED 2014/33

1) That the work plan and schedule of meetings be noted.
2) That the scheduling of future reports be reviewed.
3) That the Panel consider appointing a vice chair.

The meeting closed at 3.55pm

CHAIR

NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER
County Hall, West Bridgford, Nottingham, NG2 7QP

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MINUTES
OF THE MEETING OF THE
NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER
JOINT AUDIT & SCRUTINY PANEL
HELD ON MONDAY 15 DECEMBER 2014
AT COUNTY HALL, WEST BRIDGFORD
NOTTINGHAM
COMMENCING AT 5.00 PM

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MEMBERSHIP
(A - denotes absent)

      Mr Stephen Charnock (Chair)
      Mr Leslie Ayoola
A   Mr John Brooks
A   Dr Phil Hodgson
      Mr Peter McKay

OFFICERS PRESENT

Chris Eyre	Chief Constable, Notts. Police
Margaret Monckton	ACO Resources, Notts. Police
Charlotte Radford	Chief Finance Officer, OPCC
John Cornett	KPMG (External Audit)
Adrian Benselin	KPMG (External Audit)
Patrick Green	Baker Tilly
Sara Allmond	Democratic Services, Notts County Council

1.   **APOLOGIES FOR ABSENCE**

     Apologies for absence were received from Paddy Tipping, Chris Cutland, DCC Sue Fish, Angela Ward and Michael Windmill-Jones.

2. **DECLARATIONS OF INTERESTS BY MEMBERS AND OFFICERS**

None

3. **MINUTES OF THE PREVIOUS MEETING**

The minutes from the meeting held on 23 September 2014 were deferred to the next meeting as there was no one available at the meeting who had been present at the previous meeting to enable the accuracy of the minutes to be agreed.

4. **PROFESSIONAL STANDARDS REPORTING PROCEDURE ('WHISTLEBLOWING')**

Chris Eyre introduced the report which provided an overview of the procedure and outlined how the policy and procedures worked effectively to manage and deal with reported breaches of Professional Standards.

During discussions the following points were raised:

- Whistleblowing was a completely anonymous procedure and there was support in place to provide support if required. It was important that staff felt able to report any concerns.

- Evidence had been provided to HMIC which demonstrated unprofessional behaviour was challenged appropriately within the Force.

- Staff were reminded on a regular basis about their responsibilities and obligations in relation to integrity in line with PROUD values and the Code of Ethics.

- 40 referrals had been made to the Counter Corruption Unit during the period April – September 2014. Not all of these resulted in investigations as the referrals were reviewed alongside other intelligence.

RESOLVED 2014/34

That the Panel had received assurance regarding the processes of the Professional Standards reporting procedure (Whistleblowing).

5. **ANTI- FRAUD & CORRUPTION POLICY – REVIEW OF COMPLIANCE (APRIL – NOV)**

Margaret Monckton introduced the report which informed the Panel of the level of compliance against the East Midlands Strategic Commercial Unit (EMSCU) Fraud and Corruption Policy for the period April – November 2014.

During discussion the following points were raised:

- Procurement is a heavily controlled process with clear targets to drive out efficiency.

- Procurement is susceptible to fraud and everyone involved in the process is vetted including their finances.

- The Panel felt it would be a useful area to be included on the internal audit plan for next year to enable any areas of concern to be tested. An internal audit had taken place two years ago and another review subsequently.

RESOLVED 2014/35

That it be noted that:

1) That EMSCU's Commercial Director had received no reports of any fraudulent activity following any audit of procurement activity undertaken by the Force.

2) That EMSCU's Head of Procurement Services (to which the Policy directs any individual wishing to report any suspicion of fraudulent activity) had advised that there had been no reports of any fraudulent activity in relation to procurement activity undertaken within Nottinghamshire Police.

3) That EMSCU's Head of Supplier Services had written to Suppliers to re-iterate the Force position in relation to Gifts, Gratuities and Hospitality. The relevant Force procedure stated that Police Officers and Staff should not accept the offer of any gift, gratuity, favour or hospitality as to do so might compromise their impartiality or give rise to a perception of such compromise.

4) That EMSCU's Commercial Awareness training programme which was launched in December last year was being delivered on an on-going basis, included content on the prevention of fraud and corruption in the procurement process.

6. **IPCC INVESTIGATIONS**

Chris Eyre introduced the report which informed the Panel in respect of complaint and conduct matters referred by Nottinghamshire Police to the IPCC during the period 1 April – 30 September 2014 and of the relevant recommendation and actions.

During discussion the following points were raised:

- 44 referrals were made to the IPCC. 40 were referred back to the Force Professional Standards Department (PSD) for local investigation,

two were determined suitable for Independent investigation and two were determined suitable for supervised investigations.

- The Force had invested in PSD to ensure appropriate resources for the internal investigations to be carried out.

- Referrals are discussed in Standards and Conduct meetings and the Chair was invited to attend a future meeting.

RESOLVED 2014/36

That the Panel had received assurance from the processes in place relating to IPCC investigations.

7. **FORCE IMPROVEMENT ACTIVITY**

Chris Eyre introduced the report which informed the Panel in respect of Force improvement activity and the implementation of learning from the IPCC 'lessons learned' bulletins during the period April – September 2014

During discussions the following point was raised:

- The Force monitored the implementation of learning to ensure that it became embedded.

RESOLVED 2014/37

That the Panel had received assurance that the lessons learned were being implemented.

8. **EXTERNAL AUDIT ANNUAL AUDIT LETTER**

John Cornett introduced the External Audit annual audit letter which was the final stage in the Statement of Accounts 2013-14 process.

During discussions the following points were raised:

- There had been few changes since the Governance Report presented to the September meeting. As anticipated, External Audit had given an unqualified opinion and value for money opinion

- The A19 appeal would feature in the 2014-15 audit as well as would the current financial pressures.

RESOLVED 2014/38

To recommend the letter to the Police and Crime Commissioner and Chief Constable for approval.

9.   MANAGING INFORMATION REPORTS

Margaret Monckton introduced the report which focused on the efficiency activities currently being undertaken by the East Midlands Strategic Commercial Unit (EMSCU). Credit was given to the Procurement Team for the work delivered through rigorous management of the contracts and ensuring compliance.

RESOLVED 2014/39

To note the report.

10.   INTERNAL AUDIT PROGRESS REPORT

Patrick Green introduced the report which provided an update on progress against the Internal Audit Annual Plan and the findings from audits completed to date.

During discussions the following points were raised:

- The Business Continuity plan was tested as the Force regularly had power outages.

- The roll out of Windows 7 would be complete by the end of March 2015. The Force were investigating cloud based storage options and were working with other Force to establish a consistent approach should this method be used.

RESOLVED 2014/040

That the Panel had received assurance from the work undertaken through the internal audit plan.

11.   AUDIT AND INSPECTION

Chris Eyre introduced the report which provided an update on the status of audit and inspections taking place or due to take place in the Force.

Future reports would include further information on the priority levels on each action to enable the Panel to assess more accurately how the Force were managing the actions.

RESOLVED 2014/041

That the report be noted.

12.   PANEL WORK PLAN AND MEETING SCHEDULE

The work programme was agreed.

The Panel thanked Margaret Monckton, John Cornett and Adrian Benselin for all their input and wished them well for the future.

The meeting closed at 6.37pm

CHAIR

For Consideration	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	12 February 2015
Report of:	Paddy Tipping Police Commissioner
Report Author:	Kevin Dennis
E-mail:	kevin.dennis@nottinghamshire.pnn.police.uk
Other Contacts:	Kevin Dennis
Agenda Item:	4

REFRESHED POLICE AND CRIME PLAN (2015-18)

1.   PURPOSE OF THE REPORT

1.1   The purpose of this report is to provide the Joint Audit and Scrutiny Panel with a draft copy of the Commissioner's refreshed Police and Crime Plan for 2015-18. See **Appendix A**.

2.   RECOMMENDATIONS

2.1   That members discuss and note the draft Police and Crime Plan (2015-18).

2.2   That members provide feedback to the Commissioner on the content of the Plan.

3.   REASONS FOR RECOMMENDATIONS

3.1   The Police Reform and Social Responsibility (PR&SR) Act 2011 places a statutory duty on the Commissioner to publish a Police and Crime Plan for their policing area. Section 5(1) of the PR&SR Act 2011 requires the Commissioner to 'issue a Police and Crime Plan within the financial year in which each ordinary election is held'.

3.2   The Commissioner is required to prepare a draft plan or variation and send a copy to the Panel and have regard to the Panel's recommendations and publish any such response.[a]

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[a]   *Police Reform and Social Responsibility Act 2011: Section 5(6) Before issuing or varying a police and crime plan, a police and crime commissioner must— (a) prepare a draft of the plan or variation, (b) consult the relevant chief constable in preparing the draft plan or variation, (c) send the draft plan or variation to the relevant police and crime panel, (d) have regard to any report or recommendations made by the panel in relation to the draft plan or variation (see section 28(3)), (e) give the panel a response to any such report or recommendations, and (f) publish any such response.*

Section 28(3): A police and crime panel must— (a) review the draft police and crime plan, or draft variation, given to the panel by the relevant police and crime commissioner in accordance with section 5(6)(c), and (b) make a report or recommendations on the draft plan or variation to the commissioner.

3.3 A copy of the draft refreshed Police and Crime Plan (2015-18) has been sent to the Police and Crime Panel who meet on 2nd February 2015. The Commissioner will respond to the feedback received and provide a written response.

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4. Summary of Key Points

4.1 The Commissioner's first Police and Crime Plan was published in April 2013 aided by the production of a detailed Joint Partnership Strategic Assessment, which led to the identification of seven thematic priorities. This year the process was amended and is now known as the Nottinghamshire Police and Crime Needs Assessment (NPCNA) which was finalised in December 2014. This assessment and its findings are reported on separately.

4.2 The NPCNA has provided the Commissioner with a strategic assessment of current, emerging and long-term threats, harm and risk affecting crime and community safety for Nottingham and Nottinghamshire. The NPCNA has introduced a refreshed approach this year to aggregate the key information from the Force's and Partner's Strategic Local profiles, consultation and engagement findings together with supplementary information into one summary assessment, it is not designed to duplicate or repeat local profiles.

4.3 The purpose of this assessment was to inform the refreshing of the Police and Crime Plan for 2015-18. In this respect, only the key issues arising from the NPCNA are summarised in this refreshed plan. This plan should reflect the views and interests of everyone living and working in Nottingham and Nottinghamshire.

4.4 The first Plan in 2013-17 came into effect on the 1st April 2013 and set the strategic direction for policing and community safety, clearly identifying the seven strategic priority themes and activities to be delivered by the Commissioner, the Force and partners in Nottingham and Nottinghamshire. This plan was refreshed and a second plan published on 1st April 2014. Copies of the previous plans can be downloaded from the Commissioner's web site.[b]

4.5 The Police and Crime Needs Assessment has identified a number of new and emerging issues which will need to be addressed such as tackling hidden crime, cybercrime, increased confidence in reporting leading to rises in violent and sexual crime. Efforts to increase Domestic Violence and Hate Crime reports are likely to lead to an overall increase in Total crime. Increased confidence in reporting crimes of a sexual nature are likely to increase demand and crime levels.

4.6 There is a need for Police and Partners to better understand victims needs especially new and emerging communities and respond appropriately. The Force needs to consider and implement new ways to tackle crime and disorder with diminishing resources through improved partnership working, improving its capability to tackle cybercrime and ensure that technology is fully utilised.

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[b] http://www.nottinghamshire.pcc.police.uk/Public-Information/Police-and-Crime-Plan/Refreshed-Police-and-Crime-Plan.aspx

4.7 The Force continues to face substantial cuts to its budget and will need to make further changes to its operating policing model and introduce new ways to secure efficiency savings.

5. Financial Implications and Budget Provision

5.1 Financial implications and budget provision has been highlighted in the refreshed Police and Crime Plan. It will be seen at Section 11.2 of the Plan that the Force is required to make £31.4m over the next four years i.e. £11m savings in 2015-16, £11.5m in 2016-17, £6.1m in 2017-18 and £2.8m in 2018-19.

6. Human Resources Implications

6.1 Human resource implications are monitored through the Police and Crime Plan and the existing governance arrangements for Workforce Planning with the Force.

7. Equality Implications

7.1 There will be a refresh of the Equality Impact Assessment for the Police and Crime Plan, which will provide key information for future planning for engagement and consultation for the Commissioner.

8. Risk Management

8.1 Risks will be escalated as part of the monitoring of the delivery of the Police and Crime Plan and feed into the Risk Management of the NOPCC.

9. Policy Implications and links to the Police and Crime Plan Priorities

9.1 The seven strategic priorities will continue but in response to the new risks identified a range of new activities will be undertaken and managed through the Commissioner's Delivery Plan.

10. Changes in Legislation or other Legal Considerations

10.1 The NOPCC monitors changes to legislation and identifies key activities and risks through the Police and Crime Needs Assessment. There has been significant activity to ensure that through partnership working that the changes brought in by the Anti-Social Behaviour, Crime and Policing Act 2014 have been implemented. Other legislative changes are included in the NPCNA assessment.

11. Details of outcome of consultation

11.1 There has been ongoing consultation conducted by the Commissioner and Deputy Commissioner, which has included:

- Walkabouts
- Consultation meetings with key stakeholders
- Summer events across the City and the County
- Focus groups with victims and Domestic Violence Survivors
- Online surveys for Restorative Justice

11.2 There has been further consultation for the communities in the Partnership Plus Areas across the County.

11.3 The Chief Constable and his Command team have been consulted on the draft plan and feedback has been taken into account.

11.4 Also, a meeting was held on 8th January 2015 to meet with a range of stakeholders to discuss and receive feedback on both the Police and Crime Needs Assessment and the draft Refreshed Police and Crime Plan (2015-18). This draft takes account of that feedback.

11.5 Furthermore, the Commissioner has written a letter to over 150 stakeholders making them aware that he has refreshed his Police and Crime Plan and invited feedback on the draft plan which is available for download on his website.[c]

12. Appendices

Appendix A – Draft Refreshed Police and Crime Plan (2015-2018)

13. Background Papers (relevant for Strategic Resources and Performance Meeting)

- Police and Crime Needs Assessment December 2014 (unpublished)

For any enquiries about this report please contact:

Kevin Dennis, Chief Executive of the Nottinghamshire Office of the Police and Crime Commissioner
Kevin.dennis@nottinghamshire.pnn.police.uk
Tel: 0115 9670999 ext 8012001

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[c] *http://www.nottinghamshire.pcc.police.uk/Public-Information/Police-and-Crime-Plan/Refreshed-Police-and-Crime-Plan-2015-2018.aspx*

The Police and Crime Plan (Refreshed)

2015-18

April 2015

APPENDIX A

Final Draft

Nottinghamshire
POLICE & CRIME COMMISSIONER

Foreword

This is my second refreshed Police and Crime Plan. I will be reporting more fully on my pledges and activities undertaken this year in my forthcoming Annual Report in May 2015.

First of all I would like to affirm my commitment to delivering my key crime priorities despite next year's policing grant being substantially reduced by a further 5.1%.

Overall police funding in England and Wales will be cut by 5.1% in 2015-16 which equates to a loss of approximately £11m in Nottinghamshire taking into account inflation.

A total of £718m will be top-sliced from the policing budget to fund national organisations such as the Counter Terrorism Unit. Of this £251m is set aside for specific policing initiatives including the Innovation Fund and PFI – an increase of 52% in comparison to 2014-15. Some of this funding will be returned to local police forces however many of the initiatives will require police forces to compete for grants.

This is another tough settlement, the consequences of which will be felt locally as we attempt to reduce our budget even further. The financial pressures we face will be exacerbated by the significant increase in top-slicing to fund national initiatives.

In Nottinghamshire, we are trying to address the challenging financial situation through greater collaboration with other forces and locally with public sector partners but they too are facing the same pressures. The impact of any funding cut inevitably affects our local communities and as a consequence we have had to redesign how we deliver local policing and how we respond to calls where urgent help is not required in order to match our scarce resources to greatest need.

In addition, we are working closely with our partners in the health sector and local authorities to ensure situations which warrant specialist intervention such as issues of mental health are dealt with by the most appropriate agency rather than the Police.

We have examined all areas of our operation and there is little left to remove from our budget however we will continue to seek out new ways of working to release the savings required next year and in future years, and we know more needs to be done but as far as possible ensure that we maintain consistency with local Police Officers and PCSOs.

However, despite these continued pressures I am pleased that I have been able to earmark £250,000 from the budget to be shared among local projects that aim to reduce crime and antisocial behaviour and protect victims, witnesses and vulnerable people from harm. In December 2014 small community groups dedicated to making Nottinghamshire safer were invited to apply for financial support in a fresh round of police funding. Third sector community groups can apply for individual grants of up to £25,000 to help towards the delivery of crime reduction initiatives which support my refreshed Police and Crime Plan.

Furthermore, I am investing in the region of £3m in community safety services across the City and County. I became responsible for directly commissioning local victim support services from 1st October 2014. During 2014-15, I have invested £1.5m in enabling victims to cope and recover from crime.

I would like to summarise some key achievements and developments during the year:
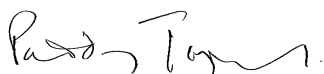
- Helped to organise a Hate Conference to better understand hate crime especially underreporting.

- Launched the 'Street Triage' scheme and have seen a 43.8% reduction in the numbers of non-crime related mental health patients detained in the Force's Custody Suites.

- We have funded the rollout of a nationally recognised 'Best Bar None' scheme aimed at improving management of licensed premises and reducing alcohol related violence across the county.

- Invited independent research companies to bid for a contract that will enable us to deliver enhanced restorative justice services across the county.

- The Force launched 'Track My Crime' which is designed to make it easier for the victim to access to information.

- Commissioned research to get a better understanding on the scale of repeat shoplifting offending and held a Retail Crime event.

- Developed a Community Remedy Document which sets out how criminal justice partners including the police will deliver court-free sanctions.

- Launched a City Taxi CCTV scheme which provides funding for City Hackney Taxis to be fitted with state of the art digital CCTV.

- Received nearly £1.7m for body worn video cameras which will help officers collect evidence of criminality while on the frontline and will also act as a deterrent tool.

- In October 2013 took over responsibility for commissioning local support services to aid the recovery of victims of crime with funding provided by the Ministry of Justice. A Victims' Strategy has been developed and future support services will be delivered by a single provider from April 2015.

Looking forward, the Police and Crime Needs Assessment has identified a number of new and emerging issues which we will need to address such as tackling hidden crime, cybercrime, increased confidence in reporting leading to rises in violent and sexual crime. Our efforts to increase Hate crime (e.g. sexual orientation, race, disability), reports will also lead to an overall increase in crime.

We need to increase our understanding of victims needs and our new and emerging communities and respond appropriately, we will up our game in the way we tackle crime and disorder with diminishing resources through improved partnership working, improving our capability to tackle cybercrime and ensure that we fully utilise technology.

Finally, together with my Deputy, Chris Cutland, I would like to thank all the police officers, police staff, volunteers, our partners and communities who have been working hard to improve community safety and confidence in Nottinghamshire.

Nottinghamshire's Police and Crime
Commissioner: Paddy Tipping

Nottinghamshire's Deputy Police and
Crime Commissioner: Chris Cutland

Contents

1 Introduction

This is the Commissioner's refreshed Police and Crime Plan (2015-18), which sets out the ambitions to be achieved over the next few years and explains what can be expected from policing and community safety in Nottingham and Nottinghamshire.

Crime and public safety matter to everyone, but the police cannot tackle these alone. Reducing crime depends on strong communities, active citizens and agencies that respond to public concerns. The Commissioner's priorities will be achieved through strong partnership working, encouraging more volunteering and engagement with communities to support local crime prevention work and cut reoffending.

The Commissioner intends to continue with the Police and Crime Plan's bold strategies and clear targets to reduce crime, achieve safer communities, improve trust and confidence in high quality policing, ensure fairer treatment of victims and citizens and use public resources wisely. There will however, be a continued focus on improving accessibility and visibility of police officers in our neighbourhoods, preventing crime and tackling violence and anti-social behaviour, implementing the Alcohol Strategy and Action Plan, and working with partners to address complex issues of drug fuelled crime, mental health, improving road safety (which will include prevention education) and rural and wildlife crime that blights our countryside. The Deputy Commissioner will continue to lead work to prioritise improvement to services for victims of domestic violence, and Hate Crime particularly repeat victims.

We are entering a new era for policing and criminal justice reform, which includes Victims Services coming under the responsibility of the Commissioner. This presents opportunities for more joined up multi-agency approaches to delivering policing services, public service integration and co-location with key partners and stakeholders to support and deliver swift and sure justice for victims.

The aggregation of the key factors that need to drive further improvements in policing and community safety for Nottingham and Nottinghamshire are identified below. These activities will help to make Nottingham and Nottinghamshire safer and a more prosperous place for us all to be proud of.

Victims

- Improve the identification and response to 'hidden harm',[1] and under reporting, particularly with regard to vulnerable people and new and emerging communities. Enhance safeguarding for women and children protecting them from violence, abuse, sexual exploitation and human trafficking.

- Ensure targeted provision is available, effective and focused on those most vulnerable to victimisation and offending. Better understand and respond to female genital mutilations (FGM) and Hate Crime. Implement the Victims Code and the new victim support services.

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[1] *Hidden Harm is a term used in the Police and Crime Needs Assessment to define victims who do not report certain crime types to the Police e.g. cybercrime, social media (online bullying), child sexual exploitation, human trafficking, female genital mutilation and new and emerging communities; the consequences of which mean that support to the victim is not provided.*

- Ensure the new 'Integrated Restorative Justice' service is implemented and is victim initiated and ensure that the new Community Remedy is effective.

Communities

- Support and empower local communities in tackling the issues that most affect them and promote targeted multi-agency problem solving approaches.

- Develop and enable volunteering and 'active citizenship' by promoting opportunities for engagement, ensuring initiatives have the support and information they need to be effective.

- Develop a mechanism for defining and monitoring rural crime.

Partnership Working

- Support Multi-agency Integrated Locality Working to tackle the most problematic and complex needs of our communities.

- Explore further opportunities for collaboration and partnership working to improve the resilience and effectiveness of local services as agencies resources continue to reduce and bolster information sharing and joint case work management.

- Support the development of a clear purpose across agencies to deliver improved services and ensure new antisocial behaviour powers are fully utilised.

- Support continued improvements in training, standards and quality of service across crime and community safety agencies in delivering open and accessible services.

- Work to continue as part of the 'Prevention' agenda to improve training and channel referrals to identify and engage with individuals at risk linking work with Health, Education and Higher Education activity to safeguard vulnerable people from harm and utilise target hardening.

- Work with Partners to develop a control strategy around Other Violence and Sexual Crime and introduce measures to reduce and prevent demand for service.

- Develop stronger links between Nottinghamshire Road Safety Partnership and District Community Safety Partnerships (CSPs).

Cyber Crime and Technology

- Develop understanding and responses to the threats of on-line criminality, particularly in reducing risk to those most vulnerable to harm and exploitation.

- Provide support for strengthening prevention and improvements to environmental design, safety and security to reduce the risk of both traditional and on-line victimisation.

- Maximise technology and techniques identifying, anticipating and preventing crime, victimisation and harm.

Collaboration and Efficiencies

- Consider and implement new ways of working to secure greater efficiencies through collaboration with other forces and partners.

2 Realising the Vision

The Commissioner's vision is "to be the Peoples Commissioner" by giving victims and citizens a bigger voice in policing to achieve a safer Nottingham and Nottinghamshire.

The Commissioner aims to deliver his policing priorities over the remaining years in office through law enforcement, crime prevention and also through bringing together communities, the voluntary sector and relevant agencies to ensure that complex problems are addressed through partnership working.

The Commissioner will strive to deliver:

1. Safer communities
2. Improved trust and confidence in policing
3. Value for money policing services

These outcomes will be achieved through the continuing duty to hold the Chief Constable to account for delivering policing, challenging the Chief Constable and other partner agencies to deliver value for money and improve community safety services with fewer resources. The challenges require joined up approaches to ensure that we work with communities to pursue swift and sure justice for victims, prevent crime, protect and intervene early and reduce reoffending.

3 Our Values

The Commissioner's values are core to his way of working. This plan identifies not only what will be tackled but how. He expects officers and police staff to operate with integrity to improve trust and confidence in policing.

The values are:

Victims: by listening and taking action to protect and safeguard vulnerable people

Openness: by putting victims and the public at the heart of open and transparent decision-making

Inclusiveness: by working effectively with communities and businesses to tackle crime and anti-social behaviour

Communities: by ensuring fairness, respect and accountability to victims and communities

Empowering: by engaging with victims and communities to help shape policing services and build stronger partnerships

4 Our Challenges

The Commissioner's first Police and Crime Plan was published in April 2013 aided by the production of a detailed Joint Partnership Strategic Assessment, which led to the identification of seven thematic priorities (which will remain). This year the process was amended and is now known as the Nottinghamshire Police and Crime Needs Assessment (NPCNA) which was finalised in December 2014.[2]

The NPCNA has provided the Commissioner with a strategic assessment of current, emerging and long-term threats, harm and risk affecting crime and community safety for Nottingham and Nottinghamshire. The NPCNA has introduced a refreshed approach this year to aggregate the key information from the Force's and Partner's Strategic Local profiles, consultation and engagement findings together with supplementary information into one summary assessment, it is not designed to duplicate or repeat local profiles. A review of national threats applicable to local policing and wider community safety was also undertaken and key threats reported.

The purpose of this assessment is to inform the refreshing of the Police and Crime Plan for 2015-18. In this respect, only the key issues arising from the NPCNA are summarised in this plan. Further detail and source referencing is provided in the NPCNA.

4.1 Police and Crime Needs Assessment (NPCNA): Key Points

The key issues identified through the NPCNA process are listed below structured by the political, economic, social, technological, environmental and legal framework in respect of national and local issues.

Political

- **Terrorism and Domestic Extremism:** to the UK (England, Wales, Scotland and Northern Ireland) the level of threat is 'Severe'. The National Threat level for Irish Related Terrorism is 'Moderate'. Nottinghamshire has no recorded Organised Crime Groups directly linked to Terrorism or Domestic Extremism, however, there are highly organised and sophisticated groups nationally and internationally who could have a potential impact upon Nottinghamshire. The approach to this issue is based around the four principles of Prevent, Prepare, Protect and Pursue.

- **Priorities:** The priorities of statutory partner organisations are many and varied, there is a need to ensure a common language and to identify that most partners share common strategic themes which include; supporting vulnerable victims (particularly victims of domestic and sexual abuse), reducing re-offending (with a predominant focus on acquisitive crime), and reducing the harm caused by drug and alcohol misuse.

- **HMIC Inspections:** HMIC found that whilst there is a strong focus on the victim, the Force needs to ensure that it is consistently carrying out its

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[2] *Nottinghamshire Police and Crime Needs Assessment 2014 (insert link)*

responsibilities under the Victims Code, and some necessary improvements were identified in the management of investigations, evidence gathering, supervision of investigations, capacity and capability to improve the effectiveness of investigations.[3] HMIC identified that police forces in England and Wales have risen to the challenge of austerity, finding almost £2.53bn worth of savings, but the Home Office is predicting that the budget in 2020 will be 50% of what it was in 2010.[4] Currently £13 billion is spent on policing.

- **Reforms:** The national welfare reforms continue at pace and there is likely to be an impact on the Police and Partner agencies as people affected may be more vulnerable to becoming victims or perpetrators of crime as a result of some of these reforms. These reforms are aimed at addressing educational and social failures that can drive problems like gang and youth violence. The welfare reforms aim to give young people better opportunities to access work and overcome barriers to employment. Education reforms aim to drive up pupil performance and increase participation in further study and employment.

Economic

- **Economic Landscape**: The year on year budgetary reductions across all public sector organisations and in turn voluntary sector organisations present further challenges. The crime, community safety and criminal justice landscape continues to undergo rapid and extensive change as a result of political and economically driven reform. In some cases, this has led to the fragmentation of services, loss or dilution of specialist roles and knowledge and more complex delivery arrangements.

- On-going austerity measures and political uncertainty mean that changes are likely to continue over the next three years with potential to impact significantly upon performance and delivery. To date, the Force is on track to achieve its required savings of £47 million over this spending review period. After the first three years the Force had identified £34.3 million of the savings required through restricting and collaborating with other forces. The plans are to meet £12.7 million for 2014-15, and a further £6.4 million savings for 2015-16. The Nottingham City Council has an expected gap of £69 million in its budget up to 2015-16 and Nottinghamshire County Council must reduce its budget by £154 million over the next 3 years.

- The efficiency of the Force requires improvement. HMIC reports that the current Force configuration was increasingly unaffordable in the face of further cost reductions, but there are plans in place.

- Reductions in Partner resources are placing particular strain on capacity to undertake preventative activity which could be critical to reducing longer term future demand on all agencies. Prevention strategies could be better co-ordinated across agencies, particularly in reducing vulnerability to low

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[3] *HMIC: PEEL Assessment 2014*

[4] *HMIC: Policing in Austerity 2014*

level acquisitive crime and cyber-crime. Force and partners will need to continue to deliver services, which require new ways of working and flexibility to adapt. Target Hardening should be bolstered to prevent burglaries in key hot spot locations across the City and County.

- **Collaboration:** With our regional Forces, and local partners to address capability and capacity to deliver services to meet the needs of the area will need to be extended to new areas. There should be new working arrangements within the collaboration landscape which will provide new ways of working but these are untested.

- **Partnerships:** With a focus on the most problematic cases and localities, targeted multiagency partnership approaches have been recognised as one of the main drivers of improving community safety with a clearer focus on shared priorities and agendas which will help to further improve outcomes for local people.

- **Value for Money:** Continuing need to find efficiency and effectiveness through value for money policing and community safety is even more necessary in time of austerity.

Social

- **Crime and Antisocial Behaviour:** Crime nationally has increased slightly and in Nottinghamshire it's currently +5.4%.[5] Violence continues to be the key driver to the overall increase in All Crime and follows the recent HMIC inspection into crime recording and increased compliance to the national crime recording standards which may account for some of the increase. Other crimes which have seen a significant increase compared to other Forces nationally include: Other Crimes Against Society (ranked 4th, +15.1%), Other Sexual Offences (ranked 5th, +64.8%) and Sexual Offences (ranked 5th, +57.4%), Vehicle Interference (ranked 4th, +181.4%), Public order Offences, (ranked 4th +44.9%).

- **Organised Crime:** The Government regards serious and organised crime as one of the greatest threats to the UK's national security and costs the UK more than £24 billion a year. The National Serious and Organised Crime Strategy is built on the framework used for counter terrorism and sets out how opportunities will be taken to prevent people getting involved in serious and organised crime, strengthen protection against and responses to it, and most importantly to pursue the criminals behind it, prosecuting and disrupting their activities.[6]

- Furthermore, it is estimated that the costs of Organised Crime Groups (OCGs) across various crime types are: drugs supply (£10.7 billion),

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[5] *Analysis of Iquanta Data as of October 2014. This is subject to validation and change but nevertheless is helpful in assessing potential future performance and safety risks.*

[6] *HM Government: Serious and Organised Crime Strategy 2013*

organised fraud (£8.9 billion) and organised immigration crime types (£1.0 billion).[7]

- Threat, harm and risk assessments have highlighted that Higher Tier Organised Crime and Urban Street Gangs are posing the highest level of harm to our communities. There is effective planning in place to tackle Criminal Use of Firearms, Drugs Supply and Possession, burglary dwelling, Child Sexual Abuse and Exploitation, Terrorism and Domestic Extremism, Roads Policing, Burglary Other, Theft from Motor Vehicles, Street Robbery, Public Order and Commercial Robbery. However, planning around Fraud, Rural Crime and Other Theft is being developed.[8]

- **Under Reported Crime:** The NPCNA identifies risks of underreporting in respect of Domestic Abuse, Violence, Hate Crime, Sexual Abuse, against vulnerable people and Cyber Crime. Personally targeted offences against vulnerable people such as domestic and sexual abuse, exploitation, and human trafficking and hate crime remain substantially underreported and as such, the true extent of victimisation remains unknown.[9] It is these areas of 'hidden harm' that present the greatest safeguarding risks to vulnerable victims. Improvements in risk assessment, recording practices, intelligence, information sharing and confidence to report will, however, result in more 'hidden harm' and safeguarding cases being identified.

- It is expected that addressing underreporting will lead to an overall increase in All crime.

- **Drugs and Alcohol:** remain significant drivers of victimisation and offending behaviour, however, the emergence of New Psychoactive Substances (NPSs) and their relatively unknown level of prevalence and impact on crimes remains an area of concern. There is a proliferation of illicit tobacco across the City and its impact on health and community safety (especially accidental fires) and its link to organised criminality.

- **Property Stolen:** The Crime Survey for England and Wales (2014)[10] has identified that cash and wallets are no longer the number one target, now Smartphones are stolen in more than half of all muggings. Figures show that Satnavs have replaced radios and CDs as the top target in vehicle crime. Laptops and jewellery are the most commonly-stolen items in burglaries. The current difficult economic climate has the potential to stimulate demand in the market for stolen and counterfeit goods.

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[7] *Home Office: Understanding organised crime: estimating the scale and the social and economic costs October 2013*

[8] *Nottinghamshire Police's Local Profile, Intelligence Matrix*

[9] *Analysis of Hate Crime during 2013-14 identified that it only represents 1% of All crime in Nottinghamshire. However, the Nottingham Citizens survey work of 1000 hate crime victims in 2014 identified that actual levels are much higher. In addition, feedback from participants at a Hate Crime Conference held in Nottingham in December 2014 supported the view that there is significant underreporting.*

[10] *http://www.ons.gov.uk/ons/rel/crime-stats/crime-statistics/period-ending-june-2014/stb-crime-stats--year-ending-june-2014.html*

- **Victims:** Young people, people from Black and Minority Ethnic Communities and people with complex needs remain the groups with the most disproportionate risk of victimisation and offending. These groups are also least likely to report their victimisation to the police. Age profiling and understanding the risks of victimisation and offending should support reductions in prolific acquisitive offending, youth offending, age vulnerability and changes in the environment that can reduce the opportunity for offending to take place. With an aging population in the County and higher younger population in the City more prevention could reduce offending.

- Furthermore, HMIC has identified that whilst much has been achieved to improve victim's contact and support, more needs to be done and there is a need to put the victim's experience at the centre of policing.

- **Mental Health Issues**: Nottingham City's Mental Health and Wellbeing Strategy, using national survey data, estimated that over 51,000 adults (16+) experience mental health problems in in the City (2014), of whom 41,000 will have common mental health issues such as depression or anxiety, about 7,000 will have post-traumatic stress disorder and 3,000 people will have severe mental health issues such as psychosis or personality disorder. Depression and anxiety problems are often underreported because people do not seek help or they are not always recorded. It should be noted that the prevalence of mental health issues is much higher for those with substance misuse issues.

- Based on the City's crime rate[11] it is estimated that the 3,000 people with severe mental health problems living in Nottingham experienced a total of 874 crimes in a 12 month period, of those, 306 crimes was violence against the person either with or without injury.

- **Low-Level Acquisitive Crimes:** Incidents of low-level acquisitive crime such as shoplifting and bilking are increasing.

- **Public Priorities:** The public's priorities and expectations are clear and have generally remained static, with visible policing, anti-social behaviour and road safety being the most prevalent community concerns. Public confidence in local policing has increased over the last year with higher than the national average for satisfaction.

Technological

- **Cyber Crime:** If there is a single cross-cutting issue that has changed the landscape for serious and organised crime and the response to it, it is the growth in scale and speed of internet communication technologies. The online streaming of real-time child sexual exploitation and abuse is a growing threat. Cyber techniques have proliferated and are used ever more extensively by wider serious and organised crime groups to commit 'traditional' crimes.

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[11] *97.13 crimes per 1000 population (based on the 12 month period August 2013 – July 2014)*

- There is strong evidence to suggest that on-line crime is increasing and often goes unreported. Nationally, one in three adults are estimated to have suffered crime on-line in the last year, compared to only one in five suffering crime 'off-line'.[12] The sexual exploitation of children and its prevalence in society, and the ways in which it can be carried out using modern technology are a concerning threat. There is more that the police and other agencies need to do to understand the magnitude and address the capacity to respond and protect victims.[13]

- **Internet and Social Media:** Recent years have seen a rapid growth in internet access, social media and use of mobile internet-enabled devices across all socio-demographic groups. It is estimated nationally that around 4 in every 5 homes now have internet access, with an average of 3 internet enabled devices in every home. While technological advances continue to enhance the way our organisations operate, communicate and engage with local people, they also create new opportunities for criminality and expose individuals, communities and organisations to new areas of vulnerability.

- There is increasing evidence that the Internet and social media can influence suicide-related behaviour. Important questions are whether this influence poses a significant risk to the public and how public health approaches might be used to address the issue.[14]

- Advances in encryption technology – particularly in the development of new private on-line networks or 'darknets' – are continuing to provide new environments for criminal activity. There needs to be a focus on enabling our services to keep up with and maximise the use of technology and social media to make sure that responding to the changing victim, offender and organisational environment, improving the efficiency and effectiveness of services and identifying and managing risk.

- **Quality:** Improving crime recording and investigations remain high priorities, with the HMIC's PEEL Assessment identifying concerns that crime recording was not as accurate as it should be, this therefore impacts on victims as they may not receive the support they need through the referral mechanisms which is often triggered after a Police risk assessment. In addition, if crime is not recorded accurately this adversely affects Police priorities and the deployment of resources.

Environmental

- **Population:** Nottinghamshire's population continues to grow and diversify. This presents challenges to service providers in providing visible neighbourhood services, maintaining an awareness of local needs and cultures, and ensuring equality of access to local services. For example, the overall population of England has increased by around 5 million since 2001,

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[12] *Home Office: Cybercrime: a review of the evidence summary*

[13] *HMIC: The Strategic Policing Requirement*

[14] *http://www.ncbi.nlm.nih.gov/pmc/articles/PMC3477910/*

to approximately 64.1 million. By 2030, the UK population is set to increase by 9% to 70 million. The population of the UK aged 65 and over has increased to 11.1 million (17.4%) which is predicted to increase by 71%, meaning a cost rise in real terms of more than 50%, which will swell the demand for public services particularly the demand for old age services.[15]

- Nottinghamshire is estimated to have a resident population of 1,091,482 people in total. The greater number of the population lives in the County, 785,802, with 334,303 people in the City. The population has increased by 7% over the last ten years and is projected to continue to grow over the next 5-7 years, with the highest growth projected to be seen in the City, Rushcliffe and Newark and Sherwood Districts.

- **Ethnicity:** In Nottinghamshire the population is predominately 'White British' at 92.64% (nationally 80%), the City has 65.4% population of 'White British' (compared to 81.1% in 2001 being an increase of 19%), with every ethnic group increasing by 142.1% (the largest increase was that of nearly 21,000 in the Asian ethnic groups and the largest percentage increase was in the number of people from mixed ethnic groups, which increased by nearly 12,000 people). Gedling, Rushcliffe and Broxtowe are 93% 'White British'.

- However, Nottinghamshire as a whole is seeing an increase in minority communities, within the last 10 years showing each ethnic group, other than 'White British', seeing a notable increase. In the County, 'Mixed Race Black' shows the highest percentage increase in the last 10 years, with a 108.7% increase in this category. For the whole of Nottinghamshire (City and County), 'Chinese' shows the highest percentage increase in the last 10 years, showing a 139.5% rise.

- **Age:** Overall the County has a slightly older population profile than the national average, with fewer under-16s. Over one quarter (28%) of the population of the City is aged 18 to 29. Fulltime University students make up about 1 in 8 of the population.[16] Almost 15% of the City population is aged 20-24 years, more than double the national average. In the short to medium term, the City is unlikely to follow the national trend of increasing numbers of people over retirement age, although the number aged 85+ is projected to increase. The age profiling provides a projected forecast of demand on key public sector services, together with providing a profile of vulnerability.

- **New and Emerging Communities:** The East Midlands region is projected to experience the fastest population growth of any English region with an estimated increase of 10.5% between 2006 and 2016 this will continue to increase the ethnic diversity within the region. This increase will inevitably impact on the ability of the partnerships to continue to improve performance in relation to crime and disorder.[17]

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[15] *ONS: 2013*

[16] *Nottingham City Economic Review: An Evidence Base for the Nottingham City Growth Plan, Economic Strategy Research Bureau, Nottingham Trent University, February 2012*

[17] *http://www.nottinghaminsight.org.uk/insight/key-datasets/census-2011.aspx*

- There is therefore a greater need to understand and engage with existing, new and emerging communities to identify vulnerability and offending. There are growing opportunities for greater understanding of demand and prevention of crime. Intelligence suggests that aspects of organised crime is becoming more diversified and sophisticated, particularly with regard to the local drugs supply and importation and criminal activity facilitated on-line such as fraud and counterfeiting. This is increasingly presenting new challenges for enforcement agencies which require new skills and ability to advance investigation techniques.

- **Rural Crime:** There are indications nationally that rural crime is becoming more targeted to the people who live in these areas, with increases in the theft of high value farming machinery, equipment such as Land Rovers, trailers, tools, quad bikes, heating oil and red diesel, together with suffering problems of anti-social behaviour, criminal damage, livestock theft and burglary.

- For example, in November 2012, the NFU commissioned a survey of 153 members running farm businesses in the rural area of Nottinghamshire (represents 26% of the County NFU membership). This survey was designed to give an understanding of the perceptions of rural crime and policing in the County.[18] Overall 54% had experienced crime over the previous year, with theft being the most common type of crime experienced – 28% have experienced 'metal theft'; 18% have been victims of 'vehicle or machinery theft'; 16% have experienced 'fuel theft'. A further 10% have experienced 'tool theft' and 4% have had 'animals' stolen. Overall 66% felt that the police do not devote sufficient resources to tackling rural crime, and 54% believed that there was not sufficient action taken after reporting, with 78% not feeling secure.

- Although this survey is 2 years old, feedback from residents attending a Rural Crime event held in Newark in November 2014,[19] suggests that this trend is increasing. The need to classify and identify rural crime trends is increasingly necessary.

- Furthermore, there is a need for more preventative action for members of the rural community through an alerts system, a local neighbourhood policing presence for reporting crime and recovering stolen goods. There is a feeling that the police are less likely to deal with the issues that matter in their area and generally have low confidence in reporting crime.

- **Road Traffic Accidents:** Whilst the number of people killed or seriously injured (KSIs) on Nottinghamshire's roads has decreased,[20] communities particularly in rural areas continue to express concern about road safety.

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[18] *A further survey is to be undertaken in 2015.*

[19] *http://www.newarkadvertiser.co.uk/articles/news/High-tech-help-tofight-rural-crime*

[20] *Between January and June 2014, there was a 16.8% reduction in KSIs. This equates to 38 less KSIs in number terms, although there were three more fatalities against 41 less serious casualties.*

- **Crime Prevention:** With the Prevention Programme established across Nottingham and Nottinghamshire it has presented opportunities to improve the co-ordination of local preventative approaches across all aspects of service delivery in partnership, alongside the potential for predictive analytics to improve the understanding of demand, resource allocation, prevention, early intervention and risk management. These opportunities could be maximised through improvements in the availability and quality of information and wider partnership interoperability and integrated working.

Legal

- **Anti-social Behaviour, Crime and Policing Act 2014:** The promotion of the new Community Trigger[21] could potentially increase reporting of anti-social behaviour and calls for services.

- **The Offender Rehabilitation Act 2014**: Changes in legislation and the implementation of this new Act poses risks.

- **Revised Code of Practice for Victims of Crime:** The Commissioner is an early adopter for victims' services from October 2014, having the responsibility for commissioning the majority of emotional and practical support services for victims of crime in Nottinghamshire, including restorative justice.[22] A key area of improvement will be advanced through the opportunities to enhance the sharing of information and working across agencies to improve reporting, referrals and support pathways for victims.[23]

- There is a revised Code of Practice for Victims of Crime that lists the key entitlements that victims of criminal conduct are entitled to.[24]

- **Information Sharing:** There is a need to overcome data sharing barriers, especially in regards to the tackling of the most problematic people and families across agencies.

4.2 Global Challenges

The following global challenges pose risks to policing:

- Climate Change / Extreme weather conditions

- Spread of disease / pandemics – Ebola, Swine Flu, Bird Flu

- Worldwide Economic Situation – Fragile worldwide economic recovery

- Domestic Extremism and Terrorism – Unrest in the Middle East

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[21] *The provisions of the Anti-social Behaviour, Crime and Policing Act 2014 became effective on 20th October 2014. Some key aspects include Community Remedy and Community Trigger. The Commissioner is considering how best to monitor the use of the powers*

[22] *Ministry of Justice: Our Commitments to Victims September 2014 recommendation*

[23] *Nottinghamshire's Police and Crime Commissioner's Victims' Strategy 2014-17*

[24] *MOJ: Code of Practice for Victims of Crime October 2013*

- Cybercrime and propagation of organised crime via technology

4.3 National Challenges

The following national challenges pose risks to policing:

- The Anti-Social Behaviour, Crime and Policing Act 2014
- The Comprehensive Spending Review – reduced budgets across all partner agencies and the public sector in general; impact on services and resources, and impact on individual citizens.
- The Welfare Reform.
- Public confidence in Policing and public apathy towards Policing, and the overall image of the Policing Service in the eyes of the public nationally as a result of various issues, scandals, crime recording, Police misconduct.
- Crime recording practices as a whole; the loss of national statistics status, reputation and confidence in Police statistics.
- Cybercrime and increase use of social media, particularly for issues of Child Sexual Exploitation.
- Serious and Organised Crime, including human trafficking and exploitation of labour, migration, serious sexual exploitation, female genital mutilation and fraud and identity theft.
- Data Protection / Privacy Laws / Information sharing / civil liberties in line with technology.
- Transforming Rehabilitation: The Offender Rehabilitation Act 2014 made provision for the new National Probation Service.
- The Police Code of Ethics developed by the College of Policing.

4.4 Regional Challenges

The following regional challenges pose risks to policing:

- Reduction in Police Force (and Partner) budgets is leading to a changing landscape of policing, and Police forces are having to organise themselves to ensure they can meet the budget reductions whilst maintaining frontline services and remaining victim focussed.
- Regional collaboration; realising the benefits of collaboration, and making sure lines of accountability are clear within collaborations

4.5 Local Challenges

The following local challenges pose risks to policing:

- Emerging Communities – changing local demographics.
- Diverse and growing population.
- Consultation and engagement with communities.

- Information Sharing.

- Large student population.

- Areas of high need / demand (as assessed through partnerships).

5 Consultation and Engagement

This Nottinghamshire Police and Crime Needs Assessment for 2014 has been produced in collaboration with the Force and local Crime and Community Safety Partnerships and key stakeholders by aggregating their Strategic Assessments, together with consultation and engagement findings and published key reference materials.

Throughout the year, the Commissioner and his Deputy have listened to partners, stakeholders, communities and most importantly many victims of crime. They have learned of their concerns and have sought to better understand how improvements can be made. They have undertaken extensive public consultation on policing and crime and this has been vital to help shape the decisions that have been made during the Commissioner's second year of delivering his Police and Crime Plan.

Some engagement activities include:

- Consulting with the Chairs of Strategic Partnerships

- Walkabouts - in high crime areas across the City and the County

- Public Stakeholder Forums

- Monthly engagement with the Commissioner's BME Steering Group

- The Commissioner's website

- Commissioned focus groups

- Personal Meetings with Members of the Public and Stakeholders

- Police User Satisfaction Survey

- Crime Survey for England and Wales

- Neighbourhood Satisfaction Surveys

- Annual Residents Survey (Nottinghamshire County Council)

- Respect Survey (Nottingham City Council / Nottingham Crime and Drugs Partnership)

- Neighbourhood Priority Surveys (Nottinghamshire Police)

- Social Media (run through Corporate Communications)

- Face to Face and Public Engagements - (through Corporate Communications and also Neighbourhood Policing.)

5.1 Police and Crime Plan Priorities and Budget Consultation 2014/15

A report detailing the results of the various consultation exercises throughout 2014-15 is available on the Commissioner's website.[25] In total, the consultation and engagement activities have captured the views of over 4,000 residents. Some of the key highlights being:

- Overall support for having to remodel policing for Nottinghamshire given the national context of austerity and on-going policing budget cuts (62% of respondents from the online survey).

- 82% of the respondents of the Nottinghamshire Residents Survey did not support savings to local policing.

- Support for investing in preventing crime work and early intervention through education with communities (96.4% of respondents from the online survey).

- Support for joined up working with other agencies through multi-agency hubs, supported by training and information sharing, particularly for areas such as domestic violence, child abuse and other serious crime (92.8% from the online survey).

- Support for collaboration with other forces (85.7% from the online survey).

- Identified that there should be clear communication with communities, particularly for reporting crime, also promoting the confidence to contact the police for less serious issues to pass on intelligence, but a clear definition of an emergency would be useful to promote together with the numbers to call other than 999.

- General support for specialist investigative teams to assist with bringing more people to justice, and focusing on protecting vulnerable people against crime such as child sexual exploitation, domestic violence (86% from the online survey).

- Support for victims of crime having a single point of contact throughout their journey.

- Acceptance that new communication and social media are important tools for policing, but should not be the only method of communicating with the public.

- Support for a named Police Officer for each area (82.2% from the online survey), need to improve response times.

- General support for volunteering, with 86% of respondents from the Nottinghamshire Residents survey having participated in volunteering over the last 12 months.

- Support for increasing PCSO powers, or more Police Staff to ensure that Police Officers are utilised for jobs requiring warranted powers (82.1% from the online survey).

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[25] *Police and Crime Plan Priorities and Budget Consultation 2014/15 - Evaluation of Findings (insert link)*

- Recognised importance for offering restorative justice where appropriate, with specific emphasis on it needing to be victim led.

- There were concerns for closing police buildings, but general support for increasing visibility of officers (85% from the online survey), ensuring that they are enabled with technology to be as visible and accessible in their communities and focused on tackling local issues, with a recognition that there needs to be a focal point/base of some sorts.

- Support for spending more on drug and alcohol related crime and exploiting new technology to assist tackling some crimes.

- Concern that there needs to be an equitable distribution of resources across the City and County.

- Find savings through reducing the number of senior ranks, number of meetings Police Officers attend and find savings through reducing bureaucracy.

- Prepared to pay more for policing (48.2% from the online survey) 53% of respondents from the Nottinghamshire Residents Survey said they would be prepared to pay more for policing, with 14% responding maybe.

- Improve road safety awareness and tackle illegal / dangerous parking.

- 33% of respondents were very satisfied, with 47% fairly satisfied (Nottinghamshire Residents Satisfaction Survey), with their local area.

- The overall proportion of respondents feeling respected all or most of the time by local public services (61%) has decreased by 4% since the 2012 survey (Nottinghamshire Residents Satisfaction Survey).

- Three quarters (75%) of all respondents reported feeling safe (either very or fairly safe) in their local area when outside after dark (Nottinghamshire Residents Satisfaction Survey).

- Perceptions of anti-social behaviour being a very or fairly big problems being: noisy neighbours (4%/7%), groups of people hanging around the streets (5%/13%), rubbish or litter lying around (10%/16%), vandalism, graffiti and deliberate damage to property or vehicles (5%/11%), people being drunk or rowdy in public places (7%/9%), people using or dealing drugs (9%/11%), people being attacked/harassed because of their skin colour /ethnic origin/religion (1%/4%), abandoned or burnt out vehicles (0%/2%) (Nottinghamshire Residents Satisfaction Survey).

- Preferred method of obtaining information about the Commissioner, being through local newspapers and newsletters (20% and 23% from the Nottinghamshire Residents Survey).

- Importance business areas identified for review in the Nottinghamshire Residents survey are:
  o Stop and search – very important (33%), important (46%).
  o Recruitment and retention of police officers – very important (59%), important (36%).
  o Hate crime related to disability – very important (47%), important (43%).

5.2 Consultation Summary

The Commissioner has taken these findings into consideration and where possible has included activities in his Delivery Plan shown as **Appendix A**.

Consultation and engagement with stakeholders and members of the public helps inform the Commissioner's priorities and activities to be delivered in his Police and Crime Plan. Crime figures and reported incidents alone cannot be the sole basis upon which resources are deployed. For example, the Chief HMIC Tom Windsor in his Annual Assessment of Policing[26] argues that one of the most significant problems faced by society – and therefore its police – is unreported crime. Many crimes are unreported, and of course it is impossible accurately to measure the size of the problem.

Therefore, a judgement has to be made on all available information especially incidents types which are historically underreported to the police such as Hate Crime and Cyber Crime.

6   Partnership Priorities

The Police Reform and Social Responsibility Act 2011[27] places a mutual duty on the Commissioner and responsible authorities in the Community Safety Partnerships (CSPs) to cooperate to reduce crime, disorder and reoffending. There is also a similar reciprocal duty on the Commissioner and Criminal Justice bodies to cooperate.

6.1   Nottingham Crime and Drugs Partnership (CDP) Priorities

Locally the Force is innovative in how it works with the City Council, through joint management of council employees, officers and police staff to tackle anti-social behaviour and prevent crime. The CDP priorities are to tackle:

- Other Violence
- Burglary
- Drug and Alcohol Misuse
- Domestic Violence
- Anti-Social behaviour

The CDP will focus on:

- High Impact Neighbourhoods. (These are the priority problem places, premises and people for partnership focus through locality working and problem solving).

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[26] *State of Policing: The Annual Assessment of Policing in England and Wales 2012/13, Her Majesty's Chief Inspector of Constabulary, London, 31 March 2014 (Para 1.15).*

[27] *Police Reform and Social Responsibility Act 2011*

6.2 Safer Nottinghamshire Board (SNB) Priorities

The SNB priorities are to tackle:

- Serious acquisitive crime
- Violent crime
- Domestic violence
- Anti-Social behaviour
- Drugs and alcohol
- Youth issues
- Hate crime

The SNB will focus on:

- Partnership Plus Areas (These priorities are being directed towards fifteen PPAs, together with three more discretional areas nominated by each of the CSPs, having the highest levels of priority crimes)

7 Strategic Policing Requirement (SPR)

There are some aspects of policing that require a national response, balancing between localism and national requirements. The Strategic Policing Requirement (SPR), sets out the national threats and the appropriate national policing capabilities that are required to counter those threats.[28] The Commissioner and the Chief Constable are required to have due regard to the SPR.[29]

The Home Secretary has recently brought in urgently-needed legislation which will give the UK some of the toughest powers in the world to tackle the increasing threat from international terrorism and domestic extremism.[30] This will bolster existing powers to disrupt the ability of people to travel abroad to fight, reduce the risks they pose on their return and combat the underlying ideology that feeds, support and sanctions terrorism. Some new key risks identified include:

- Understanding the vulnerabilities for individuals and groups to get involved in Terrorism and Domestic Extremism
- Unplanned public disorder
- Business continuity - climate risks such as flooding, loss of power, cyber incident etc.

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[28] *Section 77 of the Police Reform and Social Responsibility Act 2011 requires the Home Secretary to issue a strategic policing requirement.*

[29] *Home Office: Strategic Policing Requirement 2012*

[30] *Home Office: Counter-Terrorism and Security Bill 2014*

8 Delivering Our Strategic Priorities

Taking account of the performance challenges and risks identified in the Police and Crime Needs Assessment and feedback received from the consultation and engagement exercises, the strategic priorities remain the same. However, in order to tackle or mitigate the risks, a number of additional activities will be undertaken. These will be monitored and reported on a quarterly basis. Some key activities are summarised in the following sections in relation to each of the seven strategic themes.

Appendix A provides a detailed overview of the Commissioner's Strategic Framework, outlining the priorities and their supporting actions to be delivered.

8.1 Protect, support and respond to victims, witnesses and vulnerable people

Improve the identification and response to 'hidden harm', particularly with regard to vulnerable people and new and emerging communities.

- Work collaboratively to review and address current and future gaps in public protection and safeguarding capacity, advocacy and voluntary agencies.

- Work with communities, local agencies and academia to develop a greater understanding of 'hidden harm', particularly by improving third party reporting, improving confidence amongst those least likely to report victimisation and supporting targeted training and awareness raising activity across agencies and communities.

Ensure targeted provision is available, effective and focused on those most vulnerable to victimisation and offending.

- Work to profile age, communities and vulnerability, particularly focused on exploitation, disabilities, mental health and vulnerability.

- Support targeted engagement activity with young people, particularly in improving trust and confidence in the police and other agencies and increasing opportunities for young people to report victimisation.

- Assess the impact and coverage of youth diversionary activities across Nottinghamshire, capture and disseminate good practice and respond to key gaps in service provision.

- Improve communication and consultation with those at risk and vulnerability.

8.2 Improve the efficiency, accessibility and effectiveness of the criminal justice process

Support and empower local communities in tackling the issues that most affect them and promote targeted multi-agency problem solving approaches.

- Raise awareness and maximise the use of tools and powers available to communities and partners in preventing, tackling and responding to crime and anti-social behaviour in their area, including problem solving

methodologies, community trigger and the use of out of court disposals and restorative justice.

- Work collaboratively to understand and support the needs of new and emerging communities and ensure crime and community safety agencies are open, accessible and representative of their local communities and working together to empower community action.

8.3 Focus on priority crime types and those local areas that are most affected by crime and anti-social behaviour

Support Multi-agency Integrated Locality Working and Citywide Tasking to tackle the most problematic and complex needs of our communities

- Integrated and coordinated working across services will tackle the most problematic and complex needs of victims and perpetrators.

- Building on the review of the Partnership Plus Areas of the County's Safer Nottinghamshire Board, for integrated services including, local authorities, Housing, Troubled Families, Social Care, Health and Education to improve targeted service delivery within an environment of diminishing resources focusing on areas and individual needs.

- Promote innovation and maximise opportunities to work smarter through integrated service delivery where there are clear benefits.

- Other Crimes Against Society, Sexual Offences, Vehicle Interference and Public order Offences have increased significantly and will need to be monitored closely

Explore further opportunities for collaboration and partnership working to improve the resilience and effectiveness of local services as agencies resources continue to reduce.

- Strengthen strategic partnerships within and beyond Nottinghamshire and develop further clarity of the shared purpose and outcomes for crime and community safety.

- Maximise partnership opportunities to disrupt and dismantle organised criminality via local.

- Organised Crime Partnerships, particularly in tackling the organised drug markets that impact upon the area.

- Promote positive action for anti-social behaviour.

8.4 Reduce the impact of drugs and alcohol on levels of crime and anti-social behaviour

Support the development of a clear purpose across agencies to deliver improved services.

- Develop clarity and understanding across agencies with regard to roles, responsibilities and outcomes in response to priority individuals and locations, particularly with regards to the factors that drive vulnerability such as age, mental health, disability, hard to reach community, new and

emerging communities, financial hardship, and problematic alcohol and substance misuse.

- Develop approaches to tacking areas of risk through links to organised crime.

8.5 Reduce the threat from organised crime

Work to continue as part of the 'Prevent' agenda to improve training and channel referrals to identify and engage with individuals at risk linking work with Health, Education and Higher Education activity to safeguard vulnerable people from harm.

- Develop work to understand the threat of extremism and domestic radicalisation.

- Develop work for tackling and dismantling organised crime for child sexual exploitation, human trafficking, forced marriage and female genital mutilation through local, regional and national working.

- Develop work on risks posed by Foreign National Offenders.

Develop understanding and responses to the threats of on-line criminality, particularly in reducing risk to those most vulnerable to harm and exploitation.

- Develop the understanding of the scale and impact of cyber-crime and cyber-enabled crime and explore the potential for local organisations to counter these threats, particularly through education and awareness raising approaches.

- Review gaps in the technology, capacity and capability available to respond to new criminal techniques and practices and seize opportunities to use technology and social media to make communities safer, including targeted engagement and greater use of open source intelligence.

8.6 Prevention, early intervention and reduction in reoffending

Support for strengthening prevention and improvements to environmental design, safety and security to reduce the risk of both traditional and on-line victimisation.

- Continue to support the development of the coordinated cross-agency prevention strategy and targeted education and early intervention approaches – particularly in response to emerging risks such as harmful sexual behaviour, substance misuse, low level acquisitive crime, cyber-crime, fraud, areas of high demand crime and anti-social behaviour, including night time economy.

- Conduct clear inter-agency communication and educational campaigns targeted at vulnerable groups.

Maximise technology and techniques identifying, anticipating and preventing crime, victimisation and harm.

- Test and exploit opportunities for predictive analytic approaches across agencies.

- Improve intelligence and data sharing.

8.7 Spending your money wisely

Develop and enable volunteering and 'active citizenship' by promoting opportunities for engagement, ensuring initiatives have the support and information they need to be effective.

- Develop areas of volunteering, especially increasing the number of Special Constables to police crime in rural areas.

- Improve communication and education for those at risk.

- Develop age, risk and community targeted communication and engagement.

Support continued improvements in training, standards and quality of service across crime and community safety agencies in delivering open and accessible services.

- Drive improvements in the quality, recording, management and sharing of information within and between agencies, particularly in identifying and responding to vulnerability and informing our understanding of current and future risk.

- Collectively review gaps in services, specialist knowledge and expertise in view of significant changes to the crime, community safety and criminal justice environment, particularly where key roles have been lost or diluted.

9 Measuring How Well We Are Doing

The Commissioner has been working with the Force and partners to identify the measures and targets that will monitor the delivery of the Police and Crime Plan and demonstrate efficient and effective policing in Nottinghamshire. The targets and performance indicators are shown in the following tables listed under the Commissioner's seven strategic themes.

Strategic Priority Theme 1: Protect, support and respond to victims, witnesses and vulnerable people		
Measure	Objective	Target
1 Percentage of victims of crime that are completely, very or fairly satisfied with the service they have received from the police	A year-on-year improvement in satisfaction levels	90% of victims completely, very or fairly satisfied
2 Percentage of victims and witnesses satisfied with the services provided in court	A year-on-year improvement in satisfaction levels	An increase in the percentage of victims and witnesses satisfied compared to 2014-15.
3 Percentage of people who agree that the police and council are dealing with local anti-social behaviour (ASB)	A year-on-year improvement in agreement levels	60% agreement by 2015-16

	and other crime issues		
4	Percentage reduction of people that have been repeat victims within the previous 12 months	Reduce the number of repeat victims of domestic violence, hate crime and ASB	a) A reduction in the number of repeat victims of domestic violence compared to 2014-15
			b) A reduction in the number of repeat victims of hate crime compared to 2014-15
			c) To monitor repeat victims of anti-social behaviour incidents
			d) To monitor the number of domestic abuse incidents and crimes and proportion which are repeats[31]
5	Public confidence in reporting offences to the police	i) Encourage the increased reporting of serious sexual offences and sexual offences as a whole	To monitor the number of Serious Sexual and sexual offences as a whole
		ii) Encourage the increased reporting of domestic abuse (incidents and offences)	To monitor satisfaction levels of victims of domestic abuse through the Force Victim Surveys
		iii) Encourage the increased reporting and identification of Hate Crime	To monitor the number of Hate Crimes and proportion which are repeats.[32]
6	The number of people Killed or Seriously Injured (KSIs) on Nottinghamshire's roads	i) 40% reduction in all KSI RTCs by 2020 (from 2005-09 average)	To maintain a reduction in the number of persons KSI on Nottinghamshire's roads, in-line with the Nottinghamshire Road Safety Partnership target of a 50% reduction by 2020 (from the 2005-2009 baseline).[33]
		ii) Monitor KSIs for 0-15 year olds	The number of KSIs for 0-15 year olds
7	The number of non-crime related mental health patients detained in custody suites	Reduce the number of non-crime related mental health patients detained in custody suites	A reduction in the number of non-crime related mental health patients detained in custody suites compared to 2014-15
8	Percentage of incidents responded to within the target time	Ensure that demand for service is responded to appropriately by reducing demand and attending Grade 1 and 2 calls quickly	To monitor the percentage of Grade 1 and Grade 2 Incidents attended within the prescribed timescales.

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[31] *DV Victims with the highest level of repeats (over a two year period) will be further monitored through the PCC Delivery Plan.*

[32] *It is expected that first time reports of Hate Crime will increase and repeat Hate Crimes will reduce.*

[33] *This can be monitored according to an annualised (calendar year) target, which will be calculated at the start of each year*

Why is it important?

Surveys identify getting back to victims and keeping them informed is a priority for improving satisfaction.

Supporting victims and witnesses improves sure and swift justice.

Community engagement and consultation identifies a need to improve accessibility and visibility of the police in local communities.

Performance figures identify high levels of repeat victims. The Commissioner's focus is that victims are the most important part of any crime.

Domestic violence accounts for 41% of the reported violence against a person; a significant proportion is repeat victimisation.

There are a high number of people killed or seriously injured on Nottinghamshire's roads.

It's important to ensure that any changes to the Police operating model does not affect response times especially in rural areas.

Strategic Priority Theme 2:
Improve the efficiency, accessibility and effectiveness of the criminal justice process

	Measure	Objective	Target
1	Percentage of Crown Court files to be submitted by the police to the Crown Prosecution Service on time and without errors	A continued improvement in the quality and timeliness of files submitted by the police to the Crown Prosecution Service	An improvement in the quality of files as monitored through the 6 weekly audit of files by the Operational Business Support Unit, with good performance and areas for development reported through the Crime and Justice Operational Performance review and PCC delivery Plan.
2	Crown Court and Magistrates conviction rates	A continued improvement in the conviction rates for the Crown Court and Magistrates Court	To record a conviction rate in line with the national average
3	Early Guilty Plea Rate for the Crown Court and Magistrates Court	The Police and CPS to effect continued improvement in the Early Guilty Plea rate for the Crown Court and Magistrates Court	a) An increase in the Early Guilty Plea rate compared to 2014-15. b) To be better than the national average
4	Percentage of effective trials in the Magistrates' and Crown Courts (HMCTS Measure)	The Police and CPS to effect continued improvement in the Effective Trial Rate for the Crown Court and Magistrates Court	a) Reduce % ineffective trials due to prosecution team reasons compared to 2014-15. b) Achieve a year on year improvement in effective trial rates.

Why is it important?

Partnership working to improve an efficient and effective criminal justice system.

Improving efficiency and effectiveness in the criminal justice system for positive outcomes for victims and witnesses.

The Commissioner is focused on the needs of victims, and supporting them to take an active role in restorative justice.

Strategic Priority Theme 3:		
Focus on those priority crime types and local areas that are most affected by crime and anti-social behaviour		
Measure	Objective	Target
1 Reduction in 'All Crime' across the Force	i) Reduce Crime in Nottinghamshire with a focus on reducing offences which have a high victim impact and reducing offences in those local areas which experience a high level of crime.	a) A reduction in All Crime compared to 2014-15.[34]
		b) A reduction in the number of victim-based crimes compared to 2014-15.[35]
		c) To monitor the number of offences in those local areas which experience a high level of crime.[36]
	ii) To ensure that rural crime does not increase	To monitor the proportion of rural crime compared to 2014-15.[37]
2 Reduction in anti-social behaviour (ASB) incidents across the Force	Reduce ASB incidents in Nottinghamshire with a focus on those local areas which experience a high level of ASB	A reduction in ASB incidents in line with the long-term target of a 50% reduction by 2015-16 (compared to the 2011/12 baseline)
3 The detection rate (including Positive Outcomes) for Victim-Based Crime	i) An improvement in the detection rate (including positive outcomes) for victim-based offences	a) An increase in the detection rate for victim-based crime. b) To monitor the proportion of Community Resolution disposals. c) To monitor Detection rate for Total Crime.[38]
	ii) To ensure the appropriate and effective use of Community Resolution disposals	a) To monitor the proportion of Community Resolution disposals. b) To monitor Detection rate for Total Crime
Why is it important?		

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[34] *It is recognised that first time reports of DV, Hate Crime and serious sexual crime will increase. However, by taking positive action to reduce repeat victimisation overall crime should still reduce.*

[35] *In support of this target, Burglary Dwelling, Robbery and Violence with Injury will be priority areas.*

[36] *PPA areas in the County and High Impact Areas in the City*

[37] *This is a new target and will require development through a small project group. To be reported in Quarter 3 and 4.*

[38] *New monitoring arrangements will be introduced in the PCC Delivery plan for crimes where a suspect has been identified (especially for violence and sexual crimes) to ensure that all possible enforcement action is being taken.*

There is a national target to reduce crime.

Priority focus on prevention to reduce demand, with continuing multi-agency action to tackle anti-social behaviour and manage high volume offenders to reduce the number of victims.

The Commissioner is now responsible for commissioning victim services.

It's important that any changes to the Police operating model does not have any adverse impact on rural communities.

A range of activities will be undertaken to encourage increased reporting of DV, Hate Crime and sexual crime. Increased public confidence will lead to increased reporting levels.

Strategic Priority Theme 4:		
Reduce the impact of drugs and alcohol on levels of crime and anti-social behaviour		
Measure	Objective	Target
1 The number of Alcohol-related crimes	Reducing alcohol related crime and ASB[39]	a) To monitor the number of crimes and ASB which appear to be alcohol-related b) To monitor the proportion of alcohol-related violent crime
	Reduce alcohol related crime and ASB in the Night Time Economy (NTE)	To monitor the number of violent crimes and ASB which appear to be alcohol-related in the NTE.
2 Reoffending of drug fuelled offenders in the Force IOM cohort	An evidenced improvement in reoffending levels and seriousness of offences committed by drug-fuelled offenders in the IOM cohort	To monitor the number and seriousness of offences committed by drug-fuelled offenders in the IOM cohort (2 cohorts throughout the year will be monitored quarterly)

Why is it important?

Alcohol misuse has been linked to more than 1 million crimes in the UK each year, particularly violent crime and disorder.

The Commissioner's Alcohol Strategy and Action Plan identifies key activities to tackle alcohol-related crime.

Consultation has indicated that alcohol-related violence, anti-social behaviour, and drug dealing are major concerns for local people.

The introduction of the Anti-social Behaviour, Crime and Policing Act has introduced new powers for policing and community safety. The number of times the new ASB Powers are utilised will be monitored through the PCC Delivery Plan.[40]

Improving data quality will help managers better understand the problem and help determine where to deploy resources and more importantly learn what works.

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[39] *The PCC Delivery Plan will monitor data quality in order to better understand the nature of alcohol-related crime.*

[40] *ASB Powers: Community Remedy, Community Trigger, Civil injunction, Criminal behaviour order, Dispersal power, Community protection notice, Public spaces protection order, Closure power.*

Strategic Priority Theme 5:		
Reduce the threat from organised crime		
Measure	Objective	Target
1	The number of Proceeds of Crime Act (POCA) confiscation and forfeiture orders	To improve the POCA process and maximise opportunities to publicise successful POCA operations in order to improve public confidence	A 10% increase in the number of orders compared to 2014/15
2	Force threat, harm and risk (THR) assessment level	To meet the Strategic Policing requirements of capability and capacity	To reduce the Threat, Harm and Risk below the 2014-15 level
3	Reported drug offences	To encourage the increased reporting of offences of the production and supply of drugs	To monitor the number of production and supply of drugs offences
4	The number of Cybercrimes	To better understand and tackle cybercrime through identification and monitoring cybercrime[41] levels.	Monitor the number of Cybercrimes in 2015-16 to establish a baseline.[42]

Why is it important?

There are further opportunities to generate income from those involved in organised crime under the Proceeds of Crime Act.

The threat of an increase in organised crime is highlighted as a national risk, and under the Strategic Policing Requirement (SPR) the Commissioner and the Chief Constable are required to maintain sufficient capacity and capability to support the national Organised Crime Strategy.

Cybercrime is increasing and affecting more and more victims, it's important to increase our understanding to protect victims.

Strategic Priority Theme 6:		
Prevention, early intervention and reduction in re-offending[43]		
Measure	Objective	Target
1	Reoffending of offenders in the Force IOM cohort	An evidenced improvement in reoffending levels and seriousness of offending from offenders in the IOM cohort	Monitor the number and seriousness of offences committed by offenders in the IOM cohort[44] (2 cohorts throughout the year will be monitored quarterly)
2	Youth Offender reoffending rates	To better understand youth reoffending	To monitor reoffending rates and

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[41] *'Cybercrime' is a term used to define any crime that takes place online or where a where a digital system is targeted by means of a criminal attack*

[42] *New Measure - Performance to be reported by Quarter 3 after consultation with Police College.*

[43] *The recidivism rate of persistent shoplifters will be monitored through the PCC Delivery Plan. Also, the recidivism rate for offenders subject to Community Remedy will be monitored.*

[44] *Monitoring this year will provide a baseline for future targets setting.*

		and to create a baseline for future performance monitoring	offending levels of youth offenders in the Youth Justice System
3	Community Resolutions for Youth Offenders	To better understand recidivism in Youth Offenders following a Community Resolution disposal, and to create a baseline for future performance monitoring	To monitor reoffending in Youth Offenders who have received a community resolution

Why is it important?

Current figures for proven reoffending show that the percentage of offenders who go on to commit a further offence within 12 months needs reducing.

The Commissioner will focus on prevention to reduce demand, securing justice for victims and reducing reoffending to reassure the public and improve confidence in policing.

It's important to understand how effective out of court Disposals especially community Remedy and other Restorative Justice outcomes.

Strategic Priority Theme 7:
Spending your money wisely

Measure		Objective	Target
1	Make efficiency savings	Make savings in line with MTFP by the end of each financial year Ensure that detailed plans are in place to ensure the savings target is met.	£11m
2	Total number of days lost to sickness	Reduce the number of days lost to sickness to ensure that the Force remains in line with national trends	a) 3.7% for officers (8.2 days) b) 3.7 % for staff (8.2 days)
3	BME representation	To reduce the gap in current BME representation within the Force and local BME community representation in respect of: Recruitment for officers and staff to reflect the local community	Increase BME representation within the Force to reflect the BME community[45]
4	Improve data quality[46] and compliance with national recording standards.	To improve the quality and integrity of data recording to ensure that crime is better understood, ethically recorded and responded to.	Compliance rate with national recording standard in respect of Total Crime.[47]

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[45] *The overall objective is for the Force to represent the community it serves. The county BME population is 11.2%.*

[46] *Data Quality to be monitored through the PCC Delivery Plan to evidence that quality is improving.*

[47] *Performance for Violent crime, Sexual Crime and compliance rates prior to intervention to be monitored through the PCC Delivery Plan.*

10 Accountability

The Police and Crime Plan sets out the Commissioner's governance and accountability arrangements; these are further outlined in the Commissioner's Governance Framework.[48] The Commissioner has produced his Annual Governance Statement, reporting against the 'Delivering Good Governance' principles. There has been an annual governance review and the production of the Group Statement of Accounts for 2013-2014[49] which reflects the financial position of meeting continued savings of around £10m each year while increasing visibility and accessibility of policing. There has also been the production of the Code of Corporate Governance which sets out the standard that the Commissioner and the Chief Constable will govern as separate corporations sole.

11 Resourcing Our Priorities

Overall police funding in England and Wales will be cut by 5.1% in 2015-16 which equates to a loss of approximately £10m in Nottinghamshire taking into account inflation.

A total of £718m will be top-sliced from the policing budget to fund national organisations such as the Counter Terrorism Unit. Of this £251m is set aside for specific policing initiatives including the Innovation Fund and PFI – an increase of 52% in comparison to 2014-15. Some of this funding will be returned to local police forces however many of the initiatives will require police forces to compete for grants.

The Chief Constable is appointed by the Commissioner to deliver local policing in line with the priorities set out in his Police and Crime. The Commissioner is also responsible for the provision of resources for policing services. In the current year, 2014-15 the Force has a budget of £193.8m to police a population of approximately 1.1million.

To date over £50 million of efficiencies has been delivered to balance the budgets since austerity measures were taken by the government. There is an identified need to find on average £10 million in savings each year is set to continue.

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[48] *Governance Framework*

[49] *Nottinghamshire Police and Crime Commissioner and Group Statement of Accounts 2013-2014*

11.1 Police Employees

The table below details the staffing levels as of November 2014. It can be seen that there are 2,095 Police officers, 63 of which are externally funded.

POLICE EMPLOYEES AS OF NOVEMBER 2014	Police Officers			Police Staff			Employees	PCSOs (included within Staff)	
	Substantive Actual FTE	Externally Funded Actual FTE (B)	Total PCs	Substantive Actual FTE	Externally Funded Actual FTE (B)	Total Police Staff	Grand Total (Excl B)		Substantive Actual FTE
Local Policing									
City	613	22	635	167		167	780	City	129
County	750	2	752	249	38	287	999	County	199
Contact Management	22		22	301	1	302	323		
Sub-Total	**1,385**	**24**	**1,409**	**717**	**39**	**756**	**2,102**	**Total**	**328**
Specialist Services									
Crime & Justice	367	6	373	402	21	423	769		
OSD	145	1	146	19	-	19	164		
Regional	99	32	131	27	1	28	126		
	611	**39**	**650**	**448**	**22**	**470**	**1,059**		
Command	4		4	5		5	9		
Corporate Services	32		32	321		321	353		
	2,032	**63**	**2,095**	**1,491**	**61**	**1,552**	**3,523**		

There is 1,552 Police staff, of which 61 are externally funded. Included within Police staff, there are 328 PCSOs. In total excluding externally funded Police officers and Police staff, there are 3,523 employees.

11.2 Efficiency Savings

In order to continue delivering the required efficiencies the Force is developing a programme of significant transformational change, through its 'Delivering the Future' Programme. From the initial Target Operating Model work the Force identified a series of activity under the banner of 'Designing the Future'. Throughout the first half of 2014-15 this work has been developing and the Force has now moved into 'Delivering the Future' phase of this key activity. This will change the way in which the policing service in Nottinghamshire is provided in the future. Delivering the Future (DtF) is largely predicated on a different workforce mix of Police Officers and staff supported by a focus on reducing demand at the point of first contact.

The reduction in the size of the police estate and rationalisation of front counters will help to make efficiency savings. The focus will be on maintaining a police presence to support the vision of policing; through more partnership co-location, digitalisation and agile working.

To achieve further efficiencies there will be increased work in collaboration with our regional police forces and the development of collaboration at a local level with partners. We all need to reduce services together to ensure burdens are not transferred.[50]

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[50] *Reference: Police and Crime Panel budget papers 3 February 2014*

The table below summarises the savings plans currently in place for the next four years including the savings which are planned from 'Delivering the Future' activity shown against the business area delivering the savings.

PLANNED EFFICIENCY SAVINGS	2015-16	2016-17	2017-18	2018-19
	£m	£m	£m	£m
Business & Finance	2.6	0.3	0.0	0.0
EMSCU Income Generation	0.0	0.0	0.0	0.0
EMSCU Procurement Related	0.8	0.3	0.3	0.3
Estates/Facilities	0.4	0.0	0.0	0.0
Transport	0.8	0.0	0.0	0.0
HR	0.3	0.3	0.0	0.0
IS	0.5	0.6	0.0	0.0
Other	0.7	2.8	1.1	0.4
Total Corporate Services	**6.1**	**4.3**	**1.4**	**0.7**
Local Policing	2.8	5.0	2.0	0.0
Specialist Services	1.3	2.2	2.8	2.1
PCC	0.8	0.0	0.0	0.0
Total efficiency savings	**11.0**	**11.5**	**6.1**[51]	**2.8**

There will be a focus on the Force's efficiency savings programme which will be monitored by the Commissioner and reported to the Joint Audit and Scrutiny Panel to demonstrate delivering improved value for money policing.

The estimated funding for the Commissioner over the next four years is as follows:

FUNDING AVAILABLE	2015-16 £m	2016-17 £m	2017-18 £m	2018-19 £m
Police & Crime Grant	126.8	120.3	114.3	108.6
Council Tax Legacy Grant	9.7	9.7	9.7	9.7
Precept	51.7	53.4	54.5	55.6
Collection fund surplus/(deficit)				
TOTAL	188.2	183.4	178.5	173.9

Collection fund balances are unknown at this stage with declarations from billing authorities not being due until 31st January. If there is a net surplus this will be transferred to the Grants and Commissioning Reserve.

The net expenditure requirements are provided below:

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[51] *Some of the figures in this table (2017-18) have been rounded up but the £6.1m figure is correct.*

EXPENDITURE SUMMARY	2015-16 £m	2016-17 £m	2017-18 £m	2018-19 £m
Previous year net expenditure	193.8	188.2	183.5	178.5
Net changes for pressures	8.4	10.9	3.7	1.8
Net expenditure requirement	202.2	199.1	187.2	180.3

The summary financial position is detailed below:

TOTAL NET EXPENDITURE	2015-16 £m	2016-17 £m	2017-18 £m	2018-19 £m
Policing element				
Net Expenditure	197.7	194.6	182.7	175.8
Savings efficiencies & reserves	(10.9)	(11.4)	(6.0)	(2.7)
Sub-total	**186.8**	**183.2**	**176.7**	**173.1**
Grants & Commissioning				
Net Expenditure	4.5	4.5	4.5	4.5
Savings efficiencies & reserves	(0.1)	(0.1)	(0.1)	(0.1)
Sub-total	**4.4**	**4.4**	**4.4**	**4.4**
Total Net Expenditure	**191.2**	**187.6**	**181.1**	**177.5**
Financing Available				
Grants	136.5	130.0	124.0	118.3
Precept	51.7	53.4	54.5	55.6
TOTAL FINANCING	**188.2**	**183.5**	**178.5**	**173.9**
Contribution (from) Reserves	(3.0)	(1.0)		
Further (savings) required	0.0	(3.1)	(2.5)	(3.6)

The Commissioner recognises that achieving these levels of efficiencies will be challenging, but he has mapped out a robust programme of work and monitoring with the Force.

12 Delivering Value for Money

The commissioned Deloitte Base Budget Review and the HMIC annual Value for Money (VFM) Profiles have identified the following ten key areas for savings, which form part of an improvement plan of action for the Force which is monitored by the Commissioner:

- Fleet management

- Reduce demand and deployment

- Airwave Radio – use of radios and other technology

- Corporate Services

- Estates management

- Criminal Justice

- Procurement

- Workforce modernisation

- East Midlands Collaboration Programme

- Finance

13 Smart Commissioning

The Commissioner commissions the majority of community safety work through city and county community safety partnerships, which bring together local stakeholders and are well placed to understand local need and priorities. In addition, he supports grassroots community safety activity by grant funding third sector organisations through his Community Safety Fund; and directly commissions other services such as target hardening.

On 1 October 2014 the Commissioner became responsible for commissioning local victim support services, a role previously held by Ministry of Justice (MoJ). Since then, he has commissioned Victim Support to continue to provide a core victim support service, as well as commissioned domestic and sexual violence services previously supported by MoJ. At the time of writing Nottinghamshire Office of the Police and Crime Commissioner (NOPCC) is procuring separate, but integrated, victims and restorative justice support services to be operational from April 2015. The Deputy Commissioner is working very closely with local authorities including public health, clinical commissioning groups and NHS England to co-commission future specialist domestic and sexual violence support services.

Appendix A: Strategic Framework

BUILDING SOCIAL CAPITAL – Refreshed Police and Crime Plan 2015 – 2018				
The Vision 'The People's Commissioner'	…giving victims and citizens a bigger VOICE in policing to achieve a safer Nottingham and Nottinghamshire…	**To achieve outcomes of:** • Safer communities • Improved trust and confidence in policing • Delivering value for money policing services	**To achieve objectives of:** • Reduced crime and anti-social behaviour • Fairer treatment of victims and citizens • Better use of resources	**To be measured by demonstrating:** • Ranked in the top 10 Police forces for reducing crime • Ranked in the top 5 forces for victims satisfaction • Efficient and effective use of budget and resources • Increased representation of BME through recruitment

REDUCING CRIME AND ANTI-SOCIAL BEHAVIOUR BY WORKING WITH COMMUNITIES, BUSINESSES, PARTNERS, VOUNTARY AND THIRD SECTOR		
Pledges	1. Campaign against Government funding cuts to Nottinghamshire's Police budget 2. Improve Community Policing across Nottinghamshire by taking on 150 extra Police Officers and 100 PCSOs 3. Work in Partnership to reduce anti-social behaviour by 50%	4. Give extra priority and resources to domestic violence and crimes against girls and women 5. Ensure that victims of crime are treated as people, not cases, and Victim Support is properly funded 6. Be fair, honest and protect taxpayers' money

COMMUNITY ENGAGEMENT AND CONSULTATION					
We Value	Victims – by listening and taking action to protect and safeguard vulnerable people	Openness – by putting victims and the public at the heart of open and transparent decision-making	Inclusiveness – by working effectively with communities and businesses to tackle crime and anti-social behaviour	Communities – by ensuring fairness, respect and accountability to victims and communities	Empowering – by engaging with victims and communities to help shape policing services and build stronger partnerships

DELIVERING GOOD GOVERNANCE

STRATEGIC THEMES AND KEY ACTIVITIES FOR THE DELIVERY PLAN

1. Protect, support and respond to victims, witnesses and vulnerable people	2. Improve the efficiency, accessibility and effectiveness of the criminal justice process	3. Focus on priority crime types and those local areas that are most affected by crime and anti-social behaviour	4. Reduce the impact of drugs and alcohol on levels of crime and anti-social behaviour	5. Reduce the threat from organised crime	6. Prevention, early intervention and reduction in reoffending	7. Spending your money wisely	Principle 1: Focusing on the purpose of the PCC and the Force, and on outcomes for the community, and creating and implementing a vision for the local area.
1C1. Invest in market development and commission universal and targeted services for victims. 1C2. Continue to improve BME community experience of policing and implementation at the 'Commissioner's research recommendations. 1C3. Better understand, support and respond to female genital mutilations (FGM). 1C4. Work with safeguarding partners to increase awareness and understanding of child sexual exploitation, missing children, hidden harm and provide support to victims with partners. 1C5. Undertake research into new and emerging communities and their impact on offending and victimisation. 1F1. Identify the value and extent of	2C1. Provide leadership and ensure criminal justice partners implement victims code (LCJB – sub–groups) to ensure services are victim centred. 2C2. Ensure new 'Integrated Restorative Justice' service is implemented and is victim initiated. 2C3. Undertake regular dip samples of victim impact statement to improve quality. 2F1. Implement domestic violence 'live' links project with CPS and Courts. 2F2. Work with other Forces in the region to implement a new,	3C1. Continue to support partnership working in high crime neighbourhoods in the City and County. 3C2. Commission and produce an ASB leaflet to improve public and partners understanding of new ASB powers and tools 3C3. Implement a 'target hardening scheme with County Council. 3C4. Work with Partners and Force to better understand and respond to wildlife crime in rural areas (see also 3F2). 3C5. Better understand 'fear of crime' and how it can be reduced. 3F1. Implement operational control strategies for priority	4C1. Review and implement the refreshed alcohol action plan, including 'Blue Light Project. 4C2. Ensure the newly commissioned County CJIT[52] substance misuse service is effective and achieving stated outcomes. 4C3. Following 4F4, hold a best practice event in quarter 4 (2015-16) to identify best practice in respect of utilisation of new ASB powers. 4F1. Reduce the demand for the supply of illegal drugs, tackling class A drug trafficking, closing crack houses and disrupt cannabis cultivation. 4F2. Continue to implement	5C1. Ensure partnership structures are in place in the City and County (including Trading Standards) to tackle serious and organised crime; specifically cybercrime; illicit tobacco, drugs, fraud, money laundering sexual exploitation and human trafficking. 5C2. Ensure support partnership work between colleges, schools, prisons and Councils to prevent people being drawn into terrorism (new legal duty). 5C3. Work with Trading Standards to ensure that mainstream activity	6C1. Work in partnership to ensure street triage is continued and vulnerable people, including young people are dealt with more appropriately outside of custody. 6C2. PCC to grant aid positive activities for young people most at risk of getting involved in offending not provided elsewhere. 6C3. Monitor the impact on re-offending and out of out of court disposals, including cautions, PND and 'community resolution!' 6C4. Support IOM GPS tagging pilot to reduce re-offending by people involved in shop theft. 6C5. Undertake research and engagement activity with young people. 6C6. Work with schools to ensure that the crime prevention features in core curriculum.	7C1. Support the implementation on the new policing model 'Designing the Future', including introducing prison handling teams. 7C2. Ensure the Force achieves a balance budget and delivers the required efficiency savings. 7C3. Achieve greater financial savings and improve service delivery through collaboration with other Forces and organisations. 7C4. Implement and promote the social responsibility strategies. 7C5. Submit bids to maximise funding opportunities nationally. 7C6. Rationalise the police estate and support joint service centre with partners. 7F1. Recruit more volunteers (especially BME) to support	Principle 2: Leaders, officers and partners working together to achieve a common purpose with clearly defined functions and roles. Principle 3: Promoting values for the PCC and demonstrating the values of good governance through upholding high standards of conduct and

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[52] CJIT – Criminal Justice Intervention Team

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8
Child Sexual Exploitation (CSE), specifically in relation to children and human trafficking. 1F2. Review staffing arrangements within DTF model to ensure sufficient resources within SEU. 1F3. Work with Adult and Children's safeguarding colleagues and IOM Partners to create an approach to managing high risk domestic abuse perpetrators. 1F4. Produce a problem profile to better understand and engage with new and emerging communities. 1F5. Identify repeat DV victims with the highest level of repeats (over a two year period for violence where a further crime has occurred within the last two months. 1F6 Consider using technology in rural areas to support farmers e.g. Farm Watch and smartphones. 1P1. City and County to co-commission with the PCC domestic violence and sexual violence services. 1P2. Better protect and reduce violence to young women and girls and gangs. 1P3. Increase reporting of hate crime and provide dedicated resources to support victims. 1P4. Develop and implement a plan to respond to the Commissioner's and CCGs Mental health Summit held in September 2014.	criminal justice service. 2F3. Crime Recording Data Quality to be improved and monitored to ensure that quality is improved. 2F4. Utilise the power to stop and search in a necessary and proportionate manner, sharing data and encouraging greater scrutiny. 2F5. Improve the quality and timeliness of files submitted by the Police to the Crown Prosecution Service. 2P1. Ensure greater scrutiny and promote a better understanding of out of court disposals, including a review of 'community remedy'. 2P2. Publicise, where possible the outcome of criminal cases to improve public confidence. 2P3. Reducing Reoffending Board to work with the National Probation Service and 'Reducing Reoffending Partnership' (CRC) and other agencies to ensure 'integrated offender management arrangements are maintained and effective.	crime types. 3F2. Work with partners to protect local environments and Wildlife Crime 'through' cross border working. 3F3. Develop a mechanism for defining and monitoring rural crime by postcode if possible. 3F4. Roll out a case management system to improve the sharing of information between partners (e.g. ECINS). 3F5. Consider extending Operation Graduate in the City to cover holiday periods and extend to the County. 3F6. Further develop a Control Plan for Other Violence so incidents are fully understood/responded to. 3F7. Monitor 'Other Crimes Against Society', 'Other Sexual Offences' and 'Sexual Offences', 'Vehicle Interference' and 'Public Order Offences'. 3P1. Design and implement a new 'Neighbourhood Locality Working Model' in the County and align with City wide tasking model. 3P2. Develop a better understanding of agencies roles, responsibilities and powers to improve local tasking arrangements and locality working. 3P3. Develop stronger links between Nottinghamshire Road Safety Partnership and District community safety partnerships to improve road safety.	multi-faceted partnership problem solving plans for each of the key night time economies (NTEs). 4F3. Ensure a smooth transition to NHS England of Custody Health Provision. 4F4. Ensure that the new ASB Powers are fully utilised to reduce ASB and monitor (quarterly) the number of times the different powers are utilised by Districts and City. 4F5. Work with Partners and YOTs to develop a Community Remedy Plus to support young people at risk of further offending. 4P1. City and Districts to ensure the robust enforcement of licensing conditions for pubs and clubs causing the most concerns. 4P2. Nottingham Crime and Drugs Partnership to commission new Criminal Justice Substance Misuse Service for Nottingham City (see also 4C2). 4P3. Better understand the prevalence and impact on crime and new psychoactive and legal substances on crime through substance misuse needs assessment.	tackles OCGs. 5F1. Utilise POCA powers more effectively for criminal investigation. 5F2. Work with partner agencies to protect more individuals vulnerable and human trafficking. 5F3. Direct young people away from being involved in organised crime through IOM, Troubled Families and Vanguard Plus. 5F4. Develop the Force's physical, people and cyber measures to combat organised crime. 5F5. Utilise automatic number plate (ANPR) technology to deny criminals use of the road. 5F6. Produce serious and organised crime profiles to support partnership working. 5F7. Secure a better understanding, monitoring and checking of foreign national offenders. 5F8. Provide crime prevention advice on how to protect victims (especially vulnerable) from cybercrime. 5P1. CDP to provide PCC funding to support interventions to combat gangs and youth violence including BME young people.	6F1. Utilise integrated offender management, (IOM) to reduce crime by high risk offenders. 6F2. Adopt an integrated partnership approach to preventing demand for public, private and third sector. 6F3. Support multi-agency public protection arrangements (MAPPA) to manage the most dangerous violent and sexual offenders. 6F4. Establish stronger and collaboration partnerships to tackle personal robbers. 6F5. Reduce the recidivism rate for persistent shoplifters compared to 2014-15. 6F6. Bolster monitoring/ review arrangements for crimes where a suspect has been identified (especially for violence and sexual crimes) to ensure that all possible enforcement action is being taken. 6F7. In support of Community Remedy, establish mechanisms to ensure young people are appropriately referred to support agencies (see also 4F5). 6F8. Work with Partners and take steps to enhance intelligence gathering e.g. communities, rural crime and cybercrime. 6F9. Ensure that crime prevention, reducing demand and bureaucracy is central to mainstream activity. 6P1. Partners to ensure that suitable accommodation is made available to avoid vulnerable young people with mental health concerns being detained in custody and develop an appropriate place of safety. 6P2. Focus on those individuals and families that cause the most demand to public organisations. 6P3. Support Public Health England's 'Liaison and Diversion scheme.	policing, including cadets, rural specials, specials, volunteer PCSOs and neighbourhood watch. 7F2. Create a regional Police business service with Northants. 7F3. Support the introduction of a Regional and Operational Support Unit with Leicestershire, Lincolnshire and Northamptonshire. 7F4. Introduce more agile mobile data solution for police officers and staff to make them more effective. 7F5. Provide dedicated high visibility cars and encourage more voluntary speed watch schemes. 7F6. Ensure that 'Designing the Future' maintains access to services and effective communication to provide public reassurance by publicising positive good news stories (see also 2P2). 7P1. Greater commissioning and pooling budgets to achieve greater efficiency and deliver service improvement for domestic abuse and sexual violence services. 7P2. Work with partners to better understand, prevent and reduce demand and take steps to bolster community volunteering. 7P3. Ensure there is practical information sharing agreements in place to support multi-agency and locality working. 7P4. Ensure greater alignment of public organisations efficiency and transformational programmes.	behaviour. Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk. Principle 5: Developing the capacity and capability of the PCC, officers of the PCC and the Force to be effective. Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability.

PERFORMANCE MANAGEMENT (BALANCED SCORECARD)

• Improve satisfaction for victims and witnesses in policing and court • Improve confidence with anti-social behaviour and crime • Reduce number of repeat victims • Reduce number of people killed or seriously injured on our roads	• Improve timeliness and quality of court files • Improve Magistrates and Crown Courts conviction rates • Improve effective trials	• Reduce 'All Crime' across the Force • Reduce anti-social behaviour • Improve detection	• Reduce the number of alcohol-related crimes • Reduce drug related reoffending • Encourage reporting drug related offences	• Improve the number of Proceeds of Crime Act (POCA) confiscation and forfeiture orders • Reduce threat, harm and risk (THR)	• Reduce reoffending • Improve understanding of youth offending • Improve understanding of recidivism in youth offenders following community resolution	• Make efficiency savings • Monitor total number of days lost due to sickness • Improve BME representation	

Report to:	Audit & Scrutiny Panel
Date of Meeting:	12th February 2015
Report Author:	Charlotte Radford
E-mail:	
Other Contacts:	
Agenda Item:	5

Precept and Budget Reports 2015-16

1. Purpose of the Report

To inform members of the decision being taken in relation to the Precept and budget for the 2015-16 Financial Year

2. Recommendations

Members are requested to comment on and note the reports.

3. Reasons for Recommendations

This ensures that the Panel are aware of the key decisions being taken in relation to the budgets, medium term financial planning and supporting strategies.

4. Summary of Key Points

The budgets produced are linked with the resources required to deliver the Police & Crime Plan. There is particular focus on the priorities relating to victims, rural crime, crime prevention and closer working with our partners.

Setting a balance budget is becoming more and more challenging. To date over £42m (20%) will have been delivered in efficiencies and the next CSR period is looking for a further 20+% cut in our grant funding.

The Budget for 2015-16 is based upon a 5.1% (£6.8m) reduction in grant income and increased cost pressures of £8.4m.

We have been working hard with local and regional partners to deliver efficiencies and the force have been redesigning the way in which the service will have to be delivered from 2020.

The Medium Term Financial Plan (MTFP) details the plans in place to meet the financial gaps and shows where further work is to be done. The MTFP is built upon a continuous increase in precept just under and estimated referendum limit of 2%. It also builds in cost pressures for inflation, pay awards and national policy changes such as the NI contributions relation to the state pension.

The Capital Programme supports initiatives to improve the policing presence in communities through improved technology and supports collaborative projects, which attract additional grant funding from the Home Office.

The Reserves Strategy is based upon a pay back of reserves in the following year to their use where that use is pre-planned in the short-term planning. This allows us to maintain an acceptable and reasonable level of reserves which can then be used for the unforeseen events, such as efficiency plans not reaching their planned targets and revenue expenditure budget being overspent at year end. There is also a possibility that these reserves will be needed to meet the future funding gaps that have yet to be bridged and other one-off expenditure items such as litigation.

5. Financial Implications and Budget Provision

Theses have been detailed within the attached reports.

6. Human Resources Implications

These have been detailed within the attached reports.

7. Equality Implications

None

8. Risk Management

There are risks around the achievement of continuous cuts to the scale detailed within the attached reports. And as the budget reduces the chance of potential overspend increases. This is monitored and reported throughout the year to the Strategic Resources and Performance meetings and wherever possible mitigating action is taken.

9. Policy Implications and links to the Police and Crime Plan Priorities

This budget is linked closely to and in support of the achievement of the Police & Crime Plan priorities.

10. Details of outcome of consultation

Consultation has been undertaken and is detailed within the Precept Report attached.

11. Appendices

  a. Precept Report 2015-16
  b. Budget Report 2015-16
  c. MTFP
  d. Capital Programme
  e. Reserves Strategy
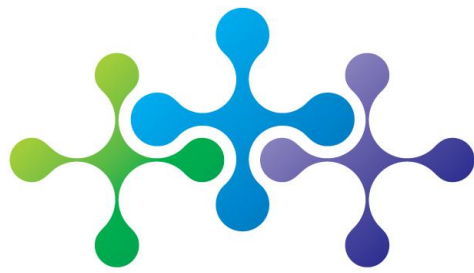
Nottinghamshire
POLICE & CRIME COMMISSIONER

Precept 2015-16

January 2015

The Police & Crime Commissioner's

Precept 2015-16

The Nottinghamshire Police & Crime Commissioner is proposing a precept increase of 1.98% for the 2015-16 financial year.

This supports the budget report and the commitment to Rural Crime initiatives and Victims Services, a duty transferred to the Commissioner by the Ministry of Justice during 2014-15. Further priorities include crime prevention and partnership working, both vital to community safety.

The current Comprehensive Spending Review (CSR) period has been difficult with major cuts in grant funding, whilst costs continue to increase. The next CSR is not looking any better with a further anticipated cut in funding of over 20%. The Budget Report and the Medium Term Financial Report on today's agenda details further the plans for 2015-16 and the potential risks relating to the efficiencies that need to be achieved.

The detailed budget for 2015-16, the Medium Term Financial Plan, the Reserves Strategy, the 4 Year Capital Programme and the Treasury Management Strategy are provided for information purposes to the Police & Crime Panel. These have been drawn together to support the Police and Crime Plan, which has been refreshed and which the panel have received and which is currently out for consultation.

This report, due to timing is based upon the latest tax base estimates provided by the billing authorities (actual where known): the billing authorities are not required to provide final tax base calculations and collection fund balances until 31st January. A breakdown of the final actual submissions will be tabled at the Police & Crime Panel Meeting.

When setting the budget and capital programme for the forthcoming financial year the Police and Crime Commissioner must be satisfied that adequate consideration has been given to the following:

- **The Government policy on police spending** – the current economic climate is improving and the forecast is promising. However, the Government policy continues to reduce public sector spending.
- **The medium term implications of the budget and capital programme** - the separate report sets out the Medium Term Financial Plan, which is regularly received and updated.
- **The CIPFA Prudential Code** - the separate Treasury Management Strategy report covers the CIPFA Prudential Code, which evaluates whether the capital programme and its revenue implications are prudent, affordable and sustainable. The implications of borrowing to finance the unsupported element of the capital programme are incorporated within the proposed revenue Budget for 2015-16 and the Medium Term Financial Plan.
- **The size and adequacy of general and specific earmarked reserves** - the current forecast of the general reserves at 31 March 2015 is £7 million which is higher than the minimum 2% level in the approved reserves strategy and is considered by the Chief Finance Officer to be an adequate level for the year ahead. The Chief Finance Officer considers that all of the earmarked reserves set out in the Reserves Strategy, are adequate to cover the purposes for which they are held and provide some robustness against the risks identified within the budget. The Chief Finance Officer also confirms that the budgeted insurance provision is fully adequate to meet outstanding claims.
- **Whether the proposal represents a balanced budget for the year** - the assurances about the robustness of the estimates are covered in **Section 8** of this report. The proposals within this report do represent a balanced budget based upon an assumed 1.98% maximum increase in the Police & Crime Precept on the Council Tax.
- **The impact on Council Tax** - this is covered in **Section 7** of this report.
- **The risk of referendum** – the limit set for requiring a referendum is a 2% increase on the precept for all Police and Crime Commissioners. The proposed increase of up to 1.98% is just below the limit set (further detail is provided in **Section 6**).

1.   **COUNCIL TAX BASE**

For 2015-16 the Billing Authorities have consulted on proposed changes to the local Council Tax Support Schemes introduced in 2013-14. There have not been any significant changes affecting the individual schemes, although collection rates have been higher than anticipated

The Billing Authorities are working hard to keep collection rates up and as a consequence all have seen an increase in estimated tax bases. This is also partly due to an increase in the number of new properties in each area.

The estimated tax base as notified by the unitary and district councils (Billing Authorities) has increased by 1.83% overall, slightly down on last year's increase of 2.06%. This information has to be confirmed in writing by 31 January, the statutory deadline.

Tax base	Band D Properties 2014/15	Band D Properties 2015/16	Change %
	No	No	
Ashfield	30,256.20	31,052.20	2.63
Bassetlaw	31,893.84	32,545.35	2.04
Broxtowe	32,188.65	32,400.60	0.66
Gedling	34,912.38	35,610.06	2.00
Mansfield	26,943.82	27,751.40	3.00
Newark & Sherwood	36,233.47	36,770.96	1.48
Nottingham City	59,949.00	61,047.00	1.83
Rushcliffe	39,373.00	39,923.10	1.40
Total	**291,750.36**	**297,100.67**	**1.83**

It is intended that any negative impact from a change between the estimated tax base and the actual tax base will be met from reserves.

2. COLLECTION FUND POSITION

Each billing authority uses a Collection Fund to manage the collection of the Council Tax. In 2014-15 this provided the Police and Crime Commissioner with a total surplus amount of £447,893. This was a particularly high and reflected better than anticipated collection rates. For 2015-16 the total figure has yet to be confirmed, but is not anticipated to be as high as last year. Those shown reflect what was declared at the time of writing this report. A breakdown is provided in the table below:

	Collection Fund	
Surplus/(deficit)	**2014-15**	**2015-16**
	£	**£**
Ashfield	62,867	114,087
Bassetlaw	57,929	
Broxtowe	26,288	
Gedling	57,966	
Mansfield	0	
Newark & Sherwood	0	
Nottingham City	147,589	
Rushcliffe	95,254	81,186
Total	**447,893**	**TBC**

It is intended that the surplus will be transferred to balances to contribute towards the request for use of reserves for the transformational change programme.

3.   **COUNCIL TAX FREEZE GRANT**

The Government continues to offer freeze grant equivalent to a 1.0% increase in the council tax. Consequently, the Police & Crime Commissioner has had to consider how taking the freeze grant with a short term benefit compares with a rise in the level of precept, and how each impact on the council tax paying people of Nottinghamshire.

The freeze grant would mean that the council tax payers would not see an increase in the police and crime element of their bills. However, the freeze grant will cease and therefore creates a further gap in balancing the income and expenditure of the OPCC in future years.

An increase in the precept in 2015-16 would see a long term benefit to the funding of the OPCC, but would also require the council tax payers to pay an additional £3.42 per annum (Band D equivalent properties).

Therefore, the freeze grant proposal for 2015-16 does not provide financial stability for the long term and consequently, the decision taken has been to increase the council tax charge.

4.   **COUNCIL TAX SUPPORT GRANT**

Council Tax Support Grant is received by Commissioners for each Policing area:

As part of the settlement announcement the Home Office has combined the payment relating to freeze grants with the amount previously identified as Council Tax Support. These will be treated outside the grant system as Legacy Council Tax Grants and total £9.7m for 2015-16. No change on the 2014-15 amounts.

5.   **CONSULTATION**

Consultation and Engagement Strategy

The Police and Crime Commissioner has a wide remit to cut crime and improve community safety in Nottingham and Nottinghamshire. Various consultation and engagement exercises were conducted last year to identify the relevant issues from communities to refresh the planning and prioritisation of policing and community safety. The consultation programme will not be fully completed until the beginning of February with any significant issues forwarded to the Police and Crime Panel for consideration.

Consultation with the Public, Stakeholders and Interested Parties

The Commissioner and his Deputy have consulted and engaged with members of the public, stakeholders and partner organisations to identify the priorities and supporting activities to be addressed for refreshing the Police and Crime Plan and setting the budget and proposing the precept levels. Throughout the last year the Commissioner and his Deputy have attended various meetings, local events throughout the summer, public meetings and walkabouts to engage and discuss local policing and crime concerns with individuals, communities and victims of crime.

Police and Crime Plan Priorities and Budget Consultation 2014/15

Consultation has been carried out on behalf of the Commissioner, which has included more than 4,000 views of residents from:

- Consultant led focus groups, one in Nottingham (City on the 25th November 2014), one in North Nottingham (Worksop on the 26th November 2014), one in South Nottingham (Bingham on the 27th November 2014), one with women (25th November 2014) and one with members of the BME community (14th January 2015).

- The Commissioner's online consultation questionnaire and supporting video on the Police's Delivering the Future proposals (September to November 2014).

- Evidence collected through Nottingham County Council Annual Residents Satisfaction Survey 2014 (October 2014) and the Nottingham City Crime and Drugs Partnership Annual Respect Survey.

- Academic led research from telephone surveys for the Partnership Plus Areas (November 2014 to February 2015).

Main findings being:

- There was overall support for having to remodel policing for Nottinghamshire 62% given the national context of austerity and on-going policing budget cuts, however, 82% did not support savings to local policing.

  Key areas for potential savings included:

  o Investing in preventing crime and early intervention through education and working with communities.

- o Joined up working with other agencies through multi-agency hubs, supported by training and information sharing, particularly for areas such as domestic violence, child abuse and other serious crime.

- o Support for collaboration with other forces.

- o General support for specialist investigative teams to assist with bringing more people to justice, and focusing on protecting vulnerable people against crime such as child sexual exploitation and domestic violence.

- o Support for victims of crime having a single point of contact throughout their journey.

- o General support for volunteering, with 86% having participated in volunteering over the last 12 months.

- o Increasing PCSO powers, or more Police Staff to ensure that Police Officers are utilised for jobs requiring warranted powers.

- o Reducing the number of senior policing ranks and the number of meetings Police Officers attend, find savings through enabling officers with improved technology and reducing bureaucracy to free them up to be accessible in their communities to focus on tackling local issues.

- o Savings to the Nottinghamshire Office of the Police and Crime Commissioner, 44% and 50% said no to reducing police support functions.

- • Respondents identified that they would be prepared to pay more for policing, 53% of respondents from the Residents Survey (with 14% responding maybe).

  Key areas to invest in policing included:

  - o There were concerns for closing police buildings, but general support for increasing visibility of officers 85%, with the Independent Advisory Groups 28%, 75% saying no to reducing policing time dealing with the public.

  - o Clearer communication with communities, particularly for reporting crime, also promoting the confidence to contact the police for less serious issues to pass on intelligence, but a clear definition of an emergency would be useful to promote together with the numbers to call other than 999.

- Acceptance that new communication and social media are important tools for policing, but should not be the only method of communicating with the public.

- Support for a named Police Officer for each area to improve response times.

- Support for spending more on drug and alcohol related crime and exploiting new technology to assist tackling some crimes.

- Victims focused

  - Recognised importance for offering restorative justice where appropriate, with specific emphasis on it needing to be victim led.

  - Concern that there needs to be an equitable distribution of resources across the City and County.

  - Improve road safety awareness and tackle illegal parking, 58% did not want any cuts to roads policing.

  - Three quarters (75%) of all respondents reported feeling safe (either very or fairly safe) in their local area when outside after dark.

  - Perceptions of anti-social behaviour being a very or fairly big problems being: noisy neighbours (4%/7%), groups of people hanging around the streets (5%/13%), rubbish or litter lying around (10%/16%), vandalism, graffiti and deliberate damage to property or vehicles (5%/11%), people being drunk or rowdy in public places (7%/9%), people using or dealing drugs (9%/11%), people being attacked/harassed because of their skin colour /ethnic origin/religion (1%/4%), abandoned or burnt out vehicles (0%/2%).

- Communicating with the Commissioner

  - Preferred method of obtaining information about the Commissioner, being through local newspapers and newsletters (20% and 23%).

  - Important business areas identified for review include:

    - Stop and search – very important (33%), important (46%).

    - Recruitment and retention of police officers – very important (59%), important (36%).

    - Hate crime related to disability – very important (47%), important (43%).

6. COUNCIL TAX REFERENDUMS

The Localism Act 2011 requires authorities including Police & Crime Commissioners to determine whether their 'relevant basic amount of council tax' for a year is excessive, as excessive increases trigger a council tax referendum. From 2012-13 onwards, the Secretary of State is required to set out principles annually, determining what increase is excessive. For 2015-16 the principles state that, for Police and Crime Commissioners, an increase of more than 2% in the basic amount of council tax between 2014-15 and 2015-16 is excessive.

For 2015-16 the relevant basic amount is calculated as follows:

Formula:

$$\frac{\text{Council Tax Requirement}}{\text{Total tax base for police authority area}} = \text{Relevant basic amount of council tax}$$

Nottinghamshire 2015-16 estimated calculation:

$$\frac{£52,408,588.19}{297,100.67} = £176.40 \quad (1.98\%)$$

With a 2% increase the Band D equivalent charge would be £176.44.

This year the Referendum limit has been announced at the time of settlement notifications. It has been set at 2% for 2015-16.

7. RECOMMENDATION ON THE LEVEL OF POLICE & CRIME PRECEPT ON THE COUNCIL TAX

As discussed in the Budget report resources have been allocated to support the police and crime plan. In assessing appropriate spending levels, consideration has been given to the significant unavoidable commitments facing the Police & Crime Commissioner including pay awards, and pension liabilities. Due regard has been given to the overall cost to the local council tax payer. Consideration has also been given to the projected value of the available reserves and balances and the medium term financial assessment (both reported separately).

The Commissioners proposed spending plans for 2015-16 result in a Police & Crime Precept on the Council Tax of £176.40 for a Band D property, representing an increase of 1.98%.

For comparison purposes the Council Tax for Precepting Authorities is always quoted for a Band D property. In Nottinghamshire by far the largest number of properties are in Band A.

To achieve a balanced budget with reduced grant income an increase in the Police & Crime Precept has been required. This is on top of significant budget reductions and efficiencies to be achieved in year.

The calculation of the Police & Crime Precept on the Council Tax is as follows:

	2014-15 Budget £m		2015-16 Budget £m		Increase/ Decrease £m	
Budget	193.8		191.2		2.6	(-)
External Income	143.3	(-)	136.5	(-)	6.8	(+)
Collection Surplus	0.5	(-)	0.0*	(-)	0.5	(+)
Reserves	0.5	(+)	2.3**	(-)	2.8	(-)
Precept	**50.5**	**(-)**	**52.4**	**(-)**	**1.9**	**(-)**
Council Tax Base	291,770		297,101		5,331	
Council Tax Band D	£172.98		£176.40		£3.42	
Council Tax Band A	£115.32		£117.60		£2.28	

'* Collection fund surplus/deficit unconfirmed at time of writing this report so will be transferred to reserves
** £3.0m requested to balance the budget. Current estimate for precept collection is £0.7m over estimated, so will transfer excess to reserves.

The overall Police & Crime Precept to be collected on behalf of the Police & Crime Commissioner for 2015-16 is:

	£m	
Budgeted Expenditure	191.2	+
Less income from:		
Police & Crime Grant	126.8	(-)
Legacy Council Tax Grant	9.7	(-)
Collection Fund surplus	0.0	(-)
Net contribution to/from Balances	2.3	(-)
Police & Crime Precept on the Council Tax	52.4	(-)

The resulting precept and Council Tax levels derived from the measures contained in this report are detailed below:

Police & Crime element of the Council Tax

Band	2014-15 £	2015-16 £
A	115.32	117.60
B	134.54	137.20
C	153.76	156.80
D	**172.98**	**176.40**
E	211.42	215.60
F	249.86	254.80
G	288.30	294.00
H	345.96	352.80

Amounts to be raised from Council Tax in each billing authority area 2015-16:

	Precept amount to be collected £	Collection Fund Surplus/(Deficit) £	Total amount due £
Ashfield	5,477,608.08	114,087	
Bassetlaw	5,740,999.74		
Broxtowe	5,715,465.84		
Gedling	6,281,614.58		
Mansfield	4,895,346.96		
Newark & Sherwood	6,486,397.34	0	
Nottingham City	10,768,690.80		
Rushcliffe	7,042,434.84	80,186	
Total	**52,408,558.19**	**TBC**	

Collection Dates

The dates, by which the Commissioners bank account must receive the credit in equal instalments, otherwise interest will be charged.

£

2015
20 April
29 May
01 July
05 August
10 September
15 October
19 November

2016
04 January
05 February
11 March

TBC

8. **ROBUSTNESS OF THE ESTIMATES**

The Chief Finance Officer to the Police & Crime Commissioner has worked closely with Head of Finance & Business to ensure assurance on the accuracy of the estimates can be provided. There have been weekly meetings between the Commissioner, Chief Constable and their professional officers.

The budget proposed within this report represents a balanced budget. To achieve this, the force has provided detail on how efficiencies and savings will be delivered. There are some potential risks to the full amount of savings being achieved and should this be the case reserves may need to be used to smooth the implementation of change. The Force will work hard to achieve required reduction of £11.0m and this will be monitored by the Commissioner.

The balanced budget is based upon the recommended 1.98% increase in Council Tax for 2015-16.
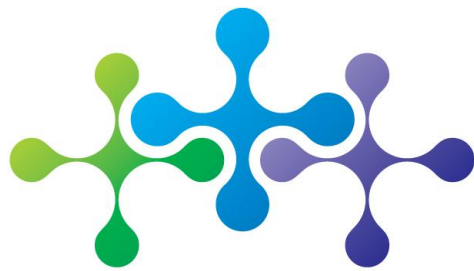
Budget 2015-16

January 2015

INTRODUCTION

Since setting his first budget for 2013-14, which was itself challenging, the pressure on the Commissioner's budget has increased substantially. In 2014-15 alone a budget gap of £12.7m needs to be met.

The Government grant continues to be reduced while; any precept increase is restrained by the referendum limit. The position is exacerbated by the inevitable increase in core costs.

Since 2010-11 funding Nottinghamshire has seen its funding reduced by over £42m and in December 2014 it was confirmed that next year's policing grant will be cut by a further 5.1%. Taking inflation into account, this equates to a loss of approximately £10m in Nottinghamshire.

Despite this much has been achieved:

- Real progress is being made with the implementation and review of plans to tackle challenging areas of performance.
- Reductions continue in key areas such as burglary, robbery and vehicle crime.
- The Force is implementing its far-reaching 'Delivering the Future' change programme, focusing on how it can improve every area of the business to become more efficient and effective.
- There is evidence that the introduction of the Crime Resolution and Incident Management team is reducing demand on resources, thereby benefitting communities through the provision of increased frontline capacity.
- The Commissioner and Force have been working closely with regional forces and local partners to reduce cost and maintain service provision. Pivotal to this is the development of a single IT system (with Leicestershire, Lincolnshire and Northamptonshire forces) to enable the sharing of, and access to, information from almost anywhere in the region.
- Successful bids for funding from the Home Office Innovation Fund have seen progress in collaborative projects focussing on the benefits delivered by new technology, including Rapid DNA testing, the introduction of Body Worn Cameras and a Virtual Courts System.
- Nottinghamshire Police has been commended by HMIC for its strong focus on reducing offending and supporting victims.
- Victim satisfaction and public confidence has improved significantly over recent years and work to further embed the Victims' Code of Practice is continuing, overseen by the Deputy PCC.
- Performance continues to improve over the longer term, but recorded crime has increased over the last 12 months.
- Resources provided to local partners and third sector organisations via the Commissioner's own funding streams are delivering real improvements in the support provided to victims; tackling issues such as domestic abuse, sexual exploitation of young people, hate crime

and alcohol-related problems; and the reduction of crime and ASB within our communities.

- During the year the Commissioner became an early adopter for Victims Services, taking over responsibility for commissioning services to deliver this important role. The work to improve the service delivered to victims will continue to develop as newly designed services are commissioned and embedded.
- A focus on early intervention and crime prevention is designed to see demand for services reduced.
- Building on previous years' work listening to rural communities, this year's budget also recognises the importance of rural crime and crime in rural areas, with plans in place to ensure these communities feel that they have sufficient protection.
- The importance of resourcing high crime areas appropriately, with partners, is recognised and work strands are underway to ensure such areas are resourced effectively with key partners.
- The importance of appropriate care for those in mental health crisis has been acknowledged by a wide range of partners, all of whom have signed up to the Mental Health Concordat. To the end of November 2014 there was been a 46% reduction in the number of non-crime related mental health patients detained in the Force Custody Suites.
- Three quarters (75%) of all respondents to the Nottinghamshire Residents Satisfaction Survey reported feeling safe (either very or fairly safe) in their local area when outside after dark.
- Plans to redesign the police estate to make it more suitable for modern day needs are being implemented, reducing overheads and driving modernisation. In turn this work will increase officer visibility as the adoption of new technology becomes more widespread.
- Roughly 50% of local residents responding to surveys and questions have indicated that they are prepared to pay more towards policing.

Throughout the year the Commissioner and the Deputy PCC have been out and about throughout the City and the County meeting and listening to members of the public, stakeholders and partners. The feedback from these visits helps to shape the refreshing of the Commissioner's Police and Crime Plan, for which this budget seeks to provide the appropriate resources.

The budget gap of £11m is being met through efficiencies identified by the force, which also include savings from regional collaboration, and the transformational change programme 'Delivering the Future'.

While a large percentage of these savings will be delivered in-year, more work is needed. The risks relating to the delivery of these efficiencies relate to dependency on regional partners; the rate at which change can be delivered; and the ability of the force to drive the full level of efficiencies needed in-house. Later on in this report, the proposed way forward is discussed in more detail.

1. __BUDGET 2015-16__

The Commissioner is continuing to manage further reductions in funding for the current Comprehensive Spending Review (CSR) and the probable reductions in funding in the next CSR. This budget is based on this premise and has to be taken within the context of the longer term plans of the Commissioner.

1.1. Provisional Funding Levels

The provisional funding levels have been set by the Home Office and the Department of Communities and Local Government. This anticipated funding is shown below.

Provisional Funding 2015-16	2015-16 £m
Core Grants and Funding	
Police & Crime Grant	(126.8)
Council Tax Legacy Grant	(9.7)
Sub-total Core Grants	**(136.5)**
Precept	**(52.4)**
Collection Fund (surplus)/deficit	
Total Funding available	**(188.9)**

Final confirmation of grant settlement will be laid before Parliament in February. It is not anticipated that there will be any changes.

The Referendum Limit was announced at the same time as the provisional settlement and is set at 2% for 2015-16.

There is an estimated £3.0 million required from reserves to finance one-off expenditure relating to the programme of transformational change to deliver medium to long term savings.

The precept figure above assumes that the Police & Crime Panel support the Commissioners decision to increase precept by 1.98%.

The Commissioner has written to the Home Secretary in relation to single year settlements affecting our ability for medium and long term financial planning and in relation to the amount of grant withheld in the floors mechanism.

The total from precept and surplus/deficit on the collection fund has to be confirmed. Current estimates show potentially an additional £0.7m to be achieved from precept. This will be contributed towards reserves together with the net surplus or deficit on the collection fund.

1.2 Summary Expenditure

The Commissioner is required to set a balanced budget each year for the following financial year.

With a reduction in grant income of 5.1% and increased pressures from inflation, pay awards and new responsibilities this inevitable means efficiencies have to be identified and delivered in order to balance the budget.

Expenditure 2015-16	2015-16 £m
Previous Expenditure	191.8
In year increases	8.4
Transformation Programme costs	2.0
Sub-total Expenditure	**202.2**
Efficiencies	(11.0)
Use of Reserves	(3.0)
Total Net Expenditure	**188.2**

Inflation increases account for £2.9m of the in year increases above. This is detailed further in the sections relating to expenditure.

Further detail on expenditure and efficiencies is provided later within this report.

At the time of writing this report we had submitted bids for Innovation Fund financing from the Home Office, building on successful bids in the previous two years and the transformational work underway. We will be notified in March as whether our local and regional submissions have been successful.

2. <u>Budget breakdown</u>

Annex 1 details the proposed expenditure budget for 2015-16. The proposed revenue budget is £188.2m.

Net Expenditure Budget	2015-16 £m	Note
Employee	158.8	2.1
Premises	6.0	2.2
Transport	5.9	2.3
Supplies & Services	14.1	2.4
Agency & Contract Services	11.3	2.5
Pensions	4.5	2.6
Capital Financing	6.3	2.7
Income	(4.7)	2.9
Efficiencies	(11.0)	3.2
Use of Reserves	(3.0)	2.8
Total Net Expenditure	**188.2**	**Annex 1**

2.1 Employee Related Expenditure

Despite the fact that the budget has been reduced by 20% since 2010 the Police and Crime Commissioner has continued to recruit Police Officers and PCSO's. However, Officers continue to leave the Force at a faster pace than anticipated and the predicted impact of a further 20% reduction in funding over the next CSR means that Officer numbers will reduce.

To ensure that this reduction is managed effectively a team has been set up to design and implement a new policing model. Where warranted officers are not required civilians will perform the tasks (e.g. investigators and prisoner handling). This will ensure that local policing remains the top priority.

A pay award has been included in the budget at 1% payable from 1st September each year. Employee expenditure accounts for approximately 80% of the total expenditure budget.

Annex 2 details the budgeted staff movement between the current year and 2015-16. Annex 3 details the budgeted police officer, police staff and PCSO numbers for 2015-16.

2.2 Premises Related Expenditure

Over the past few years the Commissioners estate has been reduced in order to achieve efficiencies, but also to ensure resources are allocated based upon need and to facilitate planned changes in working arrangements. Such changes will include remote working through better technologies ensuring officers are in the communities and not stations and hot-desking to ensure optimal use of the space available.

Premises related expenditure includes the provision of utility services to those properties and these are elements of the budget that are adversely affected by inflation. For 2015-16 inflation for gas and electricity has been budgeted at 2.0%.

2.3 Transport Related Expenditure

The Force has in place a Public Finance Initiative (PFI) for the provision of police vehicles. This agreement ensures that there is always the required number of vehicles and driver slots. However, this is an expensive agreement and requires careful management to ensure the most advantageous service is obtained from the supplier. During the year negotiations with the contractor were successful in identifying areas where expenditure could be reduced and managed better.

2.4 Supplies and Services Expenditure

This category of expenditure captures most of the remaining items such as insurance, printing, communications, information technology (IT) and equipment.

Some of the IT systems that the Force uses are provided through national contracts that the Home Office recharge the Force for. A recent notification from the Home Office sees the total cost of these systems increasing substantially again and we have been informed that total police grant will be top sliced in future for this expenditure.

For all other expenditure an inflation factor of 2.0% has been applied in 2015-16.

2.5 Agency & Contract Services

This category of expenditure includes agency costs for the provision of staff, professional services such as internal and external audit and treasury management, and the costs associated with regional collaboration.

A breakdown of the costs associated with this classification is summarised below:

Analysis of Agency & Contracted Services	2015-16 £m
Agency Costs	0.6
Collaboration Contributions	6.7
Community Safety Grant	3.5
Other partnership costs	0.5
TOTAL	**11.3**

The costs associated with the use of agency staff have been a concern for sometime and going forward will need to be very carefully managed and reduced.

Regional collaboration is shown as a joint authority as this is the basis of the collaboration agreements. The region has been challenged to deliver savings from across those projects already in place. Nottinghamshire's element of the regional budget is £6.7m for 2015-16.

There are two major areas of transformation that will be delivered through regional arrangements. These relate to IT and Corporate services. Currently, Nottinghamshire is progressing on these areas with Northamptonshire and Lincolnshire. These are large scale changes that will require investment in order to be delivered.

2.6   Pensions

This category includes the employer contributions to the two Police Pension Schemes in place and to the Local Government Pension Scheme (LGPS) for police staff.

There are two areas of increasing costs in relation to pensions. These are the employer contribution to the LGPS and the increasing number of medical retirements of police officers.

The reduced contribution rate to police pensions will not be passed onto individual Forces as a benefit; instead there will be a reduction in police grant.

The impact of the change to employers' national insurance contribution rates for the state pension changes have been factored into the MTFP.

The budgeting for medical retirements remains an issue with the number of medical retirements and the associated costs increasing significantly above the original budget. .

2.7 Capital Financing Costs

This relates directly to the value of the capital expenditure in previous years. The proposed capital programme for 2015-16 has been limited again and priority given to projects where collaborative commitment has been made (e.g. Innovation fund projects). This will assist in managing down the capital costs in the future. Slippage from this financial year will also need to be prioritised.

Currently, market rates are favourable and therefore the cost of borrowing is low. However, our advisors predict an increase in rates commencing in 2015-16.

2.8 Transformational Change Programme

Transformational change will be needed to balance future budgets. The Force have commenced on a programme to deliver this change through Delivering the Future project, which will design how the service will look in 2020 and the changes needed to achieve this. A team has been created to deliver this from experienced and knowledgeable staff and officers in the Force. Consequently, there is a need to temporarily back fill such posts. This is one-off additional expenditure and therefore it is appropriate that the cost will be met from reserves.

2.9 Income

This is not a major activity for the Force. Income is currently received from other grants (e.g. PFI and Counter Terrorism), re-imbursement for mutual aid (where the Force has provided officers and resources to other Forces), some fees and charges (such as football matches and other large events that the public pay to attend) and from investment of bank balances short term.

3. <u>Efficiencies</u>

During this CSR the Force will have delivered £42m in efficiencies.

3.1 2014-15 Efficiencies

As part of the 2014-15 budget the following efficiencies were required in order to set a balanced budget.

Each year achieving cuts in expenditure becomes harder and this year the prediction is that there will be a shortfall of just under £1m against the required savings. Any shortfall will need to be met from budget underspends or reserves.

The table below details the efficiencies planned and the forecast position for 2014-15:

Efficiencies 2014-15	Original £m	Forecast £m
Collaboration	0.3	0.3
Procurement	1.3	0.9
Estates	1.4	1.0
Corporate Services	2.9	2.9
Fleet	0.2	0.4
Operational Efficiencies	0.0	0.0
Income Generation	1.2	0.8
Commissioners Office	0.1	0.1
Sub total	**7.4**	**6.4**
Collaboration	0.3	1.7
Local Policing	2.0	3.8
Systems re-thinking	2.0	0
Regional ICT	1.0	0
Sub total	**5.3**	**5.5**
TOTAL	**12.7**	**11.8**

3.2   2015-16 Efficiencies

In order to balance the budget for 2015-16 savings and efficiencies of £11.0m need to be delivered.

The efficiencies identified to deliver a balanced budget in 2015-16 are summarised in the table below:

Efficiencies 2015-16	£m
Collaboration	1.3
Procurement	0.8
Estates	0.3
Corporate services	1.9
Transport	0.8
Operational Efficiencies	1.4
Income generation	0.4
Total	**6.9**

Further Savings identified 2015-16	£m
Collaboration	0.5
Estates	0.1
Corporate Services	0.8
Operational Efficiencies	1.9
Commissioners Office	0.1
Other	0.7
Total	**4.1**

3.3   The Commissioner is of the view that achieving these efficiencies will be challenging. He has mapped out a programme of work and monitoring with the Force.

3.4   If these targets are not met the Commissioner will need to use reserves. But this is a one off solution.

3.5   The work with Northamptonshire, in setting up a Joint Police Business Support team, is now moving into implementation stages and should be in place for October 2015. There is now a real commitment to make progress quickly with regard to progressing the joint business support unit and IT strategy, which achieve a convergence and investment in new IT systems.

4.   External Funding

There is an assessment of the financial risk in respect of external funding currently provided.   In 2014/15 46 officers and 59 staff FTE's are funded through this external funding and are not added within the expenditure and workforce plans. This could be an additional pressure in 2015-16 and future years as funding pressures mount for partners.

If this external funding was to cease the Commissioner and the Chief Constable would consider the necessity for these posts and may decide not to fund from the already pressured revenue budgets.

2015-16 Commissioner's Total Budget (£m)

	Total Budget 2015-16
Payroll	
Police Pay & Allowances	103.1
Police Overtime	3.3
Police Staff Pay & Allowances	51.5
Police Staff - Overtime	0.4
Other Employee Expenses	0.5
	158.8
Other Operating Expenses	
Premises Running Expenses	6.0
Transport Allowances	0.7
Transport Costs	5.9
Equipment, Furniture & Materials	0.4
Expenses	0.1
Clothing, Uniform & Laundry	0.5
Printing & Stationery	0.6
Comms & Computing	5.9
Miscellaneous Expenses	2.2
Supplies & Services	3.7
Agency & Contract Services	11.3
Pensions	4.5
Capital Financing	6.3
	48.1
Total Expenditure	**206.9**
Income	
Special Services	(0.3)
Fees, Reports & Charges	(0.3)
Other Income	(3.9)
Other Operating Income	(0.2)
	(4.7)
Efficiencies	**(11.0)**
Use of Reserves	**(3.0)**
Total	**188.2**

Workforce Movements Budget 2014-15 v Budget 2015-16

	2014-15 Total FTE's	2015-16 Total FTE's	Movements FTE's
Police Officers			
Local Policing	1,393	1,306	(87)
Specialist Services	507	493	(14)
Corporate Services	43	42	(1)
Region	90	81	(9)
	2,033	**1,922**	**(111)**
Police Staff			
PCSO	329	253	(76)
Other Police Staff	1,268	1,221	(47)
	1,597	**1,474**	**(123)**
TOTAL	**3,630**	**3,396**	**(234)**

Workforce Plan FTE's

	2015-16				
	Local Policing FTE's	**Specialist Services FTE's**	**Corporate Services FTE's**	**Region FTE's**	**Total FTE's**
Police Officers					
Opening balance	1,393	507	43	90	**2,033**
Restructure	-	-	-	-	**-**
Retirement / Leavers	(87)	(14)	(1)	(9)	**(111)**
Recruitment	-	-	-	-	**-**
	1,306	**493**	**42**	**81**	**1,922**
Police Staff					
Opening balance	380	465	396	27	**1,268**
Restructure	-	-	(47)	-	**(9)**
Recruitment	-	-	-	-	**-**
	380	**465**	**349**	**27**	**1,259**
PCSOs					
Opening balance	329				**329**
Recruitment/ Leavers	(76)				**(76)**
	253	**0**	**0**	**0**	**253**
Opening Balance	2,102	972	439	117	**3,630**
Movement	(163)	(14)	(48)	(9)	**(196)**
Closing Balance	**1,939**	**958**	**391**	**108**	**3,434**

Medium Term Financial Plan

2015-16 to 2018-19

January 2015

Commissioners Medium Term Financial Plan

Introduction

This document is part of the overall financial framework of the Police & Crime Commissioner. It builds on the budget proposed for 2015-16 and incorporates plans to meet changes in available financing with the need to meet current and future commitments.

Within the current economic climate the Government has made significant reductions in public sector finances. The level of cuts that have been made to Government grants are set to continue in the short to medium term.

Within the current Comprehensive Spending Review (CSR) Nottinghamshire has had to deliver £42million in efficiencies in order to balance the budget and improve performance. Early indications are that similar levels of savings/cuts will be required over the next CSR period as the economic recovery will be very slow and prolonged.

This 20% reduction has a significant impact on Nottinghamshire as approximately 72% of budget funding comes from Grant. In 2013-14 Nottinghamshire also lost out on £10.5m in grant. This was due to receiving a flat rate decrease rather than the amount due under the Home Office funding formula. The loss of grant is no longer calculated by the government offices, but with further flat rate decreases on grant Nottinghamshire's loss will remain significant and at the £10m level. The funding formula itself is under review.

The remaining 28% of funding comes from precept (Council Tax). The referendum limit is subject to review annually and has been set at 2% for 2015-16. This together with no indicative budget figures for 2016-17 makes financial planning with any certainty difficult and unpicking decisions to cut service impossible to reverse at a later date.

Despite this the Police & Crime Commissioner has produced a Police & Crime plan, which has been refreshed to include the feedback and comments made by stakeholders, partners and the public over the last 12 months.

The Police & Crime Plan is built upon the following 7 strategic priorities:
- Protect, support and respond to victims, witnesses and vulnerable people.
- Improve the efficiency, accessibility and effectiveness of the criminal justice process.
- Focus on those priority Crime types and local areas that are most affected by crime and anti-social behaviour.
- Reduce the impact of drugs and alcohol on levels of crime and anti-social behaviour.
- Reduce the threat from organised crime.
- Prevention, early intervention and reduction in re-offending.
- Spending your money wisely.

Funding

This year introduces more changes to funding for policing in Nottinghamshire. These are summarised as follows:

1. The Grant from the Government has been cut by 5.1% in cash terms. This is slightly higher than estimated, but year on year is now very challenging to achieve, whilst retaining a fit for purpose Police Service.
2. The cost pressures that we are also seeing are also having an effect (i.e. pay wards of 1%, the impact of the Winsor review on Police pay and inflationary pressures) especially as the funding available continues to reduce.
3. At the time of writing this report the billing authorities had yet to declare any surplus or deficit on the collection fund accounts.
4. The Commissioner at a local level and regional level continues to bid for additional funding being allocated by the Home Office from the Innovation Fund. We have previously been successful in relation to bidding for this additional funding. It is envisaged that the projects it is funding will deliver significant savings to balance the budget in future years.
5. At the time of writing this report we had not received the settlement figures in relation to grant funding. If these are significantly different to those estimated this could increase our borrowing requirement and have a negative impact on the revenue budget.
6. During 2014-15 the Commissioner became an early adopter for the Commissioning of Victim Services. This service is under review and a new contract with provider(s) is due to be let for 2015-16.

The estimated funding for the Police & Crime Commissioner over the next four years is as follows:

	2015-16 £m	2016-17 £m	2017-18 £m	2018-19 £m
Police & Crime Grant	126.8	120.3	114.2	108.4
Council Tax Legacy Grant	9.7	9.7	9.7	9.7
Precept	52.4	53.4	54.5	55.6
Collection fund surplus/(deficit)				
TOTAL	**188.9**	**183.4**	**178.4**	**173.7**

Collection fund balances are unknown at this stage with declarations from billing authorities not being due until 31st January. If there is a net surplus this will be transferred to the Grants & Commissioning Reserve.

Investment

The Police & Crime Commissioner has made a promise to increase frontline policing. This budget is based upon a third year of recruitment to maintain the number of police officers, despite the significantly large number of leavers. Continued recruitment becomes ever more difficult as further cuts are made to funding.

The Commissioner has been investing in "Delivering the Future" a development programme within the force aimed at identifying how the service will be have to be delivered beyond 2020 with fewer resources available.

Investment is also being made at a regional level and collaboration is well established within the East Midlands. Many specialist policing services such as major crime, roads policing and serious and organised crime are provided through regional teams. Support services such as finance and human resources are also being developed for regional delivery.

At a local level investment is being made in working closer with partners (e.g. triage assessment at the first point of contact, making sure the right service is provided by the police or one of its partners – e.g. Mental Health).

The Commissioner has reduced the size of the police estate and invested in IT to ensure officers are out within our communities for longer.

Under the Commissioners wider remit of "and Crime" and Victims Services the Commissioner is investing in new ways of service delivery and crime prevention.

Savings and efficiencies

Over the current CSR efficiencies totalling £42m will be delivered. Early indications are that the next CSR will seek further cuts at similar levels (over 20%). All of this is becoming harder to achieve whilst maintaining the current level and quality of service.

The table below summarises the savings plans currently in place for the next two years:

Efficiencies	2015-16 £m	2016-17 £m
Collaboration	1.3	
Procurement	0.8	0.3
Estates	0.3	
Corporate Services	1.9	4.0
Transport	0.8	
Operational Efficiencies	1.4	
Income Generation	0.4	
Corporate Efficiencies	**6.9**	**4.3**

In addition to these efficiencies it is anticipated that the development programme and region will deliver the following savings:

Further Savings	2015-16 £m	2016-17 £m
Collaboration	0.5	
Estates	0.1	
Corporate Services	0.8	
Operational Efficiencies	1.9	
Local policing		5.0
Specialist Services		2.2
Commissioners Office	0.1	
Other	0.7	
Total Savings	**4.1**	**7.2**

Total Efficiencies and Savings	**11.0**	**11.5**

The Commissioner is conscious of the risks associated should the efficiencies and savings identified not be achieved in the year that they are required and that achieving them will be a challenge.

The Commissioner is mindful that should there be some slippage in implementing these efficiencies then some limited use of reserves may be required to smooth the implementation, but it envisaged that these would be repaid over the medium term.

Collaboration

The East Midlands region incorporates the policing areas of Derbyshire, Leicestershire, Lincolnshire and Northamptonshire with Nottinghamshire. This is a large region which has been collaborating for several years. Regional Collaboration has been developing and the Police & Crime Commissioners are keen for it to deliver more both financially and in performance terms.

Recently the region has made bids to the Home Office Innovation Fund some of which have been successful. This will ensure that the collaboration between Nottinghamshire, Northamptonshire and Lincolnshire will be able to pick up pace and will establish a joint business support unit and IT strategy, which achieve a convergence and investment in new IT systems. Some additional funding may be required from reserves.

Collaboration at a local level is also being developed this includes local authorities and other emergency services.

Expenditure

Traditionally expenditure budgets are incrementally changed from the previous year's net expenditure to allow for inflation and savings. During 2013-14 the Commissioner had an independent review of the base budget undertaken. This review identified some areas where further efficiencies might be delivered and provided assurance on the areas that the force was already reviewing.

The expenditure requirements of the Force and the Office of the Police & Crime Commissioner are continuously reviewed and monitored to ensure value for money. The role and responsibility of the Commissioner is to set a balanced budget assured that the force has robust systems in place for producing a full budget.

Officers, staff and PCSO's account for almost 85% of budgeted net expenditure and as such are a major asset for the organisation. The pace at which police officers, PCSO's and staff leave the organisation can fluctuate year on year, but this is budgeted for. Savings arise as officers retire at the top of the grade are replaced with new recruits on lower grades. The revenue budget report details the assumptions made for budgeting purposes.

Inflation and pay awards provide a significant cost pressure. This is constantly reviewed for accuracy.

Total Net Expenditure requirements are provided below:

	2015-16 £m	2016-17 £m	2017-18 £m	2018-19 £m
Previous year net expenditure	193.8	188.2	183.4	178.4
Net changes for pressures	8.4	10.9	3.7	1.8
Net expenditure requirement	**202.2**	**199.1**	**187.1**	**180.2**

Summary

In conclusion there are robust plans in place to deliver savings both locally and regionally.

There is still work to do to achieve the required savings plans through to 2020, but the work started on transformation should enable balanced budgets to be set.

There is still risk in relation to future grant settlements and a possibility that these may be cut by more than has been estimated.

The summary financial position is as detailed below:

	2015-16 £m	2016-17 £m	2017-18 £m	2018-19 £m
Policing element				
Net Expenditure	197.7	194.6	182.6	175.7
Savings efficiencies & reserves	(10.9)	(11.4)	(6.0)	(2.7)
sub-total	**186.8**	**183.2**	**176.6**	**173.0**
Grants & Commissioning				
Net Expenditure	4.5	4.5	4.5	4.5
Savings efficiencies & reserves	(0.1)	(0.1)	(0.1)	(0.1)
sub-total	**4.4**	**4.4**	**4.4**	**4.4**
Total net expenditure	**191.2**	**187.6**	**181.0**	**177.4**
Financing available				
Grants	136.5	130.0	123.9	118.1
Precept	52.4	53.4	54.5	55.6
Total Financing	**188.9**	**183.4**	**178.4**	**173.7**
Contribution (from)/to Reserves incl above	(3.0)*	(1.0)		
Further (savings) required		(3.2)	(2.4)	(3.6)

* The additional £0.7m from precept will be transferred to reserves once the estimates have been confirmed by the Billing Authorities.

The Commissioner is of the view that achieving the levels of efficiencies shown above will be challenging. He has mapped out a programme of work and monitoring with the Force. If these targets are not met the Commissioner has made it clear that the pace of recruitment will be slowed or stopped. Any slippage in the achievement of the efficiencies may result in the limited use of reserves. Where reserves are used it is expected that these would be repaid over the medium term.
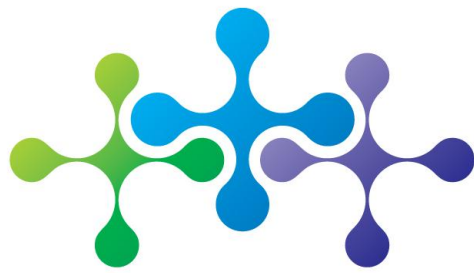
Nottinghamshire
POLICE & CRIME COMMISSIONER

4 Year Capital Programme 2015-2019

1.   <u>Introduction</u>

The Commissioner is supportive of capital expenditure which improves the efficiency and effectiveness of the service provided to the public of Nottinghamshire.

The majority of capital expenditure relates to the buildings and IT systems.

There is however, recognition that better purchasing power and consistency of capital purchases can be achieved through regional collaboration. Over the past few years this is one area that has developed. This has been supported by the Home Office with capital and revenue funding being made available through the Innovation Fund.

Estates
The money spent on estates is spent to maintain and refurbish the buildings that the Commissioner will be retaining. Over the past few years the number of properties owned has been reduced to reflect need and to generate valuable revenue savings, which will be used to provide local policing.

Some of the savings made from the reduction in the estate have been used to provide other solutions to maintain a police presence within the communities we serve. This includes better mobile IT equipment.

Closure does not always mean a reduction in access to service or police visibility. Wherever, possible local solutions such as co-location are sought and this has resulted in bases in local authority buildings and shops. This is something that will continue to be explored. .

ICT
Investment in IT solutions is key to ensuring officers remain out in the neighbourhoods and not stuck behind desks within stations. Investment in software and hardware that facilitates the efficiency and effectiveness of the service is also a key reason to collaborate across forces. Common IT systems will enable crime investigations to be more effective and back office services to be more efficient.

The discussion with Northamptonshire (and Lincolnshire) Police and Crime Commissioners is at an advanced state. A joint business support unit should be operational by October 2015 and is supported through an IT strategy, which will achieve a convergence and investment in new IT systems.

Other Capital Expenditure

Smaller items of expenditure include (consistency in capitalisation) Body Armour, storage for evidence and firearms. It is essential that during times of change we continue to invest in essential items for continued service delivery.

Regional capital Expenditure

There are several regional programmes in place of which 5 currently have capital implications. There is grant funding available for some of these projects through the Innovation Fund. Where Nottinghamshire is the lead on a project the full cost of the project is shown. Contributions from partners and the Government are shown within financing. There are cashflow implications between the date of incurring the expenditure and receiving the contributions.

2.   Capital Programme 2015-16

The Capital budget for 2015-16 builds upon the existing 4 year capital programme and considers new business cases for proposed schemes. Slippage from the 2014-15 capital programme is currently estimated at £6,625k into 2015-16. The slippage will be subject to change by the end of the year.

The proposed programme is included in **Appendix A**.

3.   4 year Capital Programme

The proposed programme for the next four years is also provided in **Appendix B.** This is only indicative at this stage and will be subject to detailed business case and affordability.

4.   Financing

Capital expenditure is financed from capital grant, capital receipts, internal and external borrowing.

In general terms we receive approximately £1.8million in capital grant allocations each year. Capital receipts fluctuate depending on which property is up for sale and how desirable the building is. Capital receipts are utilised to reduce MRP charges to the revenue account so are offset against short life

assets in the year after receipt. Capital grant and capital receipts can only be used for capital expenditure purposes.

Borrowing makes up the majority of financing and some of our historical expenditure is financed internally from balances (eg reserves and provisions), but this is reducing as the economy improves and bank transactions stabilise. External borrowing is taken at the best time to take advantage of the low rates for short to medium term borrowing. It is anticipated that interest rates will start to increase in the Autumn 2015. More information on this is included within the Treasury Management Strategy, which is a separate report on today's agenda.

Capital Expenditure has revenue implications; generally these have the initial impact in the year after the capital project is completed. These costs reflect repaying the capital sum (minimum Revenue Provision - MRP) and an interest cost. MRP is paid back over the estimated life of the asset. Other revenue implications include licences fees and other associated costs.

2015-16 Capital Programme	Slippage from 2014-2015 £000	Revised Budget with slippage 2015-2016 £000	Total Budget £000	Project Details
ASSETS ORIGINAL SCHEMES				
Access Control Improvement Works	363	363	363	To replace police keys and locks as well as swipe card readers at gates and buildings to ensure adequate security in the estate
Arrow Centre Conversion		80	80	Final payment in the 5 force forensics centre
Biomass Boilers	159	159	159	To install biomass boilers to reduce energy costs
Bircotes Information Centre	12	12	12	Closure of Harworth and move into Bircotes, this is a retention fee for works done.
Bridewell Refurbishment		0	0	Business case is being revised
Broxtowe Refurbishment	230	230	230	Refurb in line with DtF and improving working conditions
Bunkered Fuel Tank Works	225	225	225	To resite and decommission some fuel tanks in line with DtF and the environmental issue
Custody Improvements		25	75	Retainer fees
Cyber Crime Unit		278	278	Moving the Cyber Crime unit to FHQ - Phase 3 rationalisation
Eastwood Police Station Replacement		0	870	Business case is being revised
Energy Initiatives				Separate business cases have been submitted
FHQ Gym & shower improvements	0	0	400	To improve conditions for staff
FHQ Kennels	570	570	570	Business case is being revised to see if costs can be reduced
FHQ Re-surfacing of roads & car parking		100	200	To improve quality of the estate
FHQ Relocation of control Rm/Conf/Stores/Pizza		1,278	2,278	To improve the effectiveness of control room and CRIM in working together
FHQ Relocation of Digital Investigation Unit		142	147	Moving DIU to FHQ - Phase 3 rationalisation

Ollerton House demolition	20	20	20	Health and safety risk as the house is falling down and would cost a significant amount to get fit for purpose and it's not really needed now.
Ollerton Police Station Refurb	25	25	25	In line with improving the estate
Radford Rd Kitchen & rest room		50	50	Refurb in line with DtF and improving working conditions
Radford Rd Toilet & Tea point refurbishment		100	100	Refurb in line with DtF and improving working conditions
Retford Shared Service base		186	186	In line with DtF plans
Sundry minor & emergency works		150	450	Emergancy reactive fund
West Bridgford 1st floor refurbishment		300	300	In line with DtF plans
Worksop Shared Service Base		0	0	Plans on hold
TOTAL	**1,604**	**4,293**	**7,018**	

ASSETS NEW SCHEME REQUESTS

Access Control Improvement Works		100	100	As above - extra monies requested as costs came in more than initial findings
Ollerton House demolition		10	10	As above - extra monies requested as the electrical work is more complicated than expected
Automatic Gates & Barrier Replacements - various sites		0	200	Some barriers are coming to end of life and require a lot of repairs, this is to address that and the security issue of them not being in operation
Fire Alarm panel replacements		0	45	Parts are becoming obsolete which can leave some stations vulnerable
Fixed Electrical works - various sites		0	40	Parts are becoming obsolete which can leave some stations vulnerable
Forensic Drying Cabinets - various sites		0	20	Regulation changes in the requirements coming into affect
Generators & associated equipment to be replaced		0	15	Parts are becoming obsolete which can leave some stations vulnerable in business continuity
HQ Replacement of external street lighting		0	160	Replace faulty lighting and wiring, with LED lighting which will save costs in electric but have not yet been identified how much will be saved per annum
Bulwell Police Station - Refurb		150	150	Refurb in line with DtF and improving working conditions

Oxclose Lane - Refurb			450	850	Refurb in line with DtF and improving working conditions
Sir John Robinson House			0	0	Council have pulled out of the project
Carlton - EMAS Community station			100	100	Accommodation share with EMAS, save on running costs
Newark - Create Open Plan Space			0	600	In line with improving the estate
M/Woodhouse Air handling Replacement			0	45	Faulty parts
Mansfield - Create Open Plan Space			0	1,800	In line with improving the estate
Lift Replacement - Mansfield & Radford Rd			0	110	Faulty parts
Byron House - Central Relocation			980	980	In line with DtF plans and phase 3 rationalisation
Building management system replacement (BMS)			0	370	Replace BMS controls to increase energy efficiency, there will be savings but these haven't yet been quantified
New Scheme Total	**0**		**1,790**	**5,595**	
Assets Revised Total	**1,604**		**6,083**	**12,613**	
IS ORIGINAL SCHEMES					
Command & Control Replacement			0	150	To upgrade system
Control Room Move	678		678	678	as per estates rationalisation and improvements
Desktop Virtualisation	300		300	300	slipped from 2012/13 due to resources
Essential Infrastructure Upgrades	40		40	40	To enable change
ICCS Replacement			0	500	
Improvements to Digital Investigation Storage	564		564	564	Improving storage capabilities for DIU
Mobile Data	1,267		1,267	1,267	Mobile data project incorporating DtF and agile working practices
Network Infrastructure Improvements			0	350	To enable change
Regional ANPR	0		0	99	Traffic storage and enabling connectivity
Regional Desktop Email	75		75	75	Regional access to desktop - agile working
Regional LANDESK Merger	0		0	258	
Regional Project Storage (DIR)	120		120	120	Increase storage capacity
Ring of Steel ANPR Cameras			0	210	Traffic storage and enabling connectivity
SQL Server 2012	107		107	107	Upgrade
Storage Solutions			100	200	Increase storage capacity

Telephony Project	1,090	1,090	1,090	Refresh and upgrade telephony systems as current system at end of life and support
Migrate to PSN (public services network)	38	38	38	Moving from PNN to PSN due to national guidelines
IS TOTAL	**4,279**	**4,379**	**6,046**	
IS NEW SCHEME REQUESTS				
Essential Hardware, Software Refresh & Repairs		400	1,600	Renew and repair faulty hardware to continue working effectively
Enabling Change		400	1,300	To enable IS to respond quickly to initiatives, projects and operational needs that haven't been identified from the outset, such as DtF, SSL Laptops, Op Xeres
Migrate to PSN (public services network) - Extra funds required		110	110	Moving from PNN to PSN due to national guidelines
Data Domain Backup System		0	108	Backups for all force systems and disaster recovery
Intrusion - monitor & heal software		0	60	to block intrusions when ePortal comes into life
Cloud Networking Migration		0	300	Notts & Northants to share a MPCS system to help reduce costs approx £120k pa
Upgrade Audio Visual Equipment		0	50	To ensure equipment can support paperless meetings and agile working
Upgrade Control Room SICCS Workstations		0	290	Critical for Windows 7
System Centre Operation Manager		0	70	monitor current estate for issue to alert IS before a system breakdown
Sharepoint Portal		0	250	To enhance intranet collaboration and documentation
IS New Scheme Total	**0**	**910**	**4,138**	
Total IS Spend	**4,279**	**5,289**	**10,184**	

OTHER ORIGINAL SCHEMES				
Body armour		0	100	
COT team vehicles		0	50	
Non-driver slot vehicles	0	100	450	To purchase vehicles outside of the Vensons agreement
Equipment Contingency		0	60	
Evidence Storage - A & E	100	100	100	
Firearms Cabinets & Access Storage	50	50	100	
Northern Property Store Increased Storage	100	100	200	
OTHER TOTAL	**250**	**350**	**1,060**	
LOCAL CAPITAL TOTAL SPEND	**6,133**	**11,722**	**23,857**	
REGIONAL ORIGINAL SCHEMES				
Body Worn Video	492	492	492	
Niche	0	1,542	1,542	IT platform for better integration
MAIT		550	550	Multi-Agency Incident Transfer
EMOpSS		1,499	1,499	Regional Operational support service
PBS	0	382	382	Police Business Service - integration between Notts & Northants
Regional Total	**492**	**4,465**	**4,465**	
TOTAL CAPITAL PROGRAMME	**6,625**	**16,187**	**28,322**	

Capital Programme 2015-2019	Revised Budget with slippage 2015-2016 £000	2016-2017 £000	2017-2018 £000	2018-2019 £000	Total Budget £000
ASSETS ORIGINAL SCHEMES					
Access Control Improvement Works	363				363
Arrow Centre Conversion	80				80
Biomass Boilers	159				159
Bircotes Information Centre	12				12
Bridewell Refurbishment	0				0
Broxtowe Refurbishment	230				230
Bunkered Fuel Tank Works	225				225
Custody Improvements	25	25	25		75
Cyber Crime Unit	278				278
Eastwood Police Station Replacement	0	870			870
Energy Initiatives					
FHQ Gym & shower improvements	0	400			400
FHQ Kennels	570				570
FHQ Re-surfacing of roads & car parking	100	50	50		200
FHQ Relocation of control Rm/Conf/Stores/Pizza	1,278	1,000			2,278
FHQ Relocation of Digital Investigation Unit	142	5			147
Ollerton House demolition	20				20
Ollerton Police Station Refurb	25				25
Radford Rd Kitchen & rest room	50				50
Radford Rd Toilet & Tea point refurbishment	100				100
Retford Shared Service base	186				186
Sundry minor & emergency works	150	150	150		450
West Bridgford 1st floor refurbishment	300				300
Worksop Shared Service Base	0				0
TOTAL	**4,293**	**2,500**	**225**	**0**	**7,018**
ASSETS NEW SCHEME REQUESTS					
Access Control Improvement Works	100				100
Ollerton House demolition	10				10
Automatic Gates & Barrier Replacements - various sites	0	200			200
Fire Alarm panel replacements	0	45			45
Fixed Electrical works - various sites	0	30	10		40
Forensic Drying Cabinets - various sites	0	20			20
Generators & associated equipment to be replaced	0	15			15
HQ Replacement of external street lighting	0	160			160
Bulwell Police Station - Refurb	150				150
Oxclose Lane - Refurb	450	400			850

Sir John Robinson House	0				0
Carlton - EMAS Community station	100				100
Newark - Create Open Plan Space	0	600			600
M/Woodhouse Air handling Replacement	0	45			45
Mansfield - Create Open Plan Space	0	600	600	600	1,800
Lift Replacement - Manfield & Radford rd	0	110			110
Byron House - Central Relocation	980				980
Building management system replacement (BMS)	0	370			370
New Scheme Total	**1,790**	**2,595**	**610**	**600**	**5,595**
Assets Revised Total	**6,083**	**5,095**	**835**	**600**	**12,613**
IS ORIGINAL SCHEMES					
Command & Control Replacement	0	150			150
Control Room Move (as per business case agreed)	678				678
Desktop Virtualisation	300				300
Essential Infrastructure Upgrades	40				40
ICCS Replacement	0	500			500
Improvements to Digital Investigation Storage	564				564
Mobile Data - Consolidated F145,F122,F160,F120, F070 & F151	1,267				1,267
Network Infrastructure Improvements	0	350			350
Regional ANPR	0	99			99
Regional Desktop Email	75				75
Regional LANDESK Merger	0	258			258
Regional Project Storage (DIR) - Project slipped not cancelled as at 06/11/14	120	0			120
Ring of Steel ANPR Cameras	0	210			210
SQL Server 2012	107				107
Storage Solutions	100	100			200
Telephony Project	1,090				1,090
Migrate to PSN (public services network)	38				38
IS TOTAL	**4,379**	**1,667**	**0**	**0**	**6,046**
IS NEW SCHEME REQUESTS					
Essential Hardware, Software Refresh & Repairs	400	400	400	400	1,600
Enabling Change	400	300	300	300	1,300
Migrate to PSN (public services network) - Extra funds required	110				110
Data Domain Backup System	0	108			108
Intrusion - monitor & heal software	0	60			60
Cloud Networking Migration	0	300			300
Upgrade Audio Visual Equipment	0	50			50
Upgrade Control Room SICCS (Integrated communications) Workstations	0	290			290
System Centre Operation Manager	0	70			70
Sharepoint Portal	0	200	50		250
IS New Scheme Total	**910**	**1,778**	**750**	**700**	**4,138**
Total IS Spend	**5,289**	**3,445**	**750**	**700**	**10,184**

OTHER ORIGINAL SCHEMES					
Body armour	0	50	50		100
COT team vehicles	0	50			50
Non-driver slot vehicles	100	200	150		450
Equipment Contingency	0	30	30		60
Evidence Storage - A & E	100				100
Firearms Cabinets & Access Storage	50	50			100
Northern Property Store Increased Storage	100	100			200
OTHER TOTAL	**350**	**480**	**230**	**0**	**1,060**
LOCAL CAPITAL TOTAL SPEND	**11,722**	**9,020**	**1,815**	**1,300**	**23,857**
REGIONAL ORIGINAL SCHEMES					
Body Worn Video	492				492
Niche	1,542				1,542
MAIT	550				550
EMOpSS	1,499				1,499
PBS	382				382
Regional Total	**4,465**	**0**	**0**	**0**	**4,465**
TOTAL CAPITAL PROGRAMME	**16,187**	**9,020**	**1,815**	**1,300**	**28,322**
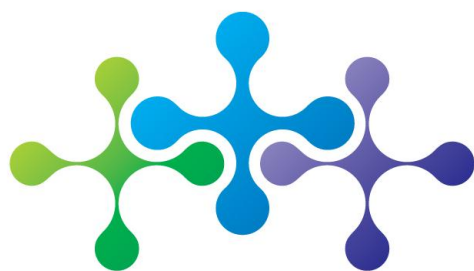
Reserves Strategy 2015-16

Reserves Strategy 2015-16

Background

1. The requirement for financial reserves is acknowledged in statute. Sections 32 and 43 of the Local Government Act require precepting authorities (and billing authorities) in England and Wales to have regard to the level of reserves needed for meeting estimated future expenditure when calculating the budget requirement.

2. In England and Wales, earmarked reserves remain legally part of the General Reserve, although they are accounted for separately.

3. There are other safeguards in place that help to prevent Police & Crime Commissioners over-committing themselves financially. These include:
    -   The balanced budget requirement (Local Government Act 1992 s32 and s43).
    -   Chief Finance Officers duty to report on the robustness of estimates and adequacy of reserves (Local Government Act 2003 s25) when the Police & Crime Commissioner is considering the budget requirement.
    -   Legislative requirement for each Police & Crime Commissioner to make arrangements for the proper administration of their financial affairs and that the Chief Finance Officer has responsibility for the administration of those affairs (section 151 of the Local Government Act 1972).
    -   The requirements of the Prudential Code
    -   Auditors will consider whether audited bodies have established adequate arrangements to ensure that their financial position is soundly based.

4. These requirements are reinforced by section 114 of the Local Government Finance Act 1988, which requires the Chief Finance Officer to report to the Police & Crime Commissioner if there is likely to be unlawful expenditure or an unbalanced budget. This would include situations where reserves have become seriously depleted and it is forecast that the Commissioner will not have the resources to meet its expenditure in a particular financial year. The issue of a section 114 notice cannot be taken lightly and has serious operational implications. Indeed, the Police & Crime Commissioner must consider the s114 notice within 21 days and during that period the Force is prohibited from entering into new agreements involving the incurring of expenditure

5. Whilst it is primarily the responsibility of the Police & Crime Commissioner and its Chief Finance Officer to maintain a sound financial position, external auditors will, as part of their wider responsibilities, consider whether audited bodies have established adequate arrangements to ensure that their financial position is soundly based. However, it is not the responsibility of auditors to prescribe the optimum or minimum level of reserves for individual Police and Crime Commissioners or authorities in general.

6. CIPFA's Prudential Code requires the Chief Finance Officers to have full regard to affordability when making recommendations about the Commissioners future capital programme. Such consideration includes the level of long-term revenue commitments. Indeed, in considering the affordability of its capital plans, the Commissioner is required to consider all of the resources available to it/estimated for the future, together with the totality of its capital plans and revenue forecasts for the forthcoming year and the following two years. There is a requirement for three-year revenue forecasts across the public sector and this is achieved through the Medium Term Financial Plan (MTFP). The Comprehensive Spending Review (CSR) has provided the Commissioner with details of proposed revenue grant for one year and capital grant settlement has yet to be announced. This provides limited ability to focus on the levels of reserves and application of balances and reserves.

7. CIPFA and the Local Authority Accounting Panel do not accept that there is a case for introducing a generally acceptable minimum level of reserves. Commissioners on the advice of their Chief Finance Officers should make their own judgements on such matters taking into account all relevant local circumstances. Such circumstances will vary between local policing areas. A well-managed organisation, for example, with a prudent approach to budgeting should be able to operate with a level of general reserves appropriate for the risks (both internal and external) to which it is exposed. In assessing the appropriate level of reserves, a well-managed organisation will ensure that the reserves are not only adequate, but also are necessary.

8. Section 26 of the Local Government Act 2003 gives Ministers in England and Wales a general power to set a minimum level of reserves for authorities. However, the government has undertaken to apply this only to individual authorities in the circumstances where the authority does not act prudently, disregards the advice of its Chief Finance Officer and is heading for serious financial difficulty. This would also apply to Police & Crime Commissioners. This accords with CIPFA's view that a generally applicable minimum level is appropriate, as a minimum level of reserve will be imposed where an authority is not following best financial practice.

Current Financial Climate

9. The pressures on public finances currently and for the medium term are intense. Therefore, the ability to retain reserves for unforeseen events and circumstances becomes not only difficult, but something that requires careful consideration.

10. Over the past few years the total amount held in reserves has increased due to year on year underspends. The amount now held in reserves is comparable with the national average. During 2014-15 an estimated £2m will be used from reserves in line with approvals made by the Commissioner during the year; with a further estimated £1m being required in to meet the shortfall in required efficiencies in year. It is currently anticipated that £3.0m will ie required to set a balanced budget for 2015-16.

11. The Medium Term Financial Plan identifies risks in achieving the required savings to ensure balanced budgets over future years. Specifically there are early indications that the next CSR will require managing the finances with a further 20% reduction in grant funding this will probably see the need for reserves to be used and managed effectively.

Types of Reserve

12. When reviewing the medium term financial plans and preparing the annual budgets the Commissioner should consider the establishment and maintenance of reserves. These can be held for four main purposes:
    - A working balance to help cushion the impact of uneven cash flows and avoid unnecessary temporary borrowing – this forms part of general reserves.
    - A contingency to cushion the impact of unexpected events or emergencies – this also forms part of general reserves.
    - A means of building up funds often referred to as earmarked reserves, to meet known or predicted requirements; earmarked reserves are accounted for separately, but remain legally part of the general reserve.
    - The economic climate and the safety of the Commissioner's financial assets. This would link closely with the Treasury Management and Prudential Code Strategy.

13. The Commissioner also holds other reserves that arise out of the interaction of legislation and proper accounting practice. These reserves are not resource-backed and cannot be used for any other purpose, are described below:

- The Pensions Reserve – this is a specific accounting mechanism used to reconcile the payments made for the year to various statutory pension schemes.

- The Revaluation Reserve – this is a reserve that records unrealised gains in the value of fixed assets. The reserve increases when assets are revalued upwards, and decreases as assets are depreciated or revalued downwards or disposed of.

- The Capital Adjustment Account – this is a specific accounting mechanism used to reconcile the different rates at which assets are depreciated under proper accounting practice and are financed through the capital controls system.

- The Available-for-Sale Financial Instruments Reserve – this is a reserve that records unrealised revaluation gains arising from holding available-for-sale investments, plus any unrealised losses that have not arisen from impairment of the assets.

- The Financial Instruments Adjustment Reserve – this is a specific accounting mechanism used to reconcile the different rates at which gains and losses (such as premiums on the early repayment of debt) are recognised under proper accounting practice and are required by statute to be met from the General Fund.

- The Unequal Pay Back Pay Account – this is a specific accounting mechanism used to reconcile the different rates at which payments in relation to compensation for previous unequal pay are recognised under proper accounting practice and are required by statute to be met from the general fund.

- Collection Fund Adjustment account – this is specific to the changes in accounting entries relating to the Collection Fund Accounts held by the Billing Authorities.

- Accumulated Absences Account – this account came into being with the implementation of IFRS and represents the value of outstanding annual leave and time off in lieu as at 31st March.

14. Other such reserves may be created in future where developments in local authority accounting result in timing differences between the recognition of income and expenditure under proper accounting practice and under statute or regulation, such as the Capital Grants Unapplied.

15. In addition the Commissioner will hold a Capital Receipts Reserve. This reserve holds the proceeds from the sale of assets, and can only be used for capital purposes in accordance with the regulations.

16. For each earmarked reserve held by the Commissioner there should be a clear protocol setting out:
    - The reason for/purpose of the reserve
    - How and when the reserve can be used
    - Procedures for the reserves management and control
    - A process and timescale for review of the reserve to ensure continuing relevance and adequacy

17. When establishing reserves, The Commissioner needs to ensure compliance with the Code of Practice on Local Authority Accounting and in particular the need to distinguish between reserves and provisions.

Nottinghamshire Police & Crime Commissioner's Reserves

18. This document aims to provide an over-arching strategy that defines the boundaries within which the approved budget and Medium Term Financial Plan (MTFP) operate.

The General Reserve

19. It has previously been established that General Reserves will be maintained at a level above the minimum of 2.0% of the total net budget.

20. The purpose of this reserve is to provide for any unexpected expenditure that cannot be managed within existing budgets. Such expenditure would be one-off and resulting from an extraordinary event.

21. Similarly the General Reserve should be set at a prudent and not excessive level, as holding high level of reserves can impact on resources and performance. As such the maximum level of General Reserves is 5.0% of the total net budget.

22. Authorisation to finance such expenditure must be obtained in advance from the Commissioners Chief Finance Officer, in accordance with the scheme of delegation and the protocol between the Chief Constable and the Chief Finance Officer. Where time permits the request should be supported by a business case.

23.   As the net budget position changes the level of General Reserve must be monitored to ensure the minimum level is maintained.

24.   **Appendix A** details the elements that make up the current General Reserves balance and the levels of risk attached to each of these elements. These are indicative and may not be exhaustive as new risks emerge. This does not include the Jointly Controlled Operations general reserve of £0.074m.

Earmarked Reserves

25.   Unlike General Reserves earmarked reserves have been identified for specific areas of expenditure where there are anticipated costs that can only be estimated. It is therefore prudent for the Commissioner to identify such areas of expenditure and set aside amounts that limit future risk exposure (e.g. balancing budget shortfalls in the MTFP).

26.   Such expenditure usually arises out of changes in policy or where the organisation is working in collaboration with other forces to provide a specific service (for example Public Finance Initiative (pfi)).

27.   Expenditure relating to earmarked reserves has to specifically relate to the purpose of the reserve.

28.   **Appendix B** details for each of the earmarked reserves that existed at the start of the 2014-15 financial year and their estimated balance by 31st March 2015.

Details of those available for use in 2015-16 are given below:

Medium Term Financial Plan (MTFP) Reserve

29.   The medium term financial plan of the Commissioner is under constant review and changes as new and reliable information becomes available.

30.   The original purpose of this reserve is to alleviate financial pressure on the budgets in future years.

31.   The support from this reserve is only one-off support and as such cannot be used to finance ongoing commitments.

32.   The previously agreed strategy for utilising this reserve has been reviewed in light of the Comprehensive Spending Review and as such this reserve will

now be utilised to finance the cost of organisational changes and as an investment to facilitate new savings. In addition to this the reserve will also be utilised smooth budget pressures as they arise.

33.   The Precept and Budget Reports that will be approved in February 2015 show a predicted under funding against budget of £0.9m in 2014-15 and a potential over funding against estimate of £0.7m in 2015-16. It is agreed that the MTFP reserve would meet the additional expenditure in 2014-15 and that the additional funding in 2015-16 will be transferred to reserves. All reserves will be utilised with the agreement of the Police & Crime Commissioner in the ways identified in this strategy and supported by a detailed business case.

34.   The Medium Term Financial Plan has a risk assessment in relation to achieving the efficiencies identified. As such this reserve may be used for balancing the accounts should the efficiencies not be realised. Before considering the use of reserves recruitment will need to be slowed down or stopped.

35.   **Appendix C** shows how the remainder of this reserve has been initially allocated over the next four years. It should be noted that there is a shortfall between budget and funds available in 2016-17, 2017-18 and 2018-19, which may require the use of reserves to finance all or part of the shortfall, depending on the level of further savings that can be achieved. No estimate has been included at this stage.

PCC Transition

36.   Initially this was set up as a prudent measure to cover the costs known and unknown associated with the transition from Police Authority governance to governance by the Police & Crime Commissioner. The costs were kept to a minimum and totalled £54k.

37.   Subsequently, this reserve is being used for Stage 2 transition costs. These are currently estimated to be £50k approximately.

Grants & Commissioning Reserve

38.   It is intended that underspends on the OPCC budget and the Grants and Commissioning budget are swept into here to provide for future needs in this growing area of work.

Public Finance Initiative (PFI) Reserve

39.   This is a reserve for the possibility of an extraordinary event relating to this significant contract. This is a prudent reserve to maintain.

Jointly Controlled Operations (Regional Collaboration) Reserve

40.   There are a growing number of areas where collaborative working is undertaken with other Regional Policing areas. EMSOU is providing collaboration for specialised policing services, such as Major Crime and Forensics. Collaboration has also extended beyond Police Operation Services to include areas such as Legal Services, Procurement and Learning and Development.

41.   The Police & Crime Commissioners meet to make decisions and agree further areas of collaboration. They would also approve the use of this reserve for regional activity.

42.   The reserve exists to finance activities of regional collaboration above those identified within the annual budget.

Property Act Fund Reserve

43.   This reserve relates to the value of property sold where the Commissioner can retain the income for use in accordance with the Property Act.

Drug Fund

44.   This reserve relates to a historical balance in the accounts and is money for initiatives that reduce drug related crime.

Revenue Grants

45.   This reserve combines the small amounts of grant income on completed projects where the grant conditions do not require repayment. Cumulatively they create a sizeable reserve. The use of this reserve will be subject to evaluation of any risk of repayment and the submission of a business case.

Animal Welfare Reserve

46.   This reserve was established to support the policy for the welfare of animals specifically police dogs on retirement as working animals. There is a panel which meet with representatives from the Vets and the Force and to approve any claims against this fund. Any approved expenditure relating to ongoing welfare as a result of work related injuries can then be paid from this fund.

Tax Base & Transition

47.   The timing of data for the production of the Police & Crime budget and precept is such that estimated tax base data will have to be used for the budget and precept report. Actual data from billing authorities is not required to be provided until 31st January. As a result the estimated precept to be collected may vary once the actual data is shown and use of this reserve negates the need to revise the budget breakdown.

48.   Despite the recent local reforms to the tax base collection rates have remained high.

49.   This reserve will also be used to finance the OPCC's contribution to Single Person Discount Reviews. These reviews are undertaken once every 3-4 years. Where the reviewer successfully identifies that the Single Person Discount is not applicable and the record remains unchanged for 6 months a fee is due to the reviewing company. No fee is paid for unchanged details or where there is a new application within 6 months at that property. This is a jointly commissioned piece of work between Billing Authorities and Precepting Authorities. The benefit is achieved in a higher tax base for the following year and this usually is far more substantial than the initial costs to cover the fees.

<u>Procedure for Use of Reserves</u>

50.   The use of reserves requires approval of the Chief Finance Officer to the Commissioner and the Commissioner.

51.   All requests should be supported by a business case unless there is an approved process for use, such as the Animal Welfare Reserve.

52.   On occasion where an urgent request is being made this should comply with the protocol between the Chief Constable and the Chief Finance Officer to the Commissioner.

Monitoring

53.   The level of Reserves is kept under continuous review. The Commissioner receives reports on the levels of reserves as part of the Medium Term Financial Plan updates together with the Annual strategy in January and the out-turn position in June each year.

Risk Analysis

54.   Any recommendations that change the planned use of Reserves reported within the Annual Budget and Precept Reports will take account of the need for operational policing balanced against the need to retain prudent levels of Reserves.

55.   However, there are significant risks, which affect the level of reserves to be maintained, and it is for this reason that a minimum level of 2% (with a maximum level of 5%) of total net budget has been set for the General Reserve.

56.   The significant risks that have been considered, but which will also be kept under review are:

- Current Employment Tribunals relating to A19.
- The budget monitoring report highlights potential risks in being able to achieve the required efficiencies and savings during 2014-15. This may need to be supplemented by the use of reserves to smooth budget pressure whilst transformational change delivers the savings.
- The ability to seek financial assistance from the Home Office for major incidents has been diminished and can no longer be relied upon.
- The need to finance organisational change and redundancies will have an impact on the use of reserves, although this is also reducing in value and risk.
- The ability to recover significant overspends by divisions and departments would be very difficult in the current financial climate.
- The instability of the Financial Markets means that the investments we make with balances are currently exposed to greater risk. This is negated by the Treasury Management Strategy, but returns on investment have reduced significantly.

- o The grant settlement within the current CSR has been extremely curtailed. There is also an indication of further significant cuts within the next CSR. There remains a gap in funding for the next 3 years and potentially beyond this.
- o Should the Commissioner and Force be faced with two or more of the above issues at the same time then the reserves may be needed in full.
- o Once utilised there is very little opportunity for reimbursing the level of reserves through precept due to referendum limits or grant, due to the impact it would have operationally.

CFO Opinion

It is my opinion that the current level of reserves whilst healthy are not excessive especially when compared with the averages level of reserves held within all local authorities and within the police and crime sector.

The CLG has published local authority data on levels of reserves as part of the LA Revenue Expenditure and Financing England series. This is shown below and compared with Police & Crime Reserves and Nottinghamshire Police & Crime Reserves.

Type	Highest		NOPCC 2015-16
General Reserves	Met 6%	Average all types of LA 5%	3.7%
Earmarked Reserves	Average all types of LA 16%	Shire OPCC 11%	8.8%

The reserves have grown within the past few years as the force went through a process of change during which time underspends against budget resulted. Tighter budget management means that underspends of this level are not likely; indeed the possibility of over spends against budget becomes a greater risk. This reflected by a reduction in the percentage of reserves held (9.3% previous year).

It will be probable that small levels of overspend will need to use of reserves to finance them. But this is not sustainable and the force will need to work hard to deliver against the programme of efficiencies.

STRATEGY REVIEW

This strategy will be reviewed annually and the Police & Crime Commissioners approval sought.

During the year changes may occur in the MTFP, which affect this strategy. Such changes will be monitored by the Chief Finance Officer and reported to the Commissioner for approval.

Charlotte Radford (CPFA)
Chief Finance Officer

Reserves Risk Assessment
2015-16

GENERAL RESERVE

RISK	IMPACT	PROBABILITY	Min £m	Max £m	Proposed for 2015-16 £m
Major Incident(s) Unbudgeted expenditure	Any amount under 1% of net budget is to be funded by the authority. Amounts over 1% of net budget are subject to Home Office application approval	Single Incident amounting to less than 1% of net budget. **Medium** Multiple incidents amounting to over 1% of net budget. **Medium** Single incident amounting to over 1% of net budget. **Low**	2.1	4.2	4.2
Major Disaster (e.g. natural)	Operation policing affected and resources diverted. (e.g. through building being inaccessible and disaster recovery plan being auctioned)	**LOW**	0.5	1.0	0.5
Partnership Support	Funding for posts and PCSO's withdrawn. This has also been risk assessed as part of the budget assumptions.	**Medium to HIGH**	0.5	4.6	1.2
Counterparty failure	If invested balances were tied up in a process to recovery there would be an immediate impact on the revenue budget (possibly short term).	**LOW**	0.5	5.0	0.5
Employment Tribunals and other litigation	Direct impact on revenue budgets	**LOW** (A19 will be met from the MTFP Reserve)	0.1	0.5	0.1
Insurance	Emerging Risks and late reported claims	To date no claims of this type have affected the accounts. **Low to MEDIUM**	0.3	0.7	0.5
TOTAL					**7.0**

Earmarked Reserves Assessment

RISK/RESERVE	PURPOSE	HOW AND WHEN IT WILL BE USED	Management and control	Review	Estimated Balance at 31.03.15 £m
Medium Term Financial Plan (MTFP)	To provide against financial shortfalls identified within the MTFP	Smoothing peaks and troughs in financing the MTFP	Chief Finance Officer & Commissioner	Minimum twice annually	11.184
PCC Transition	To cover cost associated with PCC transition and Stage 2 transition	During the year cost will be charged to a separate cost centre and will be charged to the reserve at year end.	Chie Finance Officer	Ongoing	0.405
Grants & Commissioning	To collate small balances within revenue accounts to provide funding for this growing area of work.	To meet specific requirements relating to Grants and Commissioning.	Chief Finance Officer	Ongoing	0.283
PFI reserve	To fund PFI related expenditure	Extraordinary event relating to the contract	Chief Finance Officer	Annually	0.258
JCO – Jointly Controlled Operations	To provide for unexpected expenditure relating to regional collaboration.	Decisions relating to the use of this fund follow the regional governance arrangements.	EM meeting of the PCC's.	Annually	0.948

January 2015

Property Act Fund	Income from the sale of property act confiscations	To be determined by the Police & Crime Commissioner	PCC and CFO	Annually	0.106
Drug Fund	For use in reducing drug related crime	To be determined by the Police & Crime Commissioner	PCC and CFO	Annually	0.064
Revenue Grants	Balances on grants not required to be repaid	To be determined by the Police & Crime Commissioner	PCC and CFO	Annually	2.954
Animal Welfare	To set up a scheme for animal welfare on retirement as working animals	Scheme to be established in 2013-14	Set up November 2012.	During the year	0.020
Tax Base	To iron out fluctuations caused between estimated and actual tax base data. Also to assist with risk relating to the removal of redistributed business rates in future years.	Annually to balance the budget. Every 3-4 years to finance Single Person Discount Review	Chief Finance Officer	Annually	0.230 **TBC**
TOTAL					**16.452**

Tables to show the use of General Reserves

	2015-16			2016-17			2017-18			2018-19		
	01.04.15 balance £m	Use in year £m	01.04.16 balance £m	01.04.16 balance £m	Use in year £m	01.04.17 balance £m	01.04.17 balance £m	Use in year £m	01.04.18 balance £m	01.04.18 balance £m	Use in year £m	01.04.19 balance £m
General Reserve	**7.000**	**0**	**7.000**	**7.000**	**0**	**7.000**	**7.000**	**0**	**7.000**	**7.000**	**0**	**7.000**
EMSOU general reserve	0.074		0.074	0.074		0.074	0.074		0.074	0.074		0.074
% of net budget	*3.7%*			*3.8%*			*3.9%*			*4.0%*		

Tables to show the use of Earmarked Reserves

	2015-16			2016-17			2017-18			2018-19		
Earmarked Reserves	01.04.15 balance £m	Use in year £m	01.04.16 balance £m	01.04.16 balance £m	Use in year £m	01.04.17 balance £m	01.04.17 balance £m	Use in year £m	01.04.18 balance £m	01.04.18 balance £m	Use in year £m	01.04.19 balance £m
MTFP	11.184	(3.000) +3.000	11.184	11.184	(1.000) +3.000	13.184	13.184	(0.002) +1.000	14.182	14.182	TBC	14.182
PCC Transition	0.405	(0.405)	0									
Grants & Commissioning	0.283	(0.043)	0.240	0.240		0.240	0.240		0.240	0.240		0.240
PFI	0.258	0.036	0.294	0.294	0.036	0.330	0.330	0.036	0.366	0.366	0.036	0.402
JCO	0.948		0.948	0.948		0.948	0.948		0.948	0.948		0.948
Property Act Fund	0.106		0.106	0.106		0.106	0.106		0.106	0.106		0.106
Drug Fund	0.064		0.064	0.064		0.064	0.064		0.064	0.064		0.064
Revenue Grants	2.954		2.954	2.954		2.954	2.954		2.954	2.954		2.954
Animal welfare	0.020	(0.001)	0.019	0.019	(0.001)	0.018	0.018	0.002	0.020	0.020	(0.001)	0.019
Tax Base	0.230		0.230	0.230		0.230	0.230		0.230	0.230		0.230
TOTAL	**16.452**	**(0.413)**	**16.039**	**16.039**	**2.035**	**18.074**	**18.074**	**1.036**	**19.110**	**19.110**	**0.035**	**19.145**

Please note at the time of this review there were gaps in balancing the budget for 2016-17, 2017-18 and 2018-19. These gaps may require use of the MTFP Reserve in order to set a balanced budget.

January 2015

For Information / Consideration	
Public/Non Public*	**Public**
Report to:	**Joint Audit and Scrutiny Panel**
Date of Meeting:	**12th February 2015**
Report of:	**Chief Finance Officer**
Report Author:	**Charlotte Radford**
E-mail:	
Other Contacts:	**Anita Pipes**
Agenda Item:	**6**

EXTERNAL AUDIT Plan 2014-15

1. Purpose of the Report

1.1 To provide members with the External Audit Plan for the 2014-15 Financial Year accounts.

2. Recommendations

2.1 Members are recommended to consider the report and the assurance that will be achieved from the work to be undertaken.

3. Reasons for Recommendations

3.1 This complies with good governance.

4. Summary of Key Points

4.1 The attached report details the work to be undertaken for the audit of the 2014-15 statement of accounts.

5. Financial Implications and Budget Provision

5.1 None as a direct result of this report.

6. Human Resources Implications

6.1 None as a direct result of this report.

7. Equality Implications

7.1 None as a direct result of this report.

8. Risk Management

8.1 None as a direct result of this report.

9. Policy Implications and links to the Police and Crime Plan Priorities

9.1   This report complies with good governance and financial regulations.

10. Changes in Legislation or other Legal Considerations

10.1   None

11.   Details of outcome of consultation

11.1   Not applicable

12. Appendices

12.1   Appendix A   -   External Audit Plan 2014-15.

External Audit Plan 2014/15

Police and Crime Commissioner for Nottinghamshire

Nottinghamshire Chief Constable

February 2015

KPMG

cutting through complexity

Contents

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This report is addressed to the Police and Crime Commissioner for Nottinghamshire and Chief Constable for Nottinghamshire (PCC and CC) and has been prepared for the sole use of the PCC and CC. We take no responsibility to any member of staff acting in their individual capacities, or to third parties. The Audit Commission has issued a document entitled *Statement of Responsibilities of Auditors and Audited Bodies*. This summarises where the responsibilities of auditors begin and end and what is expected from the audited body. We draw your attention to this document which is available on the Audit Commission's website at www.audit-commission.gov.uk.

External auditors do not act as a substitute for the audited body's own responsibility for putting in place proper arrangements to ensure that public business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively.

If you have any concerns or are dissatisfied with any part of KPMG's work, in the first instance you should contact Andrew Cardoza, the **appointed engagement lead to the PCC and CC audits, who will try to resolve your complaint. If you are dissatisfied with your response please contact Trevor Rees on 0161 246 4000, or by email to trevor.rees@kpmg.co.uk, who is the national contact partner for all of KPMG's work with the Audit Commission. After this, if you are still dissatisfied with how your complaint has been handled you can access the Audit Commission's complaints procedure. Put your complaint in writing to the Complaints Unit Manager, Audit Commission, 1st Floor, Fry Building, 2 Marsham Street, London, SW1P 4DF or by email to complaints@audit-commission.gsi.gov.uk. Their telephone number is 03034448330.**

This document describes how we will deliver our audit work for the Police and Crime Commissioner for Nottinghamshire and the Chief Constable for Nottinghamshire

Scope of this report

This document supplements our *Audit Fee Letter 2014/15* presented to you in April 2014. It describes how we will deliver our financial statements audit work for both the Police and Crime Commissioner for Nottinghamshire and the Chief Constable for Nottinghamshire ('the PCC and CC'). It also sets out our approach to Value for Money (VFM) work for 2014/15.

We are required to satisfy ourselves that your accounts comply with statutory requirements and that proper practices have been observed in compiling them. We use a risk based audit approach.

The audit planning process and risk assessment is an on-going process and the assessment and fees in this plan will be kept under review and updated if necessary.

Statutory responsibilities

Our statutory responsibilities and powers are set out in the *Audit Commission Act 1998* and the Audit Commission's *Code of Audit Practice*.

The Audit Commission will close at 31 March 2015. However our audit responsibilities under the *Audit Commission Act 1998* and the *Code of Audit Practice* in respect of the 2014/15 financial year remain unchanged.

The *Code of Audit Practice* summarises our responsibilities into two objectives, requiring us to audit/review and report on your:

■ *financial statements (including the Annual Governance Statement):* providing an opinion on your accounts; and

■ *use of resources:* concluding on the arrangements in place for securing economy, efficiency and effectiveness in your use of resources (the Value for Money conclusions).

The Audit Commission's *Statement of Responsibilities of Auditors and Audited Bodies* sets out the respective responsibilities of the auditor and the PCC and CC.

Scope of this report (continued)

The Audit Commission will cease to exist on 31 March 2015. Details of the new arrangements are set out in Appendix 4. The PCC and CC can expect further communication from the Audit Commission and its successor bodies as the new arrangements are established. This plan restricts itself to reference to the existing arrangements.

Structure of this report

This report is structured as follows:

■ Section 2 includes our headline messages, including any key risks identified this year for the financial statements audit and Value for Money arrangements conclusions.

■ Section 3 describes the approach we take for the audit of the financial statements.

■ Section 4 provides further detail on the financial statements audit risks.

■ Section 5 explains our approach to VFM arrangements work and sets out our initial risk assessment for the VFM conclusion.

■ Section 6 provides information on the audit team, our proposed deliverables, the timescales and fees for our work.
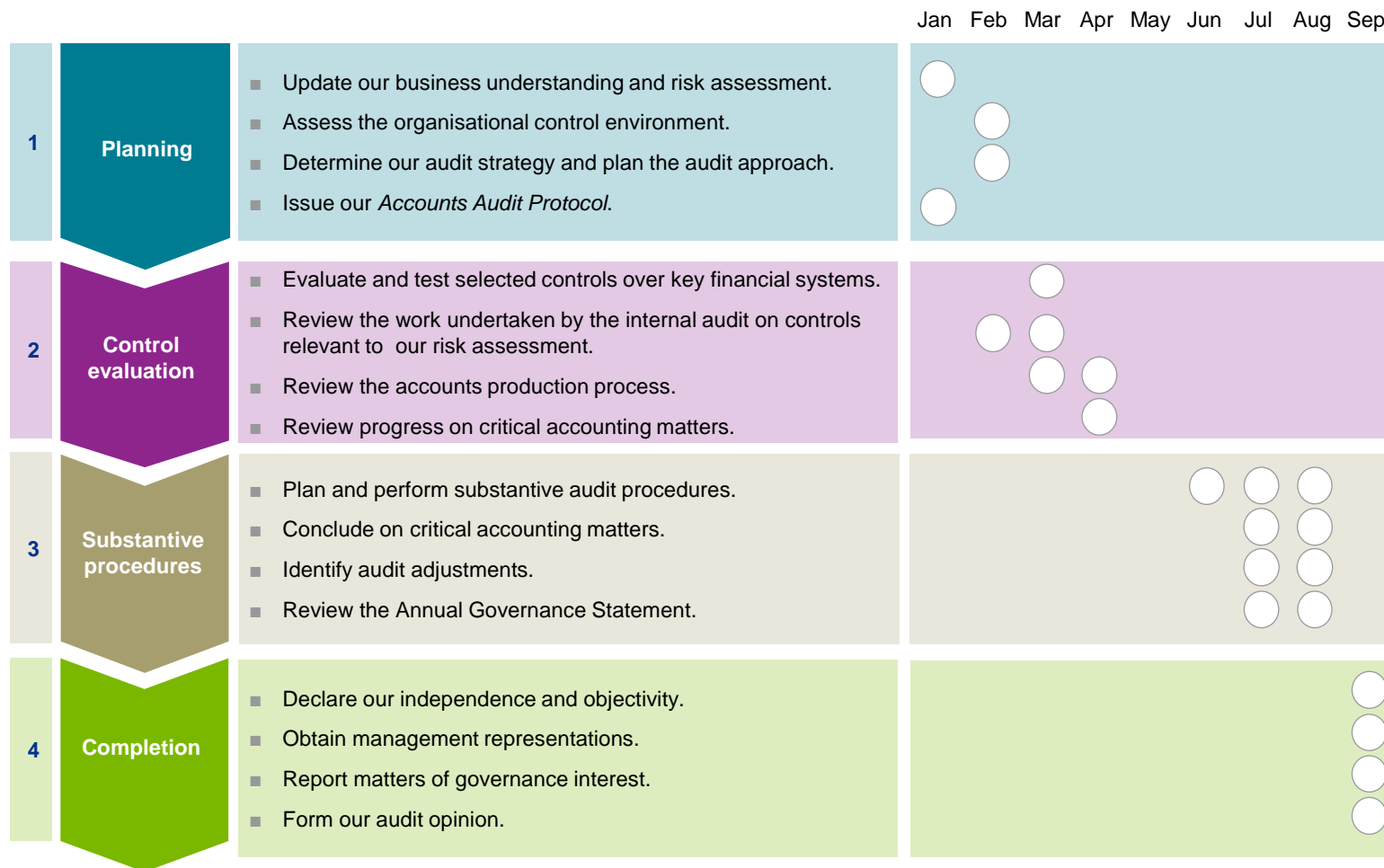
Acknowledgements

We would like to take this opportunity to thank officers and the Joint Audit and Scrutiny Panel for their continuing help and co-operation throughout our audit work.

Audit approach	Our overall audit approach remains similar to last year with no fundamental changes . Our work is carried out in four stages and the timings for these, and specifically our on site work, have been agreed with the Chief Finance Officer and the Head of Finance and Business. Our audit strategy and plan remain flexible as risks and issues change throughout the year. We will review the initial assessments presented in this document throughout the year and should any new risks emerge we will evaluate these and respond accordingly.
Key financial statements audit risks	We have completed our initial risk assessments for the financial statements audits and have identified the following significant risks: ■ Stage 2 Transfer – we will ensure that the transfer arrangements have been appropriately applied to the PCC and CC accounts. We will ensure that the appropriate staff and assets have been accounted for within the PCC and CC accounts. ■ A19 Tribunal - we will review the impact of the ruling and resultant accounting entries such as provisions and affordability. These risks are described in more detail on pages 10-12. We will assess the PCC and CC's progress in addressing these risk areas as part of our interim work and conclude this work at year end.
VFM audit approach	We have completed our initial risk assessments for the VFM conclusions and have identified 2 significant risks at this stage. ■ A19 Tribunal – we will review the impact of the ruling and the affordability of the outcome on the financial resilience element of the VFM conclusion. ■ Achieving Ongoing Savings – we will continue to review achievement of savings plans to support our VFM work and monitor reports produced by HMIC to inform this. These are described in more detail on pages 17-18. We will assess these risk areas as part of our interim work and conclude this work at year end.
Audit team, deliverables, timeline and fees	We have refreshed our audit team this year. Andy Cardoza joins the team as Director while Simon Lacey joins as Audit Manager. Anita Pipes remains in position as the Assistant Manager. Both new members of the team bring prior experience and knowledge of auditing other Police Forces. Our main year end audit is currently planned to commence in July. Upon conclusion of our work we will again present our findings to you in our *Report to Those Charged with Governance (ISA 260 Report)*. The planned fees for the 2014/15 audit are £46,960 (PCC) and £20,000 (CC) respectively. This is unchanged from the position set out in our *Audit Fee Letter 2014/15* and remains unchanged from the 2013/14 audit fee.

We undertake our work on your financial statements in four key stages during 2015:

- **Planning (January to February).**
- **Control Evaluation (February to April).**
- **Substantive Procedures (July to August).**
- **Completion (September).**

We have summarised the four key stages of our financial statements audit process for you below:

			Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
1	**Planning**	■ Update our business understanding and risk assessment. ■ Assess the organisational control environment. ■ Determine our audit strategy and plan the audit approach. ■ Issue our *Accounts Audit Protocol*.									
2	**Control evaluation**	■ Evaluate and test selected controls over key financial systems. ■ Review the work undertaken by the internal audit on controls relevant to our risk assessment. ■ Review the accounts production process. ■ Review progress on critical accounting matters.									
3	**Substantive procedures**	■ Plan and perform substantive audit procedures. ■ Conclude on critical accounting matters. ■ Identify audit adjustments. ■ Review the Annual Governance Statement.									
4	**Completion**	■ Declare our independence and objectivity. ■ Obtain management representations. ■ Report matters of governance interest. ■ Form our audit opinion.									

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During January and February 2015 we complete our planning work.

We assess the key risks affecting the PCC and CC's financial statements and discuss these with officers.

We assess if there are any weaknesses in respect of central processes that would impact on our audit.

We determine our audit strategy and approach, and agree a protocol for the accounts audit, specifying what evidence we expect the PCC and CC to support the financial statements.

Our planning work takes place in January and February 2015. This involves the following aspects:

Planning

- Update our business understanding and risk assessment including fraud risk.
- Assess the organisational control environment.
- Determine our audit strategy and plan the audit approach.
- Issue our *Accounts Audit Protocol*.

Business understanding and risk assessment

We update our understanding of the PCC and CC's operations and identify any areas that will require particular attention during our audit of the PCC and CC's financial statements.

We identify the key risks including risk of fraud affecting the PCC and CC's financial statements. These are based on our knowledge of the PCC and CC, our sector experience and our ongoing dialogue with PCC and CC staff. Any risks identified to date through our risk assessment process are set out in this document. Our audit strategy and plan will, however, remain flexible as the risks and issues change throughout the year. It is the PCC and CC's responsibility to adequately address these issues. We encourage the PCC and CC to raise any technical issues with us as early as possible so that we can agree the accounting treatment in advance of the audit visit.

We meet with finance officers on a regular basis to consider issues and how they are addressed during the financial year end closedown and accounts preparation.

Organisational control environment

Controls operated at an organisational level often have an impact on controls at an operational level and if there were weaknesses this would impact on our audit.

In particular risk management, internal control and ethics and conduct have implications for our financial statements audit. The scope of the relevant work of your internal auditors also informs our risk assessment.

Audit strategy and approach to materiality

Our audit is performed in accordance with International Standards on Auditing (ISAs) (UK and Ireland). The Engagement Lead sets the overall direction of the audit and decides the nature and extent of audit activities. We design audit procedures in response to the risk that the financial statements are materially misstated. The materiality level is a matter of professional judgement and is set by the Engagement Lead.

In accordance with ISA 320 (UK&I) '*Audit materiality*', we plan and perform our audit to provide reasonable assurance that the financial statements are free from material misstatement and give a true and fair view. Information is considered material if its omission or misstatement could influence the economic decisions of users taken on the basis of the financial statements.

Further details on assessment of materiality is set out on page 6 of this document.

We will issue our *Accounts audit protocol* following completion of our planning work. We issued the draft version in January 2015.

Accounts audit protocol

At the end of our planning work we will issue our *Accounts Audit Protocol*. This important document sets out our audit approach and timetable. It also summarises the working papers and other evidence we require the PCC and CC to provide during our interim and final accounts visits. The draft Prepared by Client list (PBC) was issued in January 2015.

In December 2014 we met with the Senior Financial Accountant to discuss mutual learning points from the 2013/14 audit. These have been incorporated into our work plan for 2014/15. We revisit progress against areas identified for development as the audit progresses.

Our audit approach – control evaluation

Our on site interim visit will be completed during March 2015. During this time we will complete work in the following areas:

Control Evaluation

- Evaluate and test controls over key financial systems identified as part of our risk assessment.
- Review the work undertaken by the internal audit function on controls relevant to our risk assessment.
- Review the accounts production process.
- Review progress on critical accounting matters.

Controls over key financial systems

We update our understanding of the PCC and CC's key financial processes where our risk assessment has identified that these are relevant to our final accounts audit and where we have determined that this is the most efficient audit approach to take. We confirm our understanding by completing walkthroughs for these systems. We then test selected controls that address key risks within these systems. The strength of the control framework informs the substantive testing we complete during our final accounts visit.

Review of internal audit.

Where our audit approach is to undertake controls work on financial systems, we seek to review any relevant work internal audit have completed to minimise unnecessary duplication of work. This will inform our overall risk assessment process. Our audit fee is set on the assumption that we can place reliance on their work.

Accounts production process

We raised one recommendation in our *ISA 260 Report 2013/14* relating to the accounts production process. This related to:

- The quality and availability of working papers: To date we have met with the Senior Financial Accountant to discuss prior year issues and to ensure there is clearer communication and understanding of what we require from you this year.

We will assess the PCC and CC's progress in addressing our recommendation and in preparing for the closedown and accounts preparation.

Critical accounting matters

We will discuss the work completed to address the specific risks we identified at the planning stage. Wherever possible, we seek to review relevant workings and evidence and agree the accounting treatment as part of our interim work.

If there are any significant findings arising from our interim work we will present these to the Joint Audit and Scrutiny Panel.

7

During July 2015 we will be on site for our substantive work.

We complete detailed testing of accounts and disclosures and conclude on critical accounting matters, such as specific risk areas. We then agree any audit adjustments required to the financial statements.

We also review the Annual Governance Statements for consistency with our understanding.

We will present our joint *ISA 260 Report* to the Joint Audit and Scrutiny Panel in September 2015.

Our final accounts visit on site has been scheduled for a 3 week period in July 2015. During this time, we will complete the following work:

Substantive Procedures	■ Plan and perform substantive audit procedures. ■ Conclude on critical accounting matters. ■ Identify and assess any audit adjustments. ■ Review the Annual Governance Statement.

Financial Statements

We will provide an opinion on the following financial statements:

■ The Chief Constable's single entity accounts; and

■ The Police and Crime Commissioner's Group accounts (which consolidate the PCC and CC single entity accounts).

Substantive audit procedures

We complete detailed testing on significant balances and disclosures. The extent of our work is determined by the Engagement Lead based on various factors such as our overall assessment of the PCC and CC's control environments, the effectiveness of controls over individual systems and the management of specific risk factors.

Critical accounting matters

We conclude our testing of key risk areas identified at the planning stage and any additional issues that may have emerged since.

We will discuss our early findings of the PCC and CC's approach to address the key risk areas with the PCC's Chief Finance Officer and CC's Finance staff on an ongoing basis, prior to reporting to the Joint Audit and Scrutiny Panel in September 2015.

Audit adjustments

During our on site work, we will meet with key finance staff on a weekly basis to discuss the progress of the audit, any differences found and any other issues emerging.

At the end of our on site work, we will hold a closure meeting, where we will provide a schedule of audit differences and agree a timetable for the completion stage and the accounts sign off.

To comply with auditing standards, we are required to report uncorrected audit differences to the Joint Audit and Scrutiny Panel. We also report any material misstatements which have been corrected and which we believe should be communicated to you to help you meet your governance responsibilities.

Annual Governance Statements

We are also required to satisfy ourselves that the PCC and CC's Annual Governance Statements comply with the applicable framework and is consistent with our understanding of your operations. Our review of the work of internal audit and consideration of your risk management and governance arrangements are part of this.

We report the findings of our audit of the financial statements work in our *ISA 260 Report*, which we will issue in September 2015.

In addition to the financial statements, we also review the PCC's Whole of Government Accounts pack.

We may need to undertake additional work if we receive objections to the accounts from local electors.

We will communicate with you throughout the year, both formally and informally.

Whole of Government Accounts (WGA)

We are required to review your WGA consolidation and undertake the work specified under the approach that is agreed with HM Treasury and the National Audit Office.   Deadlines for production of the pack and the specified approach for 2014/15 have not yet been confirmed.

Elector challenge

The Audit Commission Act 1998 gives electors certain rights. These are:

■ the right to inspect the accounts;

■ the right to ask the auditor questions about the accounts; and

■ the right to object to the accounts.

As a result of these rights, in particular the right to object to the accounts, we may need to undertake additional work to form our decision on the elector's objection. The additional work could range from a small piece of work where we interview an officer and review evidence to form our decision, to a more detailed piece of work, where we have to interview a range of officers, review significant amounts of evidence and seek legal representations on the issues raised.

The costs incurred in responding to specific questions or objections raised by electors is not part of the fee. This work will be charged in accordance with the Audit Commission's fee scales.

Reporting and communication

Reporting is a key part of the audit process, not only in communicating the audit findings for the year, but also in ensuring the audit team are accountable to you in addressing the issues identified as part of the audit strategy. Throughout the year we will communicate with you through meetings with the finance team and the Joint Audit and Scrutiny Panel. Our deliverables are included on page 20.

Independence and objectivity confirmation

Professional standards require auditors to communicate to those charged with governance, at least annually, all relationships that may bear on the firm's independence and the objectivity of the audit engagement partner and audit staff. The standards also place requirements on auditors in relation to integrity, objectivity and independence.

The standards define 'those charged with governance' as 'those persons entrusted with the supervision, control and direction of an entity'. In your case this is the Police and Crime Commissioner and the Chief Constable supported by the Joint Audit and Scrutiny Panel,

KPMG LLP is committed to being and being seen to be independent. APB Ethical Standard 1 *Integrity, Objectivity and Independence* requires us to communicate to you in writing all significant facts and matters, including those related to the provision of non-audit services and the safeguards put in place, in our professional judgement, may reasonably be thought to bear on KPMG LLP's independence and the objectivity of the Engagement Lead and the audit team.

Appendix 1 provides further detail on auditors' responsibilities regarding independence and objectivity.

Confirmation statement

We confirm that as of the date of this report in our professional judgement, KPMG LLP is independent within the meaning of regulatory and professional requirements and the objectivity of the Engagement Lead and audit team is not impaired.

In this section we set out our assessment of the

significant risks or other key areas of audit focus of the PCC and CC's financial statements for 2014/15.

For each key risk/significant risk area we have outlined the impact on our audit plan.

Professional standards require us to consider two standard risks for all organisations. We are not elaborating on these standard risks in this plan but consider them as a matter of course in our audit and will include any findings arising from our work in our *ISA 260 Report*.

■ Management override of controls – Management is typically in a powerful position to perpetrate fraud owing to its ability to manipulate accounting records and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. Our audit methodology incorporates the risk of management override as a default significant risk. In line with our methodology, we carry out appropriate controls testing and substantive procedures, including over journal entries, accounting estimates and significant transactions that are outside the normal course of business, or are otherwise unusual.

■ Fraudulent revenue recognition – We do not consider this to be a significant risk for PCCs and CCs as there are limited incentives and opportunities to manipulate the way income is recognised. We therefore rebut this risk and do not incorporate specific work into our audit plan in this area over and above our standard fraud procedures.

Appendix 3 covers more details on our assessment of fraud risk.

The table below sets out the significant risks we have identified through our planning work that are specific to the audit of the PCC and CC's financial statements for 2014/15.
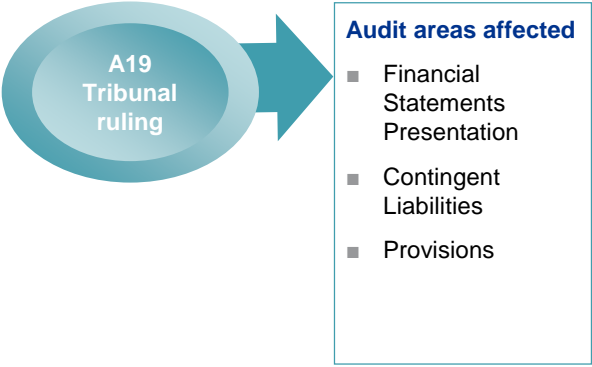
We will revisit our assessment throughout the year and should any additional risks present themselves we will adjust our audit strategy as necessary.

In this section we set out our assessment of the significant risks or other key areas of audit focus of the PCC and CC's financial statements for 2014/15.

For each key risk/significant risk area we have outlined the impact on our audit plan.

Key audit risks/Area of other audit focus	Impact on audit
Audit areas affected ■ Property Plant and Equipment ■ CIES Income/Expenditure ■ Treatment of pension liability Stage 2 Transfer	**Risk** The Police Reform and Social Responsibility Act 2011 (schedule 15 part 3) allows PCCs and Chief Constables to agree a transfer scheme for staff and assets from the PCC to the CC. As such, the Home Office required a transfer scheme to be submitted for each local police area for implementation by 1 April 2014. It is likely that at least some staff or assets will be transferred to Chief Constable, but it is up to each PCC and CC to agree their own transfer scheme and these arrangements will differ between local police areas. CIPFA issued LAAP Bulletin 98A regarding the Closure of the 2013/14 Accounts and considered the treatment of staff and asset transfer for Stage 1. The Bulletin also introduced the consideration of such treatments for the Stage 2 transfers. **Our proposed audit work** As part of our audit, we will ensure the Police and Crime Commissioner and Chief Constable is aware of the latest guidance and review the judgements it has made. This will include : ■ Determining whether the PCC and CC have identified the appropriate staff and assets to transfer, including pension liabilities. ■ Considering the PCC and CC application of the relevant accounting standards to account for these and challenging its judgements where necessary; and ■ Obtain a copy of the approved transfer scheme and ensure that the accounting treatment for the stage 2 transfer is in line with the approval and where appropriate consistent with the stage 1 treatment and the 2013/14 financial statements.

For each key risk area we have outlined the impact on our audit plan.

Key audit risks/Area of other audit focus	Impact on audit
A19 Tribunal ruling → **Audit areas affected** ■ Financial Statements Presentation ■ Contingent Liabilities ■ Provisions	**Risk** Nottinghamshire Police lost the employment tribunal against them in relation to A19. This forced officers with over 30 years service to retire. In Nottinghamshire this affected just under 100 officers. Along with four other forces Nottinghamshire may now have to pay for some form of compensation to these former officers. An appeal has been lodged. The results are not yet known and depending on the timing of any judgement there may be an impact on the 2014/15 financial statements. **Our proposed audit work** We will assess the potential impact of any ruling prior to the conclusion of our 2014/15 audit opinion on the 2014/15 financial statements. We will review the likely accounting entries such as provisions and enquire as to how you plan to resource any future payments.

Our approach to VFM work follows guidance provided by the Audit Commission.

Background to approach to VFM work

In meeting their statutory responsibilities relating to economy, efficiency and effectiveness, the Commission's *Code of Audit Practice* requires auditors to:

- plan their work based on consideration of the significant risks of giving a wrong conclusion (audit risk); and

- carry out only as much work as is appropriate to enable them to give a safe VFM conclusion.

To provide stability for auditors and audited bodies, the Audit Commission has kept the VFM audit methodology unchanged from last year. There are only relatively minor amendments to reflect the key issues facing the PCCs and CCs this year.

The approach is structured under two themes, as summarised below.

Specified criteria for VFM conclusion	Focus of the criteria	Sub-sections
The organisation has proper arrangements in place for securing **financial resilience**.	The organisation has robust systems and processes to: ■ manage effectively financial risks and opportunities; and ■ secure a stable financial position that enables it to continue to operate for the foreseeable future.	■ Financial governance ■ Financial planning ■ Financial control
The organisation has proper arrangements for challenging how it **secures economy, efficiency and effectiveness**.	The organisation is prioritising its resources within tighter budgets, for example by: ■ achieving cost reductions; and ■ improving efficiency and productivity.	■ Prioritising resources ■ Improving efficiency and productivity

We will follow a risk based approach to target audit effort on the areas of greatest audit risk.

Overview of the VFM audit approach

The key elements of the VFM audit approach are summarised below.

Each of these stages are summarised further below.

VFM audit stage	Audit approach
VFM audit risk assessment	We consider the relevance and significance of the potential business risks faced by all PCCs and CCs, and other risks that apply specifically to the PCC and CC. These are the significant operational and financial risks in achieving statutory functions and objectives, which are relevant to auditors' responsibilities under the *Code of Audit Practice*. In doing so we consider: ■ the PCC and CC's own assessment of the risks it faces, and its arrangements to manage and address its risks; ■ information from the HMIC VFM profile tool; ■ evidence gained from previous audit work, including the response to that work; and ■ the work of HMIC and other inspectorates and review agencies.

Our VFM audit will draw heavily on other audit work which is relevant to our VFM responsibilities and the results of last year's VFM audit.

We will then form an assessment of residual audit risk to identify if there are any areas where more detailed VFM audit work is required.

VFM audit stage	Audit approach
Linkages with financial statements and other audit work	There is a degree of overlap between the work we do as part of the VFM audit and our financial statements audit. For example, our financial statements audit includes an assessment and testing of the PCC and CC's organisational control environment, including the PCC and CC's financial management and governance arrangements, many aspects of which are relevant to our VFM audit responsibilities. We have always sought to avoid duplication of audit effort by integrating our financial statements and VFM work, and this will continue. We will therefore draw upon relevant aspects of our financial statements audit work to inform the VFM audit.
Assessment of residual audit risk	It is possible that further audit work may be necessary in some areas to ensure sufficient coverage of the two VFM criteria. Such work may involve interviews with relevant officers and /or the review of documents such as policies, plans and minutes. We may also refer to any self assessment the PCC and CC may prepare against the characteristics. To inform any further work we must draw together an assessment of residual audit risk, taking account of the work undertaken already. This will identify those areas requiring further specific audit work to inform the VFM conclusion. At this stage it is not possible to indicate the number or type of residual audit risks that might require additional audit work, and therefore the overall scale of work cannot be easily predicted. If a significant amount of work is necessary then we will need to review the adequacy of our agreed audit fee.
Identification of specific VFM audit work	If we identify residual audit risks, then we will highlight the risk to the PCC and CC and consider the most appropriate audit response in each case, including: ■ considering the results of work by the PCC and CC, HMIC and other inspectorates and review agencies; and ■ carrying out local risk-based work to form a view on the adequacy of the PCC and CC's arrangements for securing economy, efficiency and effectiveness in its use of resources.

Where relevant, we may draw upon the range of audit tools and review guides developed by the Audit Commission.

We have completed our initial risk assessment and identified two risks to our VFM conclusion at this stage. These relate to the A19 employment tribunal appeal outcome and the likely impact on the ongoing financial resilience of the PCC/CC and the need to achieve ongoing savings. We will update our assessment throughout the audit.

We will conclude on the results of the VFM audit through our ISA 260 Report.

VFM audit stage	Audit approach
Delivery of local risk based work	Depending on the nature of the residual audit risk identified, we may be able to draw on audit tools and sources of guidance when undertaking specific local risk-based audit work, such as: ■ local savings review guides based on selected previous Audit Commission national studies; and ■ update briefings for previous Audit Commission studies. The tools and guides will support our work where we have identified a local risk that is relevant to them. For any residual audit risks that relate to issues not covered by one of these tools, we will develop an appropriate audit approach drawing on the detailed VFM guidance and other sources of information.
Concluding on VFM arrangements	At the conclusion of the VFM audit we will consider the results of the work undertaken and assess the assurance obtained against each of the VFM themes regarding the adequacy of the PCC and CC's arrangements for securing economy, efficiency and effectiveness in the use of resources. If any issues are identified that may be significant to this assessment, and in particular if there are issues that indicate we may need to consider qualifying our VFM conclusion, we will discuss these with management as soon as possible. Such issues will also be considered more widely as part of KPMG's quality control processes, to help ensure the consistency of auditors' decisions.
Reporting	On the following page, we report the results of our initial risk assessment. We will report on the results of the VFM audit through our *ISA 260 Report*. This will summarise any specific matters arising, and the basis for our overall conclusion. If considered appropriate, we may produce a separate report on the VFM audit, either overall or for any specific reviews that we may undertake. The key output from the work will be the VFM conclusion (i.e. our opinion on the PCC and CC's arrangements for securing VFM), which forms part of our audit report.

We have identified two specific VFM risks.

We will carry out additional risk-based work in the following areas:

- **A19 employment tribunal appeal and the potential financial consequences facing the PCC/CC.**

- **Budget savings**

In some cases we are satisfied that external or internal scrutiny provides sufficient assurance that the PCC and CC's current arrangements in relation to these risk areas are adequate.

In line with the risk-based approach set out on the previous page, we have

- assessed the PCC and CC's key business risks which are relevant to our VFM conclusion;

- identified the residual audit risks for our VFM conclusion, taking account of work undertaken in previous years or as part of our financial statements audit;

- considered the results of relevant work by the PCC and CC, the Audit Commission, HMIC and other inspectorates and review agencies in relation to these risk areas; and

- concluded to what extent we need to carry out additional risk-based work.

Below we set out our preliminary findings in respect of those areas where we have identified a residual audit risk for our VFM conclusion.

We will report our final conclusions in our *ISA 260 Report 2014/15*.

Key VFM risk	Risk description and link to VFM conclusion	Preliminary assessment
A19 Tribunal Ruling	Nottinghamshire lost the employment tribunal brought against them and four other forces by the Police Superintendents Association of England and Wales. This challenged the legality of their decision to force nearly 100 officers with more than 30 years service to retire. Nottinghamshire have appealed this decision but the outcome of the appeal and its potential financial consequence is not yet known. If Nottinghamshire lose the appeal and have to pay compensation and the costs associated with calculating this the financial impact could be detrimental to the financial resilience element of the VFM conclusion.	Although a contingent liability of £3.5m was included in the both the 2013/14 and 2012/13 financial statements, the actual costs of losing this tribunal are likely to be materially higher than this. This has financial implications for the PCC/CC. A detrimental appeal outcome will impact on accounting entries and provisions and will also have an ongoing impact in the financial year in which payments may have to be made to former police officers. Until the outcome of the appeal is known the PCC/CC will continue to show a contingent liability within their accounts. A provision calculation will not be attempted until the result of the appeal is known as compensation will depend on each officers individual circumstances. This level of uncertainty may impact on our financial resilience VFM conclusion. We will continue to monitor the outcome of the appeal and any potential impact throughout our audit.

Key VFM risk	Risk description and link to VFM conclusion	Preliminary assessment
Budget Savings	Nottinghamshire Police along with all forces have significant budget savings to make over the coming years. Plans are in place to achieve these savings and these were reviewed as part of last year's VFM assessment. We will review ongoing saving plans and processes as part of our VFM audit work linking this to any further HMIC or external body reports in relation to VFM such as the PEEL review.	We will continue to monitor all HMIC reports undertaken at Nottinghamshire Police and review your saving plans as part of our VFM work. This will also include reviewing the VFM self assessment and evidence that you provide to us as part of the audit.

Your audit team has been drawn from our specialist public sector assurance department..

Contact details are shown on page 1.

The audit team will be assisted by other KPMG specialists as necessary.

"My role is to lead our team and ensure the delivery of high quality external audit opinions. I will be the main point of contact for the Joint Audit and Scrutiny Panel, the Police and Crime Commissioner and the Chief Constable."

Andy Cardoza
Director

"I am responsible for the management, review and delivery of the audit and providing quality assurance for any technical accounting areas. I will work closely with Andrew to ensure we add value. I will liaise with the PCC's Chief Finance Officer, the CC's Finance Staff and Head of Internal Audit."

Simon Lacey
Manager

""I will be responsible for the on-site delivery of our work. I will liaise with the Finance staff and will supervise the work of our audit assistants."

Anita Pipes
Assistant Manager

Deliverable	Purpose	Committee dates
Planning		
External Audit Plan (Joint for PCC and CC)	■ Outlines our audit approach. ■ Identifies areas of audit focus and planned procedures.	**February 2015**
Control evaluation and Substantive procedures		
Report to Those Charged with Governance (ISA 260 Report) (Joint for PCC and CC)	■ Details control and process issues arising ■ Details the resolution of key audit issues. ■ Communicates adjusted and unadjusted audit differences. ■ Highlights performance improvement recommendations identified during our audit. ■ Comments on the PCC and CC's value for money arrangements.	**September 2015**
Completion		
Auditor's Report (separate reports for the PCC and CC)	■ Provides an opinion on your accounts (including the Annual Governance Statements). ■ Concludes on the arrangements in place for securing economy, efficiency and effectiveness in your use of resources (the VFM conclusion).	**September 2015**
Whole of Government Accounts (PCC only)	■ Provides our assurance statement on the PCC's WGA pack submission.	**October 2015**
Annual Audit Letter (Joint for PCC and CC)	■ Summarises the outcomes and the key issues arising from our audit work for the year.	**November 2015**

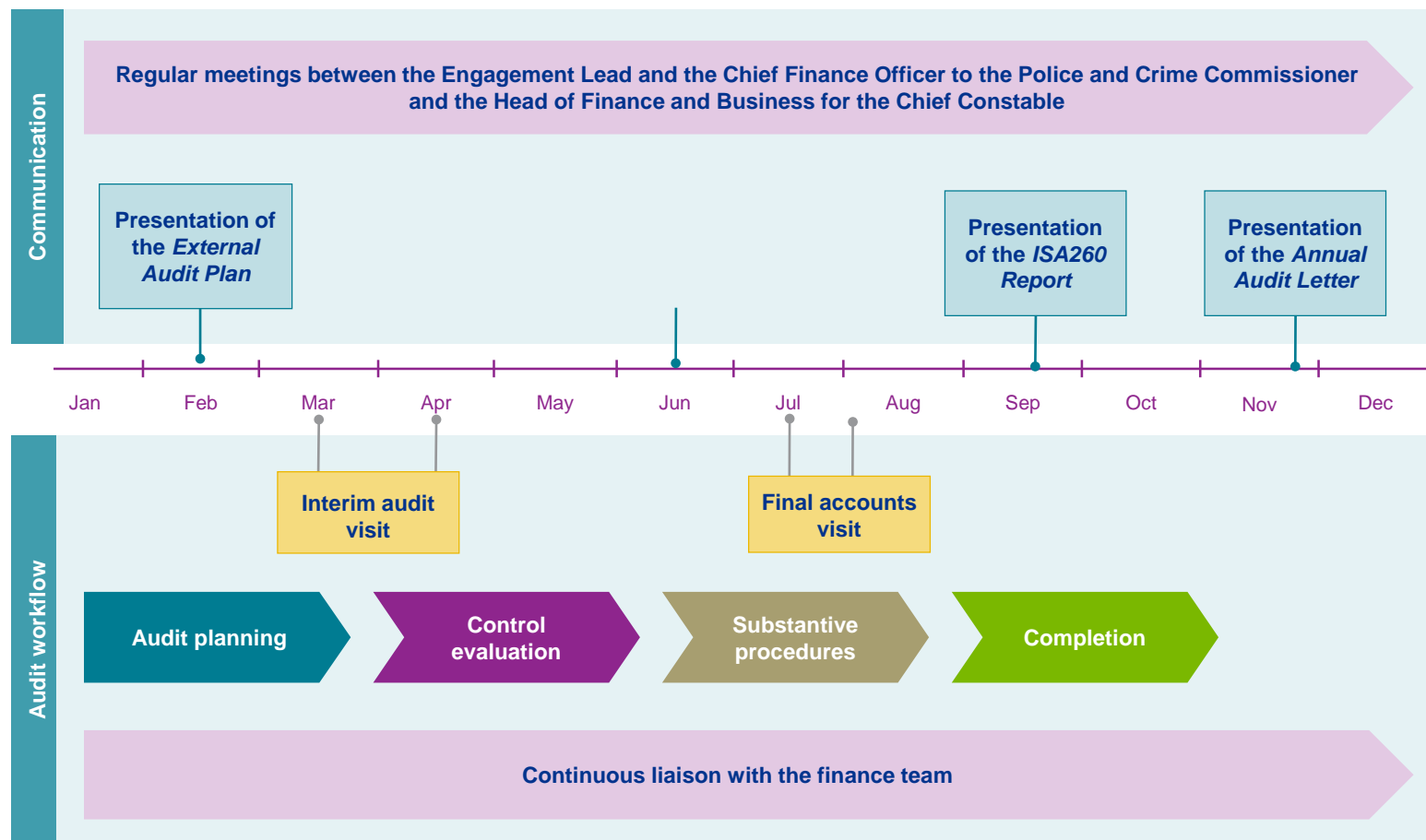**We will be in continuous dialogue with you throughout the audit.**

Key formal interactions with the Joint Audit Scrutiny Panel are:

- **February – External Audit Plan;**

- **September – ISA 260 Report;**

- **November – Annual Audit Letter.**

We work with the finance team throughout the year.

Our main work on site will be our:

- **Interim audit visits during March.**

- **Final accounts audit during July.**

Communication

Regular meetings between the Engagement Lead and the Chief Finance Officer to the Police and Crime Commissioner and the Head of Finance and Business for the Chief Constable

Presentation of the *External Audit Plan*

Presentation of the *ISA260 Report*

Presentation of the *Annual Audit Letter*

Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec

Audit workflow

Interim audit visit

Final accounts visit

Audit planning

Control evaluation

Substantive procedures

Completion

Continuous liaison with the finance team

Key: ● Audit Committee meetings.

The fee for the 2014/15 audit of the PCC and CC is £66,960. The fee has not changed from that set out in our *Audit Fee Letter 2014/15* issued in April 2014.

Our audit fee remains indicative and based on you meeting our expectations of your support.

Meeting these expectations will help the delivery of our audit within the proposed audit fee.

Audit fee

Our *Audit Fee Letter 2014/15* presented to you in April 2014 first set out our fees for the 2014/15 audit. We have not considered it necessary to make any changes to the agreed fees at this stage.

Element of the audit	2014/15 (planned)	2013/14 (actual)
Police and Crime Commissioner	£46,960	£46,960
Chief Constable	£20,000	£20,000
Additional Fee		£2,394
Total	**£66,960**	**£69,354**

Our audit fee includes our work on the VFM conclusion and our audit of the PCC and CC's financial statements. The planned audit fee for 2014/15 is **£66,960**.

Audit fee assumptions

The fee is based on a number of assumptions, including that you will provide us with complete and materially accurate financial statements, with good quality supporting working papers, within agreed timeframes. It is imperative that you achieve this. If this is not the case and we have to complete more work than was envisaged, we will need to charge additional fees for this work. In setting the fee, we have assumed:

■ the level of risk in relation to the audit of the financial statements is not significantly different from that identified for 2013/14;

■ you will inform us of any significant developments impacting on our audit;

■ you will identify and implement any changes required under the *CIPFA Code of Practice on Local Authority Accounting in the UK 2014/15* within your 2014/15 financial statements;

■ you will comply with the expectations set out in our *Accounts Audit Protocol*, including:

   − the financial statements are made available for audit in line with the agreed timescales;

   − good quality working papers and records will be provided at the start of the final accounts audit;

   − requested information will be provided within the agreed timescales; and

   − prompt responses will be provided to queries and draft reports;

■ internal audit meets appropriate professional standards;

■ additional work will not be required to address questions or objections raised by local government electors or for special investigations such as those arising from disclosures under the Public Interest Disclosure Act 1998.

Meeting these expectations will help ensure the delivery of our audit within the agreed audit fee.

The Audit Commission requires us to inform you of specific actions you could take to keep the audit fee low. Future audit fees can be kept to a minimum if the PCC and CC achieve an efficient and well-controlled financial closedown and accounts production process which complies with good practice and appropriately addresses new accounting developments and risk areas.

Changes to the audit plan

Changes to this plan and the audit fee may be necessary if:

■ new significant audit risks emerge;

■ additional work is required of us by the Audit Commission or other regulators; and

■ additional work is required as a result of changes in legislation, professional standards or financial reporting requirements.

If changes to this plan and the audit fee are required, we will discuss and agree these initially with the Chief Finance Officer and the Head of Finance and Business.

This appendix summarises auditors' responsibilities regarding independence and objectivity.

Independence and objectivity

Auditors are required by the Code to:

- carry out their work with independence and objectivity;

- exercise their professional judgement and act independently of both the Commission and the audited body;

- maintain an objective attitude at all times and not act in any way that might give rise to, or be perceived to give rise to, a conflict of interest; and

- resist any improper attempt to influence their judgement in the conduct of the audit.

In addition, the Code specifies that auditors should not carry out work for an audited body that does not relate directly to the discharge of the auditors' functions under the Code. If the PCC or CC invites us to carry out risk-based work in a particular area, which cannot otherwise be justified to support our audit conclusions, it will be clearly differentiated as work carried out under section 35 of the Audit Commission Act 1998.

The Code also states that the Commission issues guidance under its powers to appoint auditors and to determine their terms of appointment. The Standing Guidance for Auditors includes several references to arrangements designed to support and reinforce the requirements relating to independence, which auditors must comply with. These are as follows:

- Auditors and senior members of their staff who are directly involved in the management, supervision or delivery of Commission-related work, and senior members of their audit teams should not take part in political activity.

- No member or employee of the firm should accept or hold an appointment as a member of an audited body whose auditor is, or is proposed to be, from the same firm. In addition, no member or employee of the firm should accept or hold such appointments at related bodies, such as those linked to the audited body through a strategic partnership.

- Audit staff are expected not to accept appointments as Governors at certain types of schools within the local authority.

- Auditors and their staff should not be employed in any capacity (whether paid or unpaid) by an audited body or other organisation providing services to an audited body whilst being employed by the firm.

- Firms are expected to comply with the requirements of the Commission's protocols on provision of personal financial or tax advice to certain senior individuals at audited bodies, independence considerations in relation to procurement of services at audited bodies, and area wide internal audit work.

- Auditors appointed by the Commission should not accept engagements which involve commenting on the performance of other Commission auditors on Commission work without first consulting the Commission.

- Auditors are expected to comply with the Commission's policy for the Engagement Lead to be changed on a periodic basis.

- Audit suppliers are required to obtain the Commission's written approval prior to changing any Engagement Lead in respect of each audited body.

- Certain other staff changes or appointments require positive action to be taken by Firms as set out in the standing guidance.

We continually focus on delivering a high quality audit.

This means building robust quality control procedures into the core audit process rather than bolting them on at the end, and embedding the right attitude and approaches into management and staff.

KPMG's Audit Quality Framework consists of seven key drivers combined with the commitment of each individual in KPMG.

The diagram summarises our approach and each level is expanded upon.

At KPMG we consider audit quality is not just about reaching the right opinion, but how we reach that opinion. KPMG views the outcome of a quality audit as the delivery of an appropriate and independent opinion in compliance with the auditing standards. It is about the processes, thought and integrity behind the audit report. This means, above all, being independent, compliant with our legal and professional requirements, and offering insight and impartial advice to you, our client.

KPMG's Audit Quality Framework consists of seven key drivers combined with the commitment of each individual in KPMG. We use our seven drivers of audit quality to articulate what audit quality means to KPMG.

We believe it is important to be transparent about the processes that sit behind a KPMG audit report, so you can have absolute confidence in us and in the quality of our audit.

Tone at the top: We make it clear that audit quality is part of our culture and values and therefore non-negotiable. Tone at the top is the umbrella that covers all the drivers of quality through a focused and consistent voice. Andy Cardoza as the Engagement Lead sets the tone on the audit and leads by example with a clearly articulated audit strategy and commits a significant proportion of his time throughout the audit directing and supporting the team.

Association with right clients: We undertake rigorous client and engagement acceptance and continuance procedures which are vital to the ability of KPMG to provide high-quality professional services to our clients.

Clear standards and robust audit tools: We expect our audit professionals to adhere to the clear standards we set and we provide a range of tools to support them in meeting these expectations. The global rollout of KPMG's eAudIT application has significantly enhanced existing audit functionality. eAudIT enables KPMG to deliver a highly
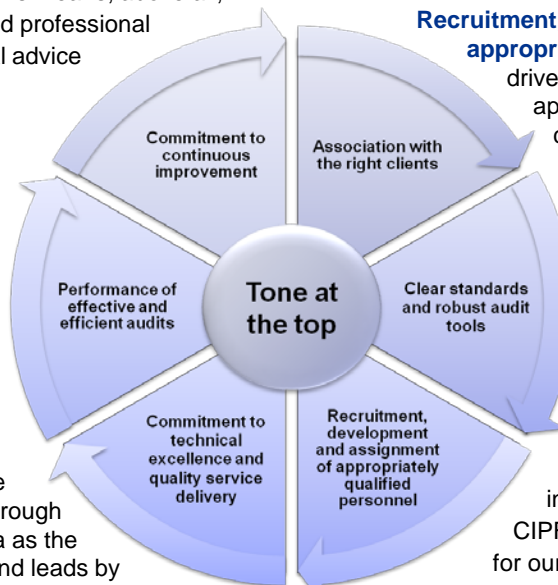
technically enabled audit. All of our staff have a searchable data base, Accounting Research Online, that includes all published accounting standards, the KPMG Audit Manual Guidance as well as other relevant sector specific publications, such as the Audit Commission's *Code of Audit Practice*.

Recruitment, development and assignment of appropriately qualified personnel: One of the key drivers of audit quality is assigning professionals appropriate to the PCC and CC's risks. We take care to assign the right people to the right clients based on a number of factors including their skill set, capacity and relevant experience.

We have a well developed technical infrastructure across the firm that puts us in a strong position to deal with any emerging issues. This includes:

- A national public sector technical director who has responsibility for co-ordinating our response to emerging accounting issues, influencing accounting bodies (such as CIPFA) as well as acting as a sounding board for our auditors.

- A national technical network of public sector audit professionals is established that meets on a monthly basis and is chaired by our national technical director.

-A dedicated Department of Professional Practice comprised of over 100 staff that provide support to our audit teams and deliver our web-based quarterly technical training.

Commitment to continuous improvement

Association with the right clients

Clear standards and robust audit tools

Recruitment, development and assignment of appropriately qualified personnel

Commitment to technical excellence and quality service delivery

Performance of effective and efficient audits

Tone at the top

We continually focus on delivering a high quality audit.

This means building robust quality control procedures into the core audit process rather than bolting them on at the end, and embedding the right attitude and approaches into management and staff.

Quality must build on the foundations of well trained staff and a robust methodology.

Commitment to technical excellence and quality service delivery: Our professionals will keep you up to date and provide accurate technical solutions and together with our specialists are capable of solving complex audit issues and delivering valued insights.

Our audit team draws upon specialist resources including Forensic, Corporate Finance, Transaction Services, Advisory, Taxation, Actuarial and IT. We promote technical excellence and quality service delivery through training and accreditation, developing business understanding and sector knowledge, investment in technical support, development of specialist networks and effective consultation processes.

Performance of effective and efficient audits: We understand that how an audit is conducted is as important as the final result. Our drivers of audit quality maximise the performance of the engagement team during the conduct of every audit. We expect our people to demonstrate certain key behaviors in the performance of effective and efficient audits. The key behaviors that our auditors apply throughout the audit process to deliver effective and efficient audits are outlined below:

- timely Engagement Lead and manager involvement;
- critical assessment of audit evidence;
- exercise of professional judgment and professional scepticism;
- ongoing mentoring and on the job coaching, supervision and review;
- appropriately supported and documented conclusions;
- if relevant, appropriate involvement of the Engagement Quality Control reviewer (EQC review);
- clear reporting of significant findings;
- insightful, open and honest two-way communication with those charged with governance; and
- client confidentiality, information security and data privacy.

Commitment to continuous improvement: We employ a broad range of mechanisms to monitor our performance, respond to feedback and understand our opportunities for improvement.

Our quality review results

We are able to evidence the quality of our audits through the results of Audit Commission reviews. The Audit Commission publishes information on the quality of work provided by KPMG (and all other firms) for audits undertaken on behalf of them (http://www.audit-commission.gov.uk/audit-regime/audit-quality-review-programme/principal-audits/kpmg-audit-quality).

The latest Annual Regulatory Compliance and Quality Report (issued June 2014) showed that we are meeting the Audit Commission's overall audit quality and regularity compliance requirements.

We are required to consider fraud and the impact that this has on our audit approach.

We will update our risk assessment throughout the audit process and adapt our approach accordingly.

Members /Officers responsibilities

- Adopt sound accounting policies.
- With oversight from those charged with governance, establish and maintain internal control, including controls to prevent, deter and detect fraud.
- Establish proper tone/culture/ethics.
- Require periodic confirmation by employees of their responsibilities.
- Take appropriate action in response to actual, suspected or alleged fraud.
- Disclose to Joint Audit and Scrutiny Panel and auditors:
  - any significant deficiencies in internal controls.
  - any fraud involving those with a significant role in internal controls.

KPMG's identification of fraud risk factors

- Review of accounting policies.
- Results of analytical procedures.
- Procedures to identify fraud risk factors.
- Discussion amongst engagement personnel.
- Enquiries of management, Joint Audit and Scrutiny Panel and others.
- Evaluate controls that prevent, deter, and detect fraud.

KPMG's response to identified fraud risk factors

- Accounting policy assessment.
- Evaluate design of mitigating controls.
- Test effectiveness of controls.
- Address management override of controls.
- Perform substantive audit procedures.
- Evaluate all audit evidence.
- Communicate to Joint Audit and Scrutiny Panel and relevant finance staff

KPMG's identified fraud risk factors

- We will monitor the following areas throughout the year and adapt our audit approach accordingly.
  - Revenue recognition.
  - Management override of controls.

Appendix 4: Transfer of Audit Commission's functions

The Audit Commission will be writing to audited bodies and other stakeholders in the coming months with more information about the transfer of the Commission's regulatory and other functions.

From 1 April 2015 a transitional body, Public Sector Audit Appointments Limited (PSAA), established by the Local Government Association (LGA) as an independent company, will oversee the Commission's audit contracts until they end in 2017 (or 2020 if extended by DCLG). PSAA's responsibilities will include setting fees, appointing auditors and monitoring the quality of auditors' work. The responsibility for making arrangements for publishing the Commission's value for money profiles tool will also transfer to PSAA.

From 1 April 2015, the Commission's other functions will transfer to new organisations:

- responsibility for publishing the statutory Code of Audit Practice and guidance for auditors will transfer to the National Audit Office (NAO) for audits of the accounts from 2015/16;

- the Commission's responsibilities for local value for money studies will also transfer to the NAO;

- the National Fraud Initiative (NFI) will transfer to the Cabinet Office; and

- we are still awaiting confirmation of where the Commission's counter-fraud function will transfer to.

This appendix provides the Joint Audit and Scrutiny Panel with highlights of the main technical issues which are currently having an impact in police.

If you require any additional information regarding the issues included within this report, please contact a member of the audit team.

We have flagged the articles that we believe will have an impact at the Authority and given our perspective on the issue:

🔴 **High impact**

🟡 **Medium impact**

🟢 **Low impact**

⚫ **For info**

TECHNICAL UPDATE					
Accounting for Injury Benefits – Firefighters and Police Officers.	🔴		Transfer of Audit Commission responsibilities from 1 April 2015	🟢	
National Audit Office consultation: Draft Code of Audit Practice for the audit of local public bodies	🟡		The Audit Commission has updated the guidance for auditors on the conclusion on arrangements to secure value for money (VFM) for 2014/15 local VFM work.	⚫	
Invitation to Comment and Simplification and Streamlining the Presentation of Local Authority Financial Statements	🟡		NAO VFM study looking at the financial sustainability of Police Forces.	⚫	
Audit commission consultation for the 2015/16 proposed work programme and scale fees	🟢		HMIC have published a report looking at the integrity of crime data in police forces in England and Wales.	⚫	

Area	Level of Impact	Comments	KPMG perspective
Accounting for Injury Benefits – Firefighters and Police Officers	🔴 **High**	In 2006, the Firefighters' Compensation Scheme (England) Order came into force. One of its effects was to change the way injury benefits were funded and accounted for in respect of firefighters who had retired due to injury. The Department for Communities and Local Government (DCLG) has identified instances where some authorities have incorrectly charged injury benefits to the pension fund account and consequently DCLG may have overpaid top-up grant. The Fire Finance Network is currently discussing proposals with DCLG for all fire authorities and county councils with fire responsibilities to provide DCLG with statements of assurance to confirm that they are accounting correctly for injury benefits and are taking steps to correct any previous errors which may have occurred. The guidance made available to KPMG by both the Audit Commission and DCLG was clear that injury benefits are not a charge to the Firefighters Pension Fund, and are not covered by top-up grant. For further information see the DCLG guidance at https://www.gov.uk/government/publications/firefighter-pensions-financial-arrangements-guidance. The Police (Injury Benefit) Regulations 2006 made similar provisions in respect of injury benefits for police officers. The Home Office did not issue specific guidance on police injury benefits.	*The committee may wish to seek assurances these costs are being accounted for appropriately and that where errors have been made, there are plans to address them.*

Area	Level of Impact	Comments	KPMG perspective
National Audit Office consultation: Draft Code of Audit Practice for the audit of local public bodies	🟡 **Medium**	On Friday 19 September 2014 the National Audit Office (NAO) launched its consultation on the draft Code of Audit Practice for the audit of local public bodies. Subject to Parliamentary approval, the Code will take effect from 1 April 2015 for audit work relating to the 2015/16 financial year onwards. The NAO is seeking views and comments on the draft Code. In particular, the views of audited bodies are being sought on how valuable the work carried out each year on value-for-money arrangements is. The closing date for consultation responses was Friday 31 October 2014. For more information visit http://www.nao.org.uk/keep-in-touch/our-surveys/consultation-code-audit-practice/	*The committee may wish to enquire of officers whether they responded to the consultation and the details of any response.*
Invitation to Comment and Simplification and Streamlining the Presentation of Local Authority Financial Statements	🟡 **Medium**	CIPFA and CIPFA/LASAAC have recently consulted on the Simplification and streamlining of the presentation of local authority financial statements. The consultation focused on the reporting of local authority performance and therefore on the comprehensive income and expenditure statement, the movement in reserves statement and the segmental reporting requirements specified in the Code of practice on local authority accounting in the United Kingdom. As an important part of reporting performance, it also considered the narrative reporting requirements which would accompany the financial statements. The consultation closed on 19 September 2014.	*The committee may wish to enquire of officers whether they responded to the consultation and the details of any response.*

Area	Level of Impact	Comments	KPMG perspective
Audit commission consultation for the 2015/16 proposed work programme and scale fees.	🟢 Low	On the 13th October 2014 The Audit Commission published for consultation the 2015/16 proposed work programme and scales of fees. Separate documents cover the Commission's work programme at local government and police bodies, and at health bodies. The consultation sets out the work that auditors will undertake at principal audited bodies for 2015/16, with the associated scales of fees. The Department for Communities and Local Government (DCLG) has asked the Audit Commission to set fees for 2015/16 before the Commission's closure on 31 March 2015. They are proposing to reduce scale fees by a further 25 per cent from 2015/16. They do not plan to make changes to the overall work programme. The fee reduction will apply to all principal bodies, with the exception of 15 local government bodies whose scale audit fees are already below £20,000, and of the fees for pension fund audits at local authorities. The 25 per cent fee reduction has been achieved as a result of the recent procurement exercise to retender the work undertaken under the older contracts with audit firms, and is in addition to the 40 per cent cut in fees made by the Commission in 2012. These savings are part of the legacy the Commission will leave behind after March 2015, with the lowest total audit fees for 25 years. The Commission is also making further rebates in respect of audit fees to audited bodies, returning another £6 million to most principal bodies, excluding CCGs. The rebates will be paid by cheque directly to audited bodies in October 2014. The rebates result from the efficient management of the Commission's closure. The Commission's Board will consider in March 2015 the amount of any final rebate on audit fees. **The consultation closes on Friday 9 January 2015**. The Commission will publish the final work programme and scales of fees for 2015/16 in March 2015. The consultation documents, and the lists of individual scale fees, are available on the Audit Commission website: http://www.audit-commission.gov.uk/audit-regime/audit-fees/201516propwpsf/	*The committee may wish to enquire of officers whether they responded to the consultation and the details of any response.*

KPMG

Area	Level of Impact	Comments	KPMG perspective
Transfer of Audit Commission responsibilities from 1 April 2015	● Low	The work that auditors will carry out on 2015/16 accounts will be completed under the new Code of Audit Practice that the National Audit Office (NAO) is developing. Under the Local Audit and Accountability Act 2014 the Commission's responsibility to prepare and publish a Code transfers to the NAO. From 1 April 2015, Public Sector Audit Appointments (PSAA), set up by the Local Government Association as an independent company, will oversee the Audit Commission's audit contracts until they end in 2017, or 2020 if extended by DCLG. PSAA's responsibilities will include setting fees, appointing auditors and monitoring the quality of auditors' work. The responsibility for making arrangements for housing benefit subsidy certification and for publishing the Commission's value for money profiles tool will also transfer to PSAA. The Commission's other functions will also transfer to new organisations, with local value for money studies as well as responsibility for the Code of Audit Practice transferring to the National Audit Office, the National Fraud Initiative to the Cabinet Office, and the counter-fraud functions to Chartered Institute of Public Finance and Accounting (CIPFA). The Audit Commission will be writing to audited bodies and other stakeholders in the coming months with more information about the transfer of the Commission's functions and where to find details on specific questions.	*The committee may wish to enquire of officers whether they have received any such communications from the Audit Commission and the details of any response.*

Area	Level of Impact	Comments
The Audit Commission has updated the guidance for auditors on the conclusion on arrangements to secure value for money (VFM) for 2014/15 local VFM work.	● **For information**	The Audit Commission has updated the guidance for auditors on the conclusion on arrangements to secure value for money (VFM) for 2014/15 local VFM work. The guidance supports auditors' work on arrangements to secure VFM at the following types of audited body: ■ NHS trusts; ■ clinical commissioning groups (CCGs); ■ single-tier, county and district councils; ■ fire and rescue authorities; ■ the Greater London Authority, the London Legacy Development Corporation and Transport for London; ■ police bodies; and ■ other local government bodies. The key principles underpinning the Commission's approach on the conclusion on arrangements to secure VFM continue to be that it: ■ enables auditors to fulfil their responsibility under the Audit Commission Act 1998, relating to an audited body's arrangements to secure economy, efficiency and effectiveness; and ■ is applied proportionately to reflect the size, capacity and performance of different types of audited body and, as far as possible, consistently across all sectors of the Commission's regime. The main changes in the update for 2013/14 are set out in section 1.1 of the guidance. These are: ■ sections 1 and 2 updated to reflect changes relating to the Commission's closure in March 2015; ■ sector context and risk indicators updated for sections 3 to 6; ■ section 4 on Clinical Commissioning Groups (CCGs) updated to apply the specified reporting criteria, recognising that 2014/15 represents CCGs' second full year of operations; and ■ section 8 on reporting updated to emphasise further the type of conclusions that can be issued at different bodies, and when these may or may not be appropriate. The updated guidance is now available on the Audit Commission's website: http://www.audit-commission.gov.uk/audit-regime/codes-of-audit-practice/value-for-money-conclusion/

Area	Level of Impact	Comments
NAO VFM study looking at the financial sustainability of Police Forces.	⬤ **For information**	The National Audit Office (NAO) is conducting a value for money study looking at the financial sustainability of police forces in England and Wales. The fieldwork for the study started in October 2014 and continues until February 2015 with a planned publication date of June 2015. The study includes visits to a number of police forces in England and Wales which are now getting started and will take place until the end of February. The police areas in England selected by NAO for a visit are: ■ The Metropolitan Police; ■ West Midlands Police; ■ West Yorkshire Police; ■ Avon and Somerset Police; ■ Nottinghamshire Police; ■ Lincolnshire Police; and ■ West Mercia Police and Warwickshire Police (to be covered as a single case study).

Area	Level of Impact	Comments
HMIC have published a report looking at the integrity of crime data in police forces in England and Wales	⬤ **For information**	Her Majesty's Inspectorate of Constabulary (HMIC) has published a report looking at the integrity of crime data in police forces in England and Wales. The report concludes that overall, police are failing to record a significant proportion of the crimes reported to them each year by the public. The picture at a local level is more mixed, however, with some forces doing very well while others are performing very poorly. The report also notes that since the inspection took place, some forces have already taken significant steps to improve practices. The report can be found on the HMIC website: http://www.justiceinspectorates.gov.uk/hmic/wp-content/uploads/crime-recording-making-the-victim-count.pdf The local reports can be found on the HMIC website: http://www.justiceinspectorates.gov.uk/hmic/publication/crime-data-integrity-force-reports/

For Information / Consideration	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	12th February 2015
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
E-mail:	
Other Contacts:	Angela Ward
Agenda Item:	7

INTERNAL AUDIT PROGRESS REPORT

1. Purpose of the Report

1.1 To provide members with an update on progress against the Internal Audit Annual Plan and the findings from audits completed to date.

2. Recommendations

2.1 Members are recommended to consider the report and where appropriate make comment or request further work in relation to specific audits to ensure they have adequate assurance from the work undertaken.

3. Reasons for Recommendations

3.1 This complies with good governance and in ensuring assurance can be obtained from the work carried out.

4. Summary of Key Points

4.1 The attached report details the work undertaken to date and summarises the findings from individual audits completed since the last progress report to the panel.

5. Financial Implications and Budget Provision

5.1 None as a direct result of this report.

6. Human Resources Implications

6.1 None as a direct result of this report.

7. Equality Implications

7.1 None as a direct result of this report.

8. Risk Management

8.1 None as a direct result of this report.

9. Policy Implications and links to the Police and Crime Plan Priorities

9.1 This report complies with good governance and financial regulations.

10. Changes in Legislation or other Legal Considerations

10.1 None

11. Details of outcome of consultation

11.1 Not applicable

12. Appendices

12.1 Appendix A - Internal Audit progress report.

Nottinghamshire Office of the Police & Crime Commissioner & Nottinghamshire Chief Constable

Internal Audit Progress Report

Audit Committee meeting: 12TH February 2015

Introduction

The internal audit plan for 2014/15 was approved by the Joint Audit & Scrutiny Panel in June 2014. This report provides an update on progress against that plan and summarises the results of our work to date.

Summary of Progress against the Internal Audit Plan

The table below provides a progress summary of the reports that have been finalised, in draft or are work in progress. There are no fundamental issues to report to the Committee that may impact on our annual Head of Internal Audit opinion at this time.

Assignment *Reports considered today are shown in italics*	Status	Opinion	Actions Agreed (by priority)		
			High	**Medium**	**Low**
Audits to address specific risks					
Information Management Arrangements	Final Report	Advisory	-	8	2
Information Security – Disaster Recovery	*Final Report*	*Amber/Green*	*-*	*2*	*3*
Commissioning	Q4				
Governance – Delivery of Police & Crime Plan	In progress				
Partnerships	Fieldwork planned to commence 02/03/2015				
Policy Review	As and When				
Scrutiny Panel	Fieldwork planned to commence 16/02/2015				
Crime Recording Follow Up	Q4				
Volunteering	Draft Report issued				
Regional HR – Training & Skills	Refer to comments included in the Change Control section				
Victims Code of Compliance	Draft Report issued				
Key Financial Controls	Draft Report issued				
Forensics Support Scientific Support	Refer to comments included in the Change Control section				

Assignment *Reports considered today are shown in italics*	Status	Opinion	Actions Agreed (by priority)		
			High	**Medium**	**Low**
Financial Regulations	Refer to comments included in the Change Control section				
Corporate Governance / Policy Making	Refer to comments included in the Change Control section				
Follow Up	Draft Report issued				
Regional Review	The scope has been agreed				

Other Matters

Planning and Liaison: We have met with management to discuss the progress of the 2014/15 audit plan.

We have commenced our regional collaboration assurance review and it is intended that the outcome of this review will be reported to the next meeting.

Internal Audit Plan 2014/15 - Change Control:

Action *Changes considered today are shown in italics*	Date	Agreed By
The regional HR Training & Skills audit has been requested to be deferred until 2015/16. However, it is intended to utilise the allocation for this review to complete the regional review (with Northamptonshire Police) on System Licensing.	September 2014	To be agreed by the Joint Audit & Scrutiny Panel – September 2014
We had an allocation for Financial Regulations & Corporate Governance, but this has not been required. Instead, the allocation will be utilised to complete regional work around the Assurance Framework for Collaborations.	December 2014	To be agreed by the Joint Audit & Scrutiny Panel – December 2014
We had an allocation for Forensics – Scientific Support, but this has not been required. Instead, the allocation will be utilised to complete some audit work around grants and grant allocations within Force.	December 2014	To be agreed by the Joint Audit & Scrutiny Panel – December 2014

For Information	
Public/Non Public	**Public**
Report to:	**Audit and Scrutiny Panel**
Date of Meeting:	**12th February 2015**
Report of:	**ACO Resources**
Report Author:	**Natalie Baker, Strategic Support Officer**
E-mail:	**natalie.baker@nottinghamshire.pnn.police.uk**
Other Contacts:	**Julie Mair, Organisational Development Manager** **Paul Steeples, Interim Head of Business and Finance**
Agenda Item:	**08**

AUDIT AND INSPECTION

1.   Purpose of the Report

1.1   To provide the Audit and Scrutiny Panel with an update on the status of audits and inspections taking place in Force. This report also informs the Panel of expected future audits and inspections.

2.   Recommendations

2.1   That the Panel notes the progress made against audit and inspection recommendations.

2.2   That the Panel takes note of forthcoming audit and inspections.

3.   Reasons for Recommendations

3.1   To enable the Panel to fulfil its scrutiny obligations to oversee and consider Force arrangements to deliver against audits and inspections.

4.   Summary of Key Points

4.1   The actions outlined in this report are the result of recommendations made by the Force's internal auditor Baker Tilly and external inspectorates, including Her Majesty's Inspectorate of Constabulary (HMIC). They are managed through the Force Activity Plan process and reported at the Chief Officer Portfolio Boards on a monthly basis.

4.2   Appendix 1 'Audit, Inspection and Review Status Report Quarter 3' gives a summary of current, recent and forthcoming audits, inspections and reviews taking place in force.

4.3   Appendix 2 outlines the actions arising from audits and inspections that are off target, at risk of being off target, closed, on target and new actions added in Quarter 3.

4.4 **Overdue actions -** There no actions showing as overdue on the Force Action Plan.

Please see appendix 2 for the most recent update.

4.5 **Recent Audits and Inspections.**
See appendix 1.

4.6 **Forthcoming audits and inspections**
See appendix 1.

4.7 A number of audit reports have recently been received and actions need to be agreed for these, there are also a number of reports due. All of these reports will be scrutinised and where necessary actions agreed and added to the Force Activity Plan.

5. Financial Implications and Budget Provision

5.1 There are no direct financial implications. 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.

6. Human Resources Implications

6.1 There are no direct HR implications. Where an audit or inspection has Human Resources implications, these will be managed through the Force Activity Plan.

7. Equality Implications

7.1 There are no direct equality implications. Any equality implications which arise from an audit or inspection recommendation will be managed on an individual basis.

8. Risk Management

8.1 There is a risk to Force reputation, if mandatory or agreed actions identified as a result of audit or inspections are not completed. The degree of risk will depend on the nature of the audit or inspection and will be assessed on a case by case basis.

9. Policy Implications and links to the Police and Crime Plan Priorities

9.1 Where an audit or inspection recommends changes to Force Policy or Strategy, those changes will be managed through the Force Activity Plan.

10. Changes in Legislation or other Legal Considerations

10.1   Where an audit or inspection relates to a change in Legislation or other legal considerations, those changes will be managed through the Force Activity Plan.

11.   Details of outcome of consultation

11.1   This process for monitoring audits, inspections and reviews has been agreed by the Chief Officer Team (COT).

11.2   Action owners are consulted through the action monitoring process.

12. Appendices

12.1   Appendix 1: Audit and Inspection Status Report Q3

Appendix 2: Actions arising from audits and inspections that are off target, at risk of being off target, proposed for closure, on target and new actions added in Quarter 3.

Appendix 1: Quarter 3 Audit and Inspection Status Report

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	Actions will be off target within one month and / or are unlikely to be completed by the end date.
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.

Current audits and inspections

					Actions				
COT Portfolio	Title	Scrutiny Body	Audit, Inspection or Review	Total number of actions	On target	At risk of being off target*	Off target	Proposed for Closure	Closed
ACC Specialist Services	Domestic Abuse	HMIC	Inspection	8	2			3	3
ACC Local Policing	Core Business: Making the Best Use of Police Time	HMIC	Inspection	8	8				
ACC Local Policing	Crime Data Integrity (November 2014)	HMIC	Inspection	5	5				
ACC Specialist Services	Crime Recording (May 2014)	HMIC	Inspection	5	5				
ACC Specialist Services	Crime Recording: Making the Victim Count (November 2014)	HMIC	Inspection	4	4				
ACC Specialist Services	Strategic Policing Requirement	HMIC	Inspection	1	1				
ACO Resources	Partnerships Governance	Baker Tilly	Audit	1					1
ACO Resources	Environmental Policy	Baker Tilly	Audit	1					1
ACO Resources	Workforce Planning	Baker Tilly	Audit	4					4
ACO Resources	Business Continuity & IT Disaster Recovery Planning	Baker Tilly	Audit	2	1				1
ACO Resources	Payments and Creditors	Baker Tilly	Audit	1				1	
				40	26	0	0	4	10

*Actions will be off target within one month and/ or are unlikely to be completed by the original target date.

Recent audits and inspections

COT Portfolio	Title	Description	Date	Force Lead	Status
ACC Specialist Services	HMIC: Interim Crime Inspection	An interim inspection that will concentrate on the effectiveness of forces at cutting crime and is designed to support forces to improve the way they reduce, prevent and investigate	31st September - 3rd October 2014	Det Ch Supt Jebb	Final report received. Activity arising out of recommendations to be captured.
ACO Resources	HMIC: Valuing the Police 4 Revisit	Re-inspection following recommendations from original March 2014 VTP4 Inspection.	16th October 2014	Supt Mark Holland	Recommendations implemented.
ACO Resources	Baker Tilly: Budgetary Control, Payroll and Expenses, Cash, Banking and Treasury Management, Fixed Assetts and Insurance.	Part of the annual audit of key financial controls.	6th – 20th October 2014.	John Gordon	Awaiting draft report.
ACC Local Policing	Baker Tilly: Volunteering	The review will consider how the use of volunteers is aligned to Force Priorities and linked to the requirements of Divisions and Force departments.	27th – 29th October 2014	Ch Insp Stapleford	Awaiting draft report.
ACO Resources	Baker Tilly: General Ledger, Income and Debtors, Payments and Creditors	Part of the annual audit of key financial controls.	w/c 24th November 2014.	John Gordon	Awaiting draft report.
ACO Resources	Follow Up	To meet the IIA Standards and to provide management with ongoing assurance	w/c 19th January 2015	Julie Mair	Awaiting draft report.

Forthcoming audits and inspections

COT Portfolio	Title	Description	Date	Force Lead	Planning and Policy SPOC
ACC Specialist Services	Police Response to Online Child Sexual Exploitation*	An additional inspection to update HMIC's original report on 21st Century Child	TBC	Supt Helen Chamberlain	Vijayshree Appa / Beverly Topham
ACC Specialist Services	HMIC: Unannounced Custody Inspection**	Part of the rolling programme of unannounced custody inspections.	TBC	Paul Saint	Vijayshree Appa / Beverly Topham
ACC Specialist Services	HMIC: Digital Crime and Policing Inspection	To be scoped.	January - March 2015	Supt Mark Pollock	Vijayshree Appa / Beverly Topham
ACC Local Policing	Baker Tilly: Victims Code of Compliance	To provide assurances over compliance with the new Victims Code.	w/c 5th January 2015	Ch Insp Murphy	Vijayshree Appa / Beverly Topham
ACO Resources	Baker Tilly: Governance – Delivery of Police and Crime Plan	To provide assurances that the Police and Crime Plan is being delivered as expected.	w/c 12th January 2015	Charlotte Radford	NA
ACC Local Policing	Baker Tilly: Partnerships	The review will provide assurance that the Force is maintaining its robust partnership links but in addition provide assurance that there is a mechanism in place for measuring outcomes for their investment in time, money and effort.	w/c 2nd March 2015	Supt Paul Burrows	Vijayshree Appa / Beverly Topham
ACO Resources	Baker Tilly: Corporate Governance/ Policy Making	This will include a review of the governance around policy making and policy decision to ensure a transparent and accountable decision making process is in place.	2014/15 Q4	Charlotte Radford	NA
ACO Resources	Baker Tilly: Scrutiny Panel Follow up	The review will provide assurance that the recommendations from the Scrutiny Panel reviews have been appropriately addressed and implemented or alternatively the resource can be used to assist the Scrutiny Panel with any particular views.	W/C 16th February 2015	Charlotte Radford	NA

* This is a thematic inspection. HMIC are yet to confirm whether Nottinghamshire will be visited as part of this inspection.
** Unannounced inspection, the Force will be informed on the Thursday prior to the fieldwork commencing.

Appendix 2: Audit and Scrutiny Panel - Actions Update Report

Quarter 3: February 2014

NB. Actions include those arising from recommendations highlighted by audit, inspection or intenal / external review, and any activity on the Force Activity Plan, where monitoring is required but not project management.

Summary	Previous	Current
Action(s) off target	0	0
Action(s) at risk of being off target	1	0
Action(s) proposed for closure	5	0
Action(s) on target	1	4
New action(s)	16	21
Total closed action(s)	3	10
Total actions	26	35

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	Actions will be off target within one month and / or are unlikely to be completed by the end date.
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.

Action(s) off target

Ref	Source/ Title	Action overview	Dept / Div	Action Owner	End date	Original end date	Action status	Action Update
There are no actions off target.								

Action(s) at risk of being off target

Ref	Source/ Title	Action overview	Dept / Div	Action Owner	End date	Original end date	Action status	Action Update
There are no actions at risk of being off target to report this quarter.								

Action(s) proposed for closure								
Ref	Source/ Title	Action overview	Dept / Div	Action Owner	End date	Original end date	Action status	Action Update

There are no actions proposed for closure to report this quarter.

New action(s)								
Ref	Source/ Title	Action overview	Dept / Div	Action Owner	End date	Original end date	Action status	Action Update
CH/04a5/16115	HMIC: Core Business: Making Best use of Police Time	Produce a high level project plan and include costs and the objectives of the National Policing Vision 2016 to progress the development of mobile technology	Information Services	Ian Rushton	01/09/2015	01/09/2015	On target	The Force currently have in place a mobile working solution using software from Capita. There is currently a Force strategic board and a project board chaired by ACC Torr and Ch Insp Antill, respectively, that is seeking a replacement system that needs to be in place by the end of next year. There is also a regional board lead by Simon Torr looking at the roadmap to a regional solution.
CH/64a8/15115	HMIC: Core Business: Making Best use of Police Time	Evaluate Violent Crime (other crime types) in any activity, operation or initiative to determine the effectiveness of the tactics employed. Record, evaluate and develop a central repositary to capture the learning.	Crime and Justice	DCI Robert Griffin	31/03/2015	31/03/2015	On target	Activity is driven through a Gold governance structure, and each project/ initiative is evaluated and then recorded on the action tracker. DCI Rob Griffin is currently looking at developing a library for activity/ operation/ initiatives, and the resultant evaluation, in respect of other crime types.
CH/84ba/15115	HMIC: Core Business: Making Best use of Police Time	Secure the first years funding from the PCC to enable the use and development of ECINS. This is a multi-agency tool designed to record, monitor and manage partnership problem solving activity.	Local Policing	Supt Richard Fretwell	31/03/2015	31/03/2015	On target	A partnership working group has been set up, a scoping document, business case and project delivery plan have been developed and are being worked to. At present, there is a delay concerning the first years funding. Future years funding will also need to be agreed with partners should the system be agreed. There is a procurement exercise underway so that to enable implementation of the system as soon as funding is agreed.
CH/b48f/16115	HMIC: Core Business: Making Best use of Police Time	Carry out research to improve understanding of local demand. The results of this research should be made available to the College of Policing and progress reported to HMIC in the annual force management statement.	Business and Finance	Keiley Freeman	30/09/2015	30/09/2015	On target	No update provided to date.
CH/c4a4/15115	HMIC: Core Business: Making Best use of Police Time	Develop CIMA to include a central repository for force wide Problem Solving activity. It should record, monitor and manage its neighbourhood problem-solving cases.	Local Policing	Mark Dean	31/03/2015	31/03/2015	On target	Supt Fretwell will be meeting with the project lead to review the problem solving database element of the project and through Neighbourhood Policing Inspectors and Community Safety Partnerships decide how best use this. A report will be provided to the SNB Performance Group to establish appetite to use this as the problem solving database.
CH/d484/15115	HMIC: Core Business: Making Best use of Police Time	Carry out a review of problem solving with partners and key stakeholders. Identify best practice to enable dissemination of information and how to share best practice from the problem-solving database throughout the force, as well as local authorities and other relevant organisations involved in community-based preventive policing or crime prevention.	Local Policing	Ch Insp Davies	30/09/2015	30/09/2015	On target	As NHP Lead, Supt Fretwell will work with partners, including CSP Executive Groups in the County and Local Area Groups in the City, to ensure the approach to problem solving is partnership led.
CH/f496/15115	HMIC: Core Business: Making Best use of Police Time	Track the progress and evaluate the success of actions taken in relation to each neighbourhood problem-solving case recorded on the database.	Local Policing	Ch Insp Davies	31/03/2015	31/03/2015	On target	Chief Inspector Phil Davies will look at how the database will be used to evaluate the actions taken in problem solving cases. Engagement, priority setting and problem solving are a work package in the NHP Review Project Board.
CH/04b2/20115	HMIC: Crime Data Integrity (November 2014)	Formally agree that the auditing of compliance with NCRS by the FCRs is to be planned and implemented according to an annual audit schedule that is approved by the crime recording management board. The audit schedule should include referrals made to the domestic abuse support unit by other organisations. Make this requirement part of Force policy for crime recording and work with the Corporate Documentation team to record and communicate accordingly.	Local Policing	Paul Cook	31/03/2015	31/03/2015	On target	No update provided to date.
CH/2484/20115	HMIC: Crime Data Integrity (November 2014)	Formally agree that in all cases where an out-of-court disposal is used the nature and implications of accepting the disposal must be explained to the offender. In addition, agree responsibilities for the supervision of out-of-court disposals. Make these decisions part of Force policy and procedure for out-of-court disposals and work with the Corporate Documentation team to record and communicate them accordingly. Note: An action to address the issue of a victim's views has been agreed in relation to the national HMIC report on crime recording.	Specialist Services	James West	31/03/2015	31/03/2015	On target	No update provided to date.
CH/5496/20115	HMIC: Crime Data Integrity (November 2014)	Prepare a report for attention of ACC Jupp, detailing current issues with duplicate records and implications for the Niche project.	Local Policing	Amanda Hinchcliffe	31/03/2015	31/03/2015	On target	No update provided to date.

CH/c48b/20115	HMIC: Crime Data Integrity (November 2014)	Update the Force Investigating Rape and Serious Sexual Assault Procedure (PD509) to accurately reflect NCRS for the recording of crime and to include a definition of additional verifiable information (AVI) and how it applies to the no-crime process. In addition, review the suitability of the current 'Rape no crime guidance' document (October 2010) and if it is still required then arrange for it to be made a formal corporate document.	Local Policing	Leah Johnson	31/03/2015	31/03/2015	On target	No update provided to date.
CH/e49b/22115	HMIC: Crime Data Integrity (November 2014)	Develop and deliver training to ensure a robust quality assurance process is adhered to within the force control room, including checking of compliance with the NCRS, to deliver continuous improvement and to secure crime data accuracy.	Local Policing	Paul Cook	31/03/2015	31/03/2015	On target	No update provided to date.
CH/649e/21115	HMIC: Crime Recording 'Making the Victim Count' (November 2014)	Formally agree that in all cases where an out-of-court disposal is used and there is a victim, the victim must be consulted before making the decision to issue or effect the disposal and a record must be made of the outcome of that consultation. In addition, agree that previous offending history should be checked whenever an out-of-court disposal is under consideration to verify that the offender is eligible and that a record must be made of the results of that check. Make these decisions part of Force policy and procedure for out-of-court disposals and work with the Corporate Documentation team to record and communicate them accordingly.	Criminal Justice	James West	31/03/2015	31/03/2015	On target	No update provided to date.
CH/84bf/21115	HMIC: Crime Recording 'Making the Victim Count' (November 2014)	Formally agree the principles and procedures used by the Force to audit compliance with NCRS, to specifically include the auditing of reports of serious sexual offences (including rapes). Make these decisions part of Force policy and procedure for crime recording and work with the Corporate Documentation team to record and communicate them accordingly.	Business and Finance	Paul Cook	31/03/2015	31/03/2015	On target	No update provided to date.
CH/9499/21115	HMIC: Crime Recording 'Making the Victim Count' (November 2014)	Formally agree responsibilities for supervisory oversight of crime recording decisions to monitor compliance with the HOCR, wherever those decisions are made. Make these responsibilities part of Force policy and procedure for crime recording and work with the Corporate Documentation team to record and communicate them accordingly.	Business and Finance	Ch Insp Burton	31/03/2015	31/03/2015	On target	No update provided to date.
CH/a4a9/21115	HMIC: Crime Recording 'Making the Victim Count' (November 2014)	Formally agree that when making crime recording decisions: - there should be a presumption that the victim is to be believed; - all reports of crime should be recorded as crimes at the earliest opportunity; - operational or performance pressures are not to be taken into account; - there should be no delay to the recording of a crime to allow for an initial investigation. Make these decisions part of Force crime recording policy and procedure then and work with the Corporate Documentation team to record and communicate them accordingly.	Business and Finance	Ch Insp Burton	31/03/2015	31/03/2015	On target	No update provided to date.
CH/4491/21115	Baker Tilly: Crime Recording (May 2014)	Formally agree a mandatory requirement for NCRS training, detailing the type of training, who should complete it and how often. Make this decision part of Force crime recording policy and then work with the Corporate Documentation team to record and communicate accordingly. The Force is in the process of obtaining a NCALT training package for NCRS from West Midlands Police which will form the basis of training to all staff. The FCRs are also delivering training to operational officers between now and December 2014.	Business and Finance	Ch Insp Burton	31/03/2015	31/03/2015	On target	No update provided to date.
CH/7495/21115	Baker Tilly: Crime Recording (May 2014)	Formally agree the process by which victims should be notified of a decision to record an incident as a crime, including instances where an incident is reclassified as a crime. Make this part of the Force crime recording policy and procedure then work with the Corporate Documentation team to record and communicate accordingly.	Business and Finance	Ch Insp Burton	31/03/2015	31/03/2015	On target	No update provided to date.
CH/74a1/21115	Baker Tilly: Crime Recording (May 2014)	Formally agree who has responsibility for the decision as to whether or not to record an incident as a crime. Make this decision part of Force crime recording policy and then record and communicate the decision accordingly.	Business and Finance	Ch Insp Burton	31/03/2015	31/03/2015	On target	No update provided to date.
CH/84a6/21115	Baker Tilly: Crime Recording (May 2014)	Update the Force Crime Recording Procedure to incorporate the process for tracking incidents that have been passed from one department to another for consideration and investigation.	Business and Finance	Paul Cook	31/03/2015	31/03/2015	On target	No update provided to date.
CH/d4ae/21115	Baker Tilly: Crime Recording (May 2014)	Review and if necessary update the Force Crime Registrar (FCR) job description, to include specific reference to management reporting lines.	Business and Finance	Ch Insp Burton	31/03/2015	31/03/2015	On target	No update provided to date.

Closed action(s)

Ref	Source/ Title	Action overview	Dept / Div	Action Owner	End date	Original end date	Action status	Action Update
BT/64a3/8914	HMIC: Domestic Abuse	Review the pilot being trialled on one of the control room groups wherby Dispatchers are closing DA incidents after all the checks have been verified as completed against a checklist. Managers to dip test incidents. Rollout to the rest of the groups if the trial is deemed a success.	Crime & Justice	Insp Lovegrove	30/11/2014	30/11/2014	Closed	Draft report submitted by PS Gaunt having completed one month's analysis of incidents. Recommendations from that report include: 1. All DV incidents to be closed by a supervisor with appropriate training. 2. The compliance checking should be a team approach by both control room managers and CRT sergeants. CRT sergeants should take the lead role as they already check compliance for NCRS. However, control room managers must be proactive in taking the task on during peak periods and solely between 02:00 -07:00 hours. 3 This would ensure violent incidents are not masked from NCRS checking by the DV priority tag. 4. Incidents need to be reviewed as they become available for closure so as not to become a burden on the supervisor. The report has been shared with the CM SLT for further discussion regarding the recommendations. **Action scrutinised by DCC and agreed as complete.**

Ref	Source/ Title	Action overview	Dept / Div	Action Owner	End date	Original end date	Action status	Action Update
BT/d493/8914	HMIC: Domestic Abuse	b) The recruitment into 3 posts in Public Protection has finalised. Research to compile a demand profile which will inform 'Delivering the Future' ACC Jupp supports the recent re structure. As PP is a critical function it is of a high priority to keep resourced. Cross ref with issue: Investigation teams are staffed to meet identified demand including DA (and other cases).	Crime & Justice	Supt Chamberlain	30/04/2015	30/04/2015	Closed	DCC scrutiny comment: There is good evidence of equality and diversity in the selection and promotion process. The Force ask questions around vulnerability and partnership working and recruit to values and competencies. Interviewees are assessed against decision making and leading people and working with others for example. The application form is assessed against the PP framework. **Action scrutinised by DCC and agreed as complete.**
BT/24b1/8914	HMIC: Domestic Abuse	Research to compile a demand profile which will inform 'Delivering the Future'.	Crime & Justice	Supt Helen Chamberlain	31/08/2015	31/08/2015	Closed	Demand modelling has taken place to support the business case for additional staff within Public Protection. **Action scrutinised by DCC and agreed as complete.**
BT/44b3/141113	Baker Tilly: Partnership Governance	Establish, communicate and implement a partnership policy to include a partnership working definition and adherence to the criteria according to the CIPFA guidance.	Business & Finance	Martin Bakalarcyzk	30/09/2014	31/10/2013	Closed	A Nottinghamshire CDP Partnership Policy is currently in development and the Force intends to use the experience and principles attained from that to inform the Force's general policy on Partnership Working. **Action scrutinised by CC and agreed as complete.**
BT/c482/13314	Baker Tilly: Environmental Policy	Work with Corporate Communications to develop and produce a Strategy and plan to ensure all employees are fully aware of environmental targets.	Assets	Andy Baker	30/09/2014	30/09/2014	Closed	The current Environmental Strategy has been refreshed and a meeting has taken place with Paul Coffey, Head of Corporate Communications, to develop a communication plan to address this. News articles and Force Messages have since been published to raise awareness of environmental targets. **Action scrutinised by CC and agreed as complete.**
BT/44b1/8914	HMIC: Domestic Abuse	Develop an intelligence log on MEMEX. Intelligence 'drops off' PNC after 28 days. This intelligence needs to be retained. This links to the National Work serial and perpretator management.	Crime & Justice	Det Insp Quinn	31/08/2015	31/08/2015	Closed	All successful applications for Domestic Violence Protection Orders (DVPO) are entered into MEMEX to provide corporate memory and for potential use for bad character evidence in future proceedings. Please show this action as complete. **Action scrutinised by DCC and agreed as complete.**
BT/0488/8914	HMIC: Domestic Abuse	Develop a clear multi-agency strategy to address DA, across the City and County. Identify ownership and incorporate defined objectives.	Crime & Justice	Supt Chamberlain	30/04/2015	30/04/2015	Closed	There isn't a multiagency strategy and it is not felt one is not required as there are clear City and County strategies which are aligned. This action is linked the action to 'Develop and implement a Joint Strategic Board for oversight of City and County.' **Action scrutinised by DCC and agreed as complete.**
BT/f4a4/8914	HMIC: Domestic Abuse	Develop and implement a Joint Strategic Board for oversight of domestic abuse issues within City and County partnerships. Link to action: Develop clear multi-agency strategies in the City and the County to address DA. Identify ownership and incorporate defined objectives. Ensuring that the strategies are aligned	Crime & Justice	Supt Chamberlain	30/04/2015	30/04/2015	Closed	A cross reference authority oversight meeting exists which oversees domestic abuse issues within City and County partnerships. **Action scrutinised by DCC and agreed as complete.**
BT/148d/11014	Baker Tilly: Payments and Creditors	Carry out a full review of old sales ledger and purchase ledger balances during 2014 with a recommendation that approval is obtained from the PCC as required under the financial regulations for any write off.	Business and Finance	Pamela Taylor	29/01/2015	31/12/2014	Closed	The relevant transactions have been identified and checks made to ensure that all avenues for recovery exhausted. The Treasurer approved the write off of £518.51 (net) from the Purchase Ledger and £45719.75 from the sales ledger on 30/12/14. The write offs have now been processed into the ledgers. **Action scrutinised by DCC and agreed as complete.**
BT/44b6/81014	Baker Tilly: Business Continuity & IT Disaster Recovery Planning	An action plan needs to be developed to ensure IT Information Services have a complete and up to date Business Continuity Toolkit	Information Services	Julie Mansfield	31/12/2014	31/12/2014	Closed	This recommendation requires a different approach. Paul White (Strategic Support Officer) is in discussion with the DCC re agreeing changes to the Business Continuity Policy which will be based on functions rather than departments.IT business continuity will form part of functional plans where necessary. Show this action as superceded. The IT disaster recovery actions are still valid. **Action scrutinised by FEB and agreed as superceded.**
Action(s) on target								
Ref	**Source/ Title**	**Action overview**	**Dept / Div**	**Action Owner**	**End date**	**Original end date**	**Action status**	**Action Update**
BT/24a2/111214	HMIC: Strategic Policing Requirement	Update the format of the Force Strategic Intelligence Assessment so that from the production of the next assessment report there is a separate section which describes the level of threat within Nottinghamshire in relation to each of the national threats in the SPR.	Crime & Justice	Richard Goold	30/09/2015	30/09/2015	On target	This year SPR factors were included within thematic themes to give the best overall impression of how local and national crimes problems are affecting Notts. We will look to include a seperate SPR section in next year's assessment to further highlight issues around national problems.

| BT/b4ad/81014 | Baker Tilly: Business Continuity and IT Disaster Recovery | Develop and action plan to ensure IT Information Services have an associated suite of recovery documentation covering all the identified critical IT services. | Information Services | Julie Mansfield | 30/06/2015 | 31/12/2014 | On target | Working instructions and knowledge is available within the teams and core recovery documentation for each of the IT services is held within the Business Continuity folder on the network. New documentation is published on the commissioning of each new or changed system or service. The documentation does require modernisation, however, the information is currently functional and appropriate and provides the information that the engineers need to restore a service in the event of failure.

A new target date of 30/06/2015 was agreed due to resource constraints. |
| CH/e4bc/15115 | HMIC: Core Business: Making Best use of Police Time | Review the role of the PCSO to assess the issue in relation to responding to incidents and crimes beyond their role profile. | Local Policing | Supt Richard Fretwell | 01/04/2015 | 31/12/2014 | On target | This action is taking part as part of the Delivering the Future work with regard to Neighbourhood Policing.

Safeguards are in place through the contact management policy to ensure PCSOs are not despatched to incidents inappropriately. The NHP Lead continues to engage with staff, through the Champions Group, and the Union, regularly to ensure any instances of PCSO's acting outside of their role profile are flagged and addressed.

A refresher training package is being developed for PCSOs which will address any issues of them responding to incidents and crimes beyond their role profile.

New target date agreed for 1st April 2015. |
| BT/9499/18314 | Baker Tilly: Workforce Planning | Add an authorised 'Acting and Temporary Duty' form reference into the 'Police Officer Acting Duties and Temporary Promotion Procedure'. | Human Resources | James Lunn | 30/04/2015 | 31/08/2014 | On target | A draft policy has been consulted widely and received general agreement to the proposals, however, this needs to be reviewed in light of the new National Police Promotion Framework (NPPF) and Delivering the Future (DTF) plans to move our HR shared service to the MFSS in Cheshire and for the operational and strategic HR teams to collaborate with Northamptonshire.

Due to resource implications in HR, in relation to change management, a new staff member will need to be recuited to complete this action.

Baker Tilly are currently dip sampling data and the Force are waiting to receive confirmation that the recommendation has been satisifed.

New target date agreed for 30th April 2015. |

For Information	
Public/Non Public*	**Public**
Report to:	**Joint Audit & Scrutiny Panel**
Date of Meeting:	**Thursday 12 February 2015**
Report of:	**DCC & Chief Executive**
Report Author:	**Paul White, Strategic Support Officer**
E-mail:	**paul.white@nottinghamshire.pnn.police.uk**
Other Contacts:	**Paul Steeples, Interim Head of Business & Finance**
	Julie Mair, Acting Organisational Development Manager
Agenda Item:	**9**

STRATEGIC RISK MANAGEMENT REPORT (2014/15 QUARTER 3)

1. Purpose of the Report

1.1 To provide the Joint Audit and Scrutiny Panel with an up to date picture of strategic risk management (to the end of 2014/15 Quarter 3) across Nottinghamshire Police (the Force) and the Nottinghamshire Office of the Police and Crime Commissioner (NOPCC).

2. Recommendations

2.1 That the Panel notes the current approach to strategic risk management and considers the assurance that this report provides as to the effectiveness of those arrangements within the Force and the NOPCC.

3. Reasons for Recommendations

3.1 A Strategic Risk Management Report is provided to the Joint Audit and Scrutiny Panel every six months to enable the Panel to consider the effectiveness of risk management within the Force and NOPCC, as part of their wider scrutiny of corporate governance arrangements.

4. Summary of Key Points

Risk management policy and process
4.1 The Force and the NOPCC have agreed to set a joint policy for the management of risk, in line with the Cabinet Office approved Management of Risk (M_o_R) approach.

4.2 This Risk Management Policy has been under review, and is in the final stages of consultation. A Risk Management Process Guide, which provides an overview of risk management techniques and their application in practice, has also been produced.

4.3 The revised policy introduces some significant changes to the way the Force and NOPCC will use risk management in their decision making in future. Some of those changes include:

- Each portfolio lead sets a risk management strategy for their area of responsibility, including risk appetite and tolerance levels and the risk management activities they expect to take place
- Portfolio and programme boards maintain strategic risk registers; divisions, departments and projects maintain operational risk registers
- The Force Executive Board and the Audit and Scrutiny Panel receive regular reports on strategic risk management, highlighting current High and Very High risks

4.4 These changes have been trialled over the past 6 months within the area of information risk management, resulting in refinements to the policy so that it can be rolled out to other business areas during 2015.

Strategic risk registers

4.5 Copies of the following strategic risk registers are appended to this report:

Appendix I – Strategic Operational Policing Risk Register
Appendix II – Strategic Corporate Services Risk Register
Appendix III – Strategic Information Risk Register
Appendix IV – Strategic NOPCC Risk Register

4.6 All risks within the Force's and NOPCC's risk registers are classified according to one of the following impact categories:

- Crime and community safety
- Operational efficiency & effectiveness
- Judicial proceedings
- Reputation
- Finances
- Compliance
- Life and safety
- Environment

4.7 The tables below provide an evaluation of the overall level of risk exposure within the Force at present in each of these categories; the current trend; a summary of those specific risks (both threats and opportunities) which are currently assessed as having a High or Very high risk rating; and the planned to response to those risks:

Risk type	Finances		
Overall risk exposure	High	Trend	⬌
Current top risks	Rating	Risk response plans	
The Force exceeds its annual budget for 2014/15	H	Contingency plan: use of reserves	

The Force exceeds its annual budget for 2015/16	H	Development & delivery of an efficiency savings plan for 2015/16
Failure of appeal against A19 tribunal decision	H	Appeal process; contingent liability in accounts

Risk type	Operational efficiency & effectiveness		
Overall risk exposure	**High**	**Trend**	
Current top risks	**Rating**	**Risk response plans**	
Mechanical or electrical failure at the Bridewell forces closure & temporary loss of custody provision	H	Business case for replacement / upgrade; custody business continuity plans to divert to neighbouring forces	
Loss of mobile data capability as Blackberry stocks run out	H	Upgrade existing BEAT system to be "device agnostic" & purchase alternative mobile devices	
Non-networked IT equipment not supported by Force IS team fails; essential information is not available	H	Forcewide review of non-networked IT equipment and adoption by IS team for future technical support	
Changes to the probation service result in increased demand for Force offender management	H	Governance of offender management through Joint Local Policing & Specialist Services Board & LCJB	

Risk type	Crime & community safety		
Overall risk exposure	**Medium**	**Trend**	
Current top risks	**Rating**	**Risk response plans**	
No risks currently rated High or Very high	N/A	N/A	

Risk type	Judicial proceedings		
Overall risk exposure	Medium	Trend	⬌
Current top risks	Rating	Risk response plans	
No risks currently rated High or Very high	N/A	N/A	

Risk type	Compliance		
Overall risk exposure	Medium	Trend	⬌
Current top risks	Rating	Risk response plans	
No risks currently rated High or Very high	N/A	N/A	

Risk type	Reputation		
Overall risk exposure	Medium	Trend	⬌
Current top risks	Rating	Risk response plans	
No risks currently rated High or Very high	N/A	N/A	

Risk type	Life & safety		
Overall risk exposure	Low	Trend	⬌
Current top risks	Rating	Risk response plans	
No risks currently rated High or Very high	N/A	N/A	

Risk type	Environment		
Overall risk exposure	Very low	Trend	
Current top risks		Rating	**Risk response plans**
No risks currently rated High or Very high		N/A	N/A

Closed strategic risks

4.8   The following strategic risks have been closed since the previous report:

Risk description	Date closed	Reason for closure
Opportunity to bid successfully for more than £1m from the Police Innovation Fund	August 2014	The risk (opportunity) was exploited successfully
Unauthorised access to Force information by an employee	November 2014	Risk to be assessed by individual information asset owners (IAOs)
Unauthorised third party access to Force information	November 2014	Risk to be assessed by individual information asset owners (IAOs)

Other risk management activity

4.9   There is a substantial amount of risk management activity currently taking place throughout the Force, supported by the Force risk practitioner. Some examples that the Panel should be aware of are as follows:

- Risk analysis of identified efficiency saving opportunities to enable prioritisation and tighter control over planned activity to reduce costs
- Development of an Information Asset Register (IAR) which will form the basis of a comprehensive approach to managing information risk
- Understanding the risks associated with implementation of Delivering the Future projects
- The application of the Risk Management Policy within programme and project management, including the Delivering the Future Programme
- Analysis of safety and compliance risks within the force's custody facilities to aid prioritisation of building works
- A review of health and safety incident data to identify significant risk factors and inform future preventative strategies
- A review of misconduct data to identify significant risk factors and inform future preventative strategies

- A review of the Psychosocial Risk Analysis report prepared for the Force by Dr Jonathan Houdmont in 2014, to identify potential risk reduction activities relating to workforce stress

5	**Financial Implications and Budget Provision**

5.1   The only current financial implications for the Force associated with the implementation of the Risk Management Policy come from the cost of membership of the public sector risk management association, Alarm. The annual subscription for the Force risk practitioner costs £160.

5.2   As part of the revised Risk Management Policy the Force and NOPCC have committed to maintaining at least one member of staff who is an accredited Management of Risk (M_o_R) registered practitioner. M_o_R training typically costs around £1,000 and is valid for 5 years. The current post holder's registration expires in November 2018.

6	**Human Resources Implications**

6.1   Providing professional advice on risk management is the responsibility of one Strategic Support Officer within the Planning and Policy team (Business and Finance department), who is trained as an M_o_R Registered Risk Practitioner and who is also responsible for advising on business continuity management.

6.2   General responsibility for managing risk forms an integral part of the job descriptions of individuals throughout the Force. An essential aspect of policy implementation will be the design and delivery of appropriate training to those individuals, which will be undertaken by the Force risk practitioner during 2015.

7	**Equality Implications**

7.1   There are no known equality implications associated with the implementation of the Risk Management Policy.

7.2   Where a particular risk is identified that could have an impact on the Force's or NOPCC's equality objectives that risk will be managed in line with the Risk Management Policy.

8	**Risk Management**

8.1   One of the main aims of the Risk Management Policy is to achieve consistent application of risk management principles and techniques across all areas of the Force and NOPCC.

8.2   If the Force and NOPCC do not practice effective risk management within their decision making there is a risk of non-compliance with the principles set out in the Joint Code of Corporate Governance. This risk was identified in the Force's Annual Governance Statement 2014 and is currently being managed

within the Business and Finance department risk register, with a risk rating of Medium.

9 Policy Implications and links to the Police and Crime Plan Priorities

9.1 The Force and Office of the Police and Crime Commissioner have agreed to set a joint Risk Management Policy based on the adoption of the M_o_R approach. This policy is currently in the final stages of consultation with division and department heads and should be published during the next Quarter.

9.2 An understanding and appreciation of strategic risk is important in determining the priorities in the Police and Crime Plan, and subsequently informing the development of effective strategies, policies and plans to address those priorities. It is expected that the implementation of the revised Risk Management Policy will lead to improved understanding of strategic risk and therefore impact positively on the achievement of Police and Crime Plan objectives.

10 Changes in Legislation or other Legal Considerations

10.1 The preparation and publication of an annual governance statement in accordance with the CIPFA/SOLACE Framework 'Delivering Good Governance in Local Government' is necessary to meet the statutory requirement set out in Regulation 4(2) of the Accounts and Audit (Amendment) (England) Regulations 2006 for authorities to prepare a statement of internal control. This includes the requirement to have "effective risk management systems in place".

10.2 A review of the Force's monthly Horizon Summary report has not identified any forthcoming changes in legislation that would affect the Force's and NOPCC's risk management arrangements.

10.3 Where potential changes in legislation or other legal considerations represent a significant threat or opportunity for the Force or the NOPCC these are evaluated and managed in line with the Risk Management Policy.

11 Details of outcome of consultation

11.1 The joint Risk Management Policy has been developed in consultation with the Chief Executive, the Chief Officer Team (COT), division and department heads and the Programme Management Office (PMO). This consultation is still open, but to date the most significant change that has been made was to the statement of risk capacity on the advice of the Commissioner's Chief Finance Officer.

12. Appendices

12.1 **Appendix I** – Strategic Local Policing Risk Register, 2014/15 Quarter 3

12.2 **Appendix II** – Strategic Corporate Services Risk Register, 2014/15 Quarter 3

12.3 **Appendix III** – Strategic Information Risk Register, 2014/15 Quarter 3

12.4 **Appendix IV** – Strategic NOPCC Risk Register, 2014/15 Quarter 3

Appendix I

Strategic Risk Register

Business area	Operational Policing
Responsible officer	ACC Local Policing & ACC Specialist Services
Period	Quarter 3, 2014/15

Identifier	Function	Risk description	Owner	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
C&J 009	Operational efficiency & effectiveness	Closure of Bridewell custody following mechanical or electrical failure, resulting in significantly reduced custody provision	ACC Specialist Services	Next 2 years	Med (3)	High (4)	High (12)	⬌	Reduce probability: • Business case for replacing ageing equipment; Reduce impact: • Custody business continuity plan to divert to other forces	Substantial
C&J 004	Operational efficiency & effectiveness	Changes to the probation service result in increased demand for offender management	ACC Specialist Services	2015	Med (3)	High (4)	High (12)	⬌	Reduce probability & impact: • Governance of offender management through Joint Performance Board and Local Criminal Justice Board	Limited
SPS 003	Life & safety	A fire at the Bridewell endangers the lives of officers, staff, detained persons and visitors	ACC Specialist Services	Next 2 years	Low (2)	Very high (5)	Med (10)	⬌	Reduce probability: • Business case for replacing ageing fire safety equipment	Limited

Appendix I - Strategic Operational Policing Risk Register Q3 2014-15

Identifier	Function	Risk description	Owner	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
LOC 003	Operational efficiency & effectiveness	County Council budget reductions result in increased demand for police services	ACC Local Policing	2014-17	Med (3)	Med (3)	Med (9)	⬅➡	Further analysis is required to understand the implications of this risk	Limited
LOC 005	Operational efficiency & effectiveness	City Council budget reductions result in increased demand for police services	ACC Local Policing	2014-17	Med (3)	Med (3)	Med (9)	⬅➡	Further analysis is required to understand the implications of this risk	Limited
LOC 001	Reputation	The Force reports a year on year increase in crime at the end of the 2014/15 financial year, resulting in criticism in the media which damages public perceptions and confidence	ACC Local Policing	April / May 2015	High (4)	Low (2)	Med (8)	⬇	Reduce impact: • Force performance media strategy	Reasonable

Appendix I - Strategic Operational Policing Risk Register Q3 2014-15

Closed risks

Identifier	Risk description	Reason for closure	Date closed	Closed by

Appendix I - Strategic Operational Policing Risk Register Q3 2014-15

Appendix – explanatory note

The risk category should be drawn from the following list:

- Crime & community safety
- Operational efficiency & effectiveness
- Judicial process
- Finances
- Reputation
- Life & safety
- Compliance
- Environment

The following definitions and criteria have been used to describe and assess the risks recorded in this risk register:

Probability	Score	Definition
Very high	5	Extremely likely to occur (>90% chance)
High	4	More likely to occur than not (66-90% chance)
Medium	3	As likely to occur as not (36-65% chance); or unknown
Low	2	Unlikely to occur (11-35% chance)
Very low	1	Extremely unlikely to occur (1-10% chance)

Appendix I - Strategic Operational Policing Risk Register Q3 2014-15

Impact	Score	Definition
Very high	5	Significant, lasting or permanent impact on objectives
High	4	Significant, temporary or noticeable, lasting impact on objectives
Medium	3	Noticeable, temporary or minor, lasting impact on objectives; or unknown
Low	2	Minor, temporary or minimal, lasting impact on objectives
Very low	1	Minimal, temporary impact on objectives

When assessing financial impact the following criteria have been used:

Impact	Score	Definition
Very high	5	£x,000,000s (millions)
High	4	£x00,000s (hundreds of thousands)
Medium	3	£x0,000s (tens of thousands)
Low	2	£x,000s (thousands)
Very low	1	£x00s (hundreds)

Appendix I - Strategic Operational Policing Risk Register Q3 2014-15

Probability is multiplied by Impact to give the overall Rating, which is colour coded, dependent upon whether the risk represents a threat (negative impact) or opportunity (positive impact) using the matrices below:

Threat scoring matrix

Impact		V low (1)	Low (2)	Medium (3)	High (4)	V high (5)
	V high (5)	5	10	15	20	25
	High (4)	4	8	12	16	20
	Medium (3)	3	6	9	12	15
	Low (2)	2	4	6	8	10
	V low (1)	1	2	3	4	5
		Probability				

Opportunity scoring matrix

Impact		V low (5)	Low (4)	Medium (3)	High (2)	V high (1)
	V high (5)	25	20	15	10	5
	High (4)	20	16	12	8	4
	Medium (3)	15	12	9	6	3
	Low (2)	10	8	6	4	2
	V low (1)	5	4	3	2	1
		Probability				

Confidence rating

The Confidence rating that is applied to each risk represents an evaluation of the source information used to assess the risk, as follows:

- Substantial – risk scoring is based on a significant amount of reliable data and / or intelligence
- Reasonable – risk scoring is based on some data and / or intelligence, but there are gaps or issues with reliability
- Limited – risk scoring is based on professional judgement alone

Appendix I - Strategic Operational Policing Risk Register Q3 2014-15

Appendix II

Strategic Risk Register

Business area	Corporate Services
Responsible officer	ACO Resources
Period	Quarter 3, 2014/15

Identifier	Category	Risk description	Owner	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
INS 002	Operational efficiency & effectiveness	Current BEAT system is only compatible with Blackberry mobile devices, so when stocks of Blackberrys run out the Force is unable to provide replacements which removes the mobile data capability of operational officers	Commercial Director	Aug 2015	High (4)	High (4)	High (16)	➡	Avoid the risk: • Upgrade existing BEAT system to be "device agnostic" • Purchase alternative mobile devices	Reasonable
COS 003	Finances	The Force's appeal against the employment tribunal ruling on use of Reg A19 fails, resulting in the award of compensation to c100 former officers	DCC	Summer 2015	Med (3)	Very high (5)	High (15)	➡	Avoid the risk: • Appeal process Contingency plan: • Contingent liability in accounts for 2014/15	Reasonable
INS 001	Operational efficiency & effectiveness	Force telephony infrastructure is nearing the end of its operational life, increasing the probability of critical failure resulting in temporary loss of internal & external communications capability	Commercial Director	2016/17	Med (3)	Med (3)	Med (9)	➡	Reduce probability: • Replace Force-wide & control room telephony Reduce impact: • Contact Management business continuity plans to divert calls to other forces	Reasonable

Appendix II - Strategic Corporate Services Risk Register Q3 2014-15

Closed risks

Identifier	Risk description	Reason for closure	Date closed	Closed by
B&F 001	The Force successfully bids for in excess of £1m from the Police Innovation Fund in 2015/16	The risk (opportunity) was exploited successfully	August 2014	ACO Resources

Appendix II - Strategic Corporate Services Risk Register Q3 2014-15

Appendix – explanatory note

The risk category should be drawn from the following list:

- Crime & community safety
- Operational efficiency & effectiveness
- Judicial process
- Finances
- Reputation
- Life & safety
- Compliance
- Environment

The following definitions and criteria have been used to describe and assess the risks recorded in this risk register:

Probability	Score	Definition
Very high	5	Extremely likely to occur (>90% chance)
High	4	More likely to occur than not (66-90% chance)
Medium	3	As likely to occur as not (36-65% chance); or unknown
Low	2	Unlikely to occur (11-35% chance)
Very low	1	Extremely unlikely to occur (1-10% chance)

Appendix II - Strategic Corporate Services Risk Register Q3 2014-15

Impact	Score	Definition
Very high	5	Significant, lasting or permanent impact on objectives
High	4	Significant, temporary or noticeable, lasting impact on objectives
Medium	3	Noticeable, temporary or minor, lasting impact on objectives; or unknown
Low	2	Minor, temporary or minimal, lasting impact on objectives
Very low	1	Minimal, temporary impact on objectives

When assessing financial impact the following criteria have been used:

Impact	Score	Definition
Very high	5	£x,000,000s (millions)
High	4	£x00,000s (hundreds of thousands)
Medium	3	£x0,000s (tens of thousands)
Low	2	£x,000s (thousands)
Very low	1	£x00s (hundreds)

Appendix II - Strategic Corporate Services Risk Register Q3 2014-15

Probability is multiplied by Impact to give the overall Rating, which is colour coded, dependent upon whether the risk represents a threat (negative impact) or opportunity (positive impact) using the matrices below:

Threat scoring matrix

Impact		Probability				
V high (5)		5	10	15	20	25
High (4)		4	8	12	16	20
Medium (3)		3	6	9	12	15
Low (2)		2	4	6	8	10
V low (1)		1	2	3	4	5
		V low (1)	Low (2)	Medium (3)	High (4)	V high (5)

Opportunity scoring matrix

Impact		Probability				
V high (5)		25	20	15	10	5
High (4)		20	16	12	8	4
Medium (3)		15	12	9	6	3
Low (2)		10	8	6	4	2
V low (1)		5	4	3	2	1
		V low (5)	Low (4)	Medium (3)	High (2)	V high (1)

Confidence rating

A Confidence rating is applied to each risk, which represents an evaluation of the source information used to assess the risk, as follows:

- Substantial – risk scoring is based on substantial, reliable data and / or intelligence
- Reasonable – risk scoring is based on some data and / or intelligence, but there are gaps or issues with reliability
- Limited – risk scoring is based on professional judgement alone

Appendix II - Strategic Corporate Services Risk Register Q3 2014-15

Appendix III

Strategic Risk Register

Business area	Information
Responsible officer	DCC as Senior Information Risk Owner (SIRO)
Period	Quarter 3, 2014/15

Identifier	Category	Risk description	Owner	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
INF 033	Operational efficiency & effectiveness	DIEU, Op Vanguard & several other IT assets are not connected to the Force network & supported by IS, increasing the probability that equipment failure accidentally compromises the availability of multiple information assets which impacts on the delivery of objectives across the Force	DCC (SIRO)	2015	Med (3)	High (4)	High (12)	⟷	Reduce the probability (DIEU only, temporary): • 6 workstations updated by DIEU; Reduce the probability (all): • IS to review all standalone IT assets across the Force & provide technical support	Reasonable
INF 016	Judicial process	Audio / video recordings passed to CPS are lost within their offices, accidentally compromising availability of evidential information, causing delays which reduce the efficiency of the judicial process & creating unnecessary work for the DIEU	DCC (SIRO)	Every month	Very high (5)	Low (2)	Med (10)	⟷	Reduce the probability: • Issues have been reported to the ICO; • Exploration with CPS of options to tighten the process	Substantial

Appendix III - Strategic Information Risk Register Q3 2014-15

Identifier	Category	Risk description	Owner	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
INS 007	Operational efficiency & effectiveness	Force policy to allow remote access to the network via SSL VPN using employees' own devices (BYOD) results in the national accreditor denying accreditation to MFSS, which prevents delivery of the project & realisation of project benefits	DCC (SIRO)	March 2015	Low (2)	Very high (5)	Med (10)	**NEW**	Avoid the risk: • Change remote working policy to only allow remote access using Force-owned devices; • Provide new laptops to top 200 remote access users	Substantial
INF 008	Operational efficiency & effectiveness	System security vulnerabilities within Windows XP following expiry of MS support enable an external hacker to breach the Force network, deliberately compromising the availability of multiple information assets which impacts on the delivery of objectives across the Force	DCC (SIRO)	2014/15	Low (2)	High (4)	Med (8)	⬌	Reduce the probability: • Existing network security; • Extra 12 months XP support from Microsoft; • Windows 7 project to upgrade operating system	Limited

Appendix III - Strategic Information Risk Register Q3 2014-15

Identifier	Category	Risk description	Owner	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
INS 003	Operational efficiency & effectiveness	Force policy to allow remote access to the network via SSL VPN using employees' own devices (BYOD) and continued use of Windows XP results in the national accreditor denying the Force permission to connect to the national Public Services Network (PSN), which reduces operational efficiency and effectiveness	DCC (SIRO)	Summer 2015	Low (2)	High (4)	Med (8)	↔	Avoid the risk: • Change remote working policy to only allow remote access using Force-owned devices; • Provide new laptops to top 200 remote access users; • Windows 7 project	Reasonable
INF 019	Judicial proceedings	With limited back-up capability at Holmes House, equipment failure accidentally compromises the availability of information assets accessed through DIU IT systems, which impacts on the provision of evidence and reduces the efficiency of the judicial process	DCC (SIRO)	2015	Low (2)	High (4)	Med (8)	↓	Reduce the probability: • Project to relocate DIU to FHQ & utilise back-up capability	Reasonable

Appendix III - Strategic Information Risk Register Q3 2014-15

Closed risks

Identifier	Risk description	Reason for closure	Date closed	Closed by
INF 030	Breach of FHQ security through unattended main gate resulting in harm to individuals or damage to property	Risk reduced to acceptable level; to be monitored through security incident reporting procedure	August 2014	FIAB
INF 020	Loss of access to information if Mansfield servers overheat following air-con failure	Risk reduced to acceptable level through installation of replacement air-con units	August 2014	FIAB
INF 017	Unauthorised access to Force information by an officer, member of staff or volunteer (probability unknown)	Risk to be assessed by individual information asset	November 2014	FIAB
INF 010	Unauthorised third party access to Force information (probability unknown)	Risk to be assessed by individual information asset	November 2014	FIAB

Appendix III - Strategic Information Risk Register Q3 2014-15

Appendix – explanatory note

The risk category should be drawn from the following list:

- Crime & community safety
- Operational efficiency & effectiveness
- Judicial process
- Finances
- Reputation
- Life & safety
- Compliance
- Environment

The following definitions and criteria have been used to describe and assess the risks recorded in this risk register:

Probability	Score	Definition
Very high	5	Extremely likely to occur (>90% chance)
High	4	More likely to occur than not (66-90% chance)
Medium	3	As likely to occur as not (36-65% chance); or unknown
Low	2	Unlikely to occur (11-35% chance)
Very low	1	Extremely unlikely to occur (1-10% chance)

Appendix III - Strategic Information Risk Register Q3 2014-15

Impact	Score	Definition
Very high	5	Significant, lasting or permanent impact on objectives
High	4	Significant, temporary or noticeable, lasting impact on objectives
Medium	3	Noticeable, temporary or minor, lasting impact on objectives; or unknown
Low	2	Minor, temporary or minimal, lasting impact on objectives
Very low	1	Minimal, temporary impact on objectives

When assessing financial impact the following criteria have been used:

Impact	Score	Definition
Very high	5	£x,000,000s (millions)
High	4	£x00,000s (hundreds of thousands)
Medium	3	£x0,000s (tens of thousands)
Low	2	£x,000s (thousands)
Very low	1	£x00s (hundreds)

Appendix III - Strategic Information Risk Register Q3 2014-15

Probability is multiplied by Impact to give the overall Rating, which is colour coded, dependent upon whether the risk represents a threat (negative impact) or opportunity (positive impact) using the matrices below:

Impact						
V high (5)	5	10	15	20	25
High (4)	4	8	12	16	20
Medium (3)	3	6	9	12	15
Low (2)	2	4	6	8	10
V low (1)	1	2	3	4	5
	V low (1)	Low (2)	Medium (3)	High (4)	V high (5)
			Probability		

Threat scoring matrix

Impact						
V high (5)	25	20	15	10	5
High (4)	20	16	12	8	4
Medium (3)	15	12	9	6	3
Low (2)	10	8	6	4	2
V low (1)	5	4	3	2	1
	V low (5)	Low (4)	Medium (3)	High (2)	V high (1)
			Probability		

Opportunity scoring matrix

Confidence rating

The Confidence rating that is applied to each risk represents an evaluation of the source information used to assess the risk, as follows:

- Substantial – risk scoring is based on a significant amount of reliable data and / or intelligence
- Reasonable – risk scoring is based on some data and / or intelligence, but there are gaps or issues with reliability
- Limited – risk scoring is based on professional judgement alone

Appendix III - Strategic Information Risk Register Q3 2014-15

Appendix IV

Strategic Risk Register

Business area	Nottinghamshire Office of the PCC (NOPCC)
Responsible officer	Chief Executive
Period	Quarter 3, 2014/15

Strategic Risk Register

Identifier	Function	Risk description	Owner	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
PCC 003	Finances	The Force is unable to reduce expenditure by £12.7m during 2014/15 and exceeds its annual budget	Chief Finance Officer	April 2015	High (4)	High (4)	High (16)	⬆	Contingency plan: • Increase use of reserves to balance budget	Substantial
PCC 004	Finances	The Force is unable to reduce expenditure by around £10m during 2015/16 and exceeds its annual budget	Chief Finance Officer	June 2016	Med (3)	Very high (5)	High (15)	⬇	Reduce probability & impact: • Development & delivery of an efficiency savings plan for 2015/16	Limited
PCC 001	Crime & community safety	Government funding cuts reduce the budget that can be made available to the Chief Constable, resulting in an increase in crime in 2015/16	Performance & Assurance Manager	Jun 2016	Low (2)	Very High (5)	Med (10)	⬌	Reduce probability: • Police & Crime Plan priorities for prevention & early intervention; • PCC's Alcohol Strategy	Limited
PCC 002	Operational efficiency & effectiveness	Government funding cuts reduce the budget that can be made available to the Chief Constable, resulting in a reduced quality of service in 2015/16	Performance & Assurance Manager	Jun 2016	Low (2)	Very high (5)	Med (10)	⬌	Reduce probability: • Police & Crime Plan priorities for victims, witnesses & vulnerable people; • PCC's Victim Strategy	Limited

Appendix IV - Strategic NOPCC Risk Register Q3, 2014/15

Strategic Risk Register

Identifier	Function	Risk description	Owner	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
PCC 005	Finances	The Home Office review of Police & Crime funding results in Nottinghamshire Police receiving a smaller settlement than it does at present	Chief Finance Officer	tbc	Low (2)	High (4)	Med (8)	⬌	Reduce probability: • PCC's CFO involvement through PaCCTS; • Lobbying Government for a better deal on funding formula, police grant, precept and community safety fund	Limited

Appendix IV - Strategic NOPCC Risk Register Q3, 2014/15

Strategic Risk Register

Closed risks				
Identifier	**Risk description**	**Reason for closure**	**Date closed**	**Closed by**

Strategic Risk Register

Appendix – explanatory note

The risk category should be drawn from the following list:

- Crime & community safety
- Operational efficiency & effectiveness
- Judicial process
- Finances
- Reputation
- Life & safety
- Compliance
- Environment

The following definitions and criteria have been used to describe and assess the risks recorded in this risk register:

Probability	Score	Definition
Very high	5	Extremely likely to occur (>90% chance)
High	4	More likely to occur than not (66-90% chance)
Medium	3	As likely to occur as not (36-65% chance); or unknown
Low	2	Unlikely to occur (11-35% chance)
Very low	1	Extremely unlikely to occur (1-10% chance)

Appendix IV - Strategic NOPCC Risk Register Q3, 2014/15

Strategic Risk Register

Impact	Score	Definition
Very high	5	Significant, lasting or permanent impact on objectives
High	4	Significant, temporary or noticeable, lasting impact on objectives
Medium	3	Noticeable, temporary or minor, lasting impact on objectives; or unknown
Low	2	Minor, temporary or minimal, lasting impact on objectives
Very low	1	Minimal, temporary impact on objectives

When assessing financial impact the following criteria have been used:

Impact	Score	Definition
Very high	5	£x,000,000s (millions)
High	4	£x00,000s (hundreds of thousands)
Medium	3	£x0,000s (tens of thousands)
Low	2	£x,000s (thousands)
Very low	1	£x00s (hundreds)

Appendix IV - Strategic NOPCC Risk Register Q3, 2014/15

Strategic Risk Register

Probability is multiplied by Impact to give the overall Rating, which is colour coded, dependent upon whether the risk represents a threat (negative impact) or opportunity (positive impact) using the matrices below:

Impact		V low (1)	Low (2)	Medium (3)	High (4)	V high (5)
	V high (5)	5	10	15	20	25
	High (4)	4	8	12	16	20
	Medium (3)	3	6	9	12	15
	Low (2)	2	4	6	8	10
	V low (1)	1	2	3	4	5
		V low (1)	Low (2)	Medium (3)	High (4)	V high (5)
		Probability				

Impact		V low (5)	Low (4)	Medium (3)	High (2)	V high (1)
	V high (5)	25	20	15	10	5
	High (4)	20	16	12	8	4
	Medium (3)	15	12	9	6	3
	Low (2)	10	8	6	4	2
	V low (1)	5	4	3	2	1
		V low (5)	Low (4)	Medium (3)	High (2)	V high (1)
		Probability				

Threat scoring matrix
Opportunity scoring matrix

Confidence rating

The Confidence rating that is applied to each risk represents an evaluation of the source information used to assess the risk, as follows:

- Substantial – risk scoring is based on a significant amount of reliable data and / or intelligence
- Reasonable – risk scoring is based on some data and / or intelligence, but there are gaps or issues with reliability
- Limited – risk scoring is based on professional judgement alone

Appendix IV - Strategic NOPCC Risk Register Q3, 2014/15

For Information	
Public/Non Public*	**Public**
Report to:	**Joint Audit & Scrutiny Panel**
Date of Meeting:	**Thursday 12 February 2015**
Report of:	**DCC**
Report Author:	**Paul White, Strategic Support Officer (Risk & Business Continuity)**
E-mail:	**paul.white@nottinghamshire.pnn.police.uk**
Other Contacts:	**Paul Steeples, Head of Business & Finance** **Julie Mair, Acting Organisational Development Manager**
Agenda Item:	**10**

BUSINESS CONTINUITY MANAGEMENT REPORT (2014/15)

1. Purpose of the Report

1.1 To provide the Joint Audit and Scrutiny Panel with an up to date picture of business continuity management within Nottinghamshire Police.

2. Recommendations

2.1 That the Panel notes the current state of business continuity management within the Force and receives assurance as to the effectiveness of those arrangements and future plans for improvement.

3. Reasons for Recommendations

3.1 A report on business continuity management is provided to the Joint Audit and Scrutiny Panel every year to enable the Panel to consider the effectiveness of the Force's arrangements, as part of their wider scrutiny of corporate governance.

4. Summary of Key Points

Business continuity policy and strategy

4.1 The Force has in place a Business Continuity Policy (PS 170) and Strategy (CS 040), which were both revised during 2013 to align them with the international standard for business continuity management (ISO 22301).

4.2 The Association of Chief Police Officers (ACPO) has recommended 13 critical functions for police forces, which have been adopted by the Force as the basis of its Business Continuity Strategy. Those functions are (in no particular order):

- Receipt of 999 calls
- Command and control
- Response to emergency calls
- Major incident response
- Crime investigation

- Management of operational intelligence and information
- Maintenance of public order
- Security and protection
- Custody management
- Critical case progression and management
- Community policy (reassurance)
- Communications and media handling
- Health, safety and welfare of officers and staff

4.3   Current Force policy requires all divisions and departments to maintain their own business continuity plans, based on a structured corporate approach that is built around planning for each of four specific risks:

- Severe winter weather
- Pandemic influenza
- Industrial action
- Fuel shortage

4.4   Since the introduction of changes to the business continuity planning process and required documentation in 2014, approximately half of the Force's business areas have prepared updated plans. The most comprehensive and routinely tested plan is that belonging to Contact Management, which provides for the continuation of emergency call handling in the event of a loss of essential ICT, staffing or premises. The command and control system used by the control room is also prioritised by Information Services within their disaster recovery plans.

4.5   The Force's current policy and strategy are now being reviewed, for several reasons: the main aspects of each have been in place for several years; and circumstances have changed substantially both in terms of external risks and the internal structures of the Force.

4.6   The principal changes in policy that are under consideration involve a refocus of the Force's business continuity plans on critical functions (as opposed to all divisions and departments) and a simplification of planning documentation (to a more flexible and pragmatic approach that supports improved communication to stakeholders). This approach could then be supported by the provision of general business continuity advice to employees, relevant both to their working lives and their personal lives.

Business continuity test and exercise

4.7   Each plan owner is required to carry out at least one test of their business continuity plan every year, and record the outcome of that test.

4.8   In June 2014 members of the Force's Business Continuity Forum took part in Exercise Candle, a table top exercise based on an incident of industrial action and resultant civil unrest involving power station workers. Where necessary, business continuity plans were updated following a review of the exercise.

4.9   In September 2014, members of the regional business continuity forum organised Exercise Oceanus, designed to test the business continuity arrangements of the East Midlands Special Operations Unit (EMSOU) and specifically plans for the loss of access to Titan House. The exercise was coordinated by the Business Continuity Manager from Derbyshire Constabulary. The main learning points from the exercise were as follows:

- The EMSOU management team were able to respond in a coordinated and effective manner to each of the challenges posed during the exercise
- There was an absence of formally documented business continuity plans, which should be rectified as soon as practicable

4.10   A business continuity plan test and exercise programme for 2015/16 is currently in development.

Other business continuity matters

4.11   A current Force project is developing plans for a multi-agency Strategic Command Centre (SCC), which would be activated in the event of a major critical incident. This is likely to involve the SCC taking over existing office space at Force Headquarters, currently occupied by the Business and Finance department. In order to ensure that officers and staff continue to receive salary payments if this should happen, a review of business continuity arrangements is taking place which also considers the implications of the Multi-Force Shared Services (MFSS) collaboration project.

4.12   During 2014/15 the Force has also contributed to two important reviews of business continuity arrangements:

- A report to the Nottinghamshire Local Resilience Forum (LRF)
- The Cabinet Office bi-annual National Capability Survey (NCS)

5	**Financial Implications and Budget Provision**

5.1   There are no direct financial implications associated with business continuity management within the Force. However, if the Force wishes to provide basic business continuity training to specific individuals the typical cost of introductory training is likely to be around £1,000.

6	**Human Resources Implications**

6.1   Professional support for business continuity management is provided by one Strategic Support Officer within the Planning and Policy team (Business and Finance department), who has completed the Emergency Planning College (EPC) introduction to business continuity management course and who is also responsible for advising on risk management.

6.2   General responsibility for business continuity management forms an integral part of the job descriptions of individuals managing critical functions within the Force.

7	Equality Implications

7.1   There are no known equality implications associated with the implementation of business continuity management within the Force.

8	Risk Management

8.1   Business continuity management is closely linked to the management of risk. Whilst the Force will maintain business continuity plans for its critical functions in order to meet its statutory obligations, an awareness and assessment of current risks will enable those plans to take account of changing circumstances and will therefore lead to better and more effective business continuity plans.

9	Policy Implications and links to the Police and Crime Plan Priorities

9.1   See Section 4 above for an overview of current policy and proposed changes relating to business continuity management.

9.2   There is no specific reference to business continuity management in the Police and Crime Plan.

10	Changes in Legislation or other Legal Considerations

10.1   The Civil Contingencies Act 2004 places a statutory duty on all Category 1 responders (which includes the police) to maintain plans to ensure they continue to perform their functions in the event of an emergency, so far as is reasonably practicable. An emergency is defined as an event that threatens serious damage to human welfare, the environment or the security of a place in the United Kingdom. The qualification "so far as is reasonably practicable" means that in practice the Force is required to maintain plans for the continuity of its most critical functions to an acceptable level.

10.2   A review of the Force's monthly Horizon Summary report has not identified any forthcoming changes in legislation that would affect current business continuity management arrangements.

11	Details of outcome of consultation

11.1   Initial consultation with members of the Force's Business Continuity Forum has taken place as part of the review of current policy and strategy. The main learning points to have emerged so far are as follows:

- The Business Continuity Forum is a useful way of bringing key stakeholders together to consider relevant risks and issues, as well as to carry out tests of current plans

- The current approach to business continuity planning is rigorous and thorough, but may be overly complicated and could be made more pragmatic

12. Appendices

12.1   None.

For Information	
Public/Non Public*	**Public**
Report to:	**Joint Audit and Scrutiny Panel**
Date of Meeting:	**12 February 2015**
Report of:	**Police & Crime Commissioner**
Report Author:	**Business Support Manager**
E-mail:	**Lisa.Gilmour@nottinghamshire.pnn.police.uk**
Other Contacts:	
Agenda Item:	**11**

*If Non Public, please state under which category number from the guidance in the space provided.

FREEDOM OF INFORMATION MONITORING, REVIEW AND ASSURANCE

1. Purpose of the Report

1.1 The purpose of this report is to provide the Joint Audit and Scrutiny Panel (the Panel) with assurance that the Nottinghamshire Office of the Police and Crime Commissioner is working in full compliance of the Freedom of Information (FOI) Act 2000.[1]

1.2 The FOI Act 2000 provides public access to information held by public authorities. It does this in two ways:

- Public authorities are obliged to publish certain information about their activities; and
- Members of the public are entitled to request information from public authorities.

1.3 The Elected Local Policing Bodies (Specified Information) Order 2011 ("the 2011 Order") specifies information which must be published by a Police and Crime Commissioner.[2]

2. Recommendations

2.1 That the panel notes the report.

3. Reasons for Recommendations

3.1 The Panel have a responsibility to ensure that the Commissioner and Chief Constable discharge their legal obligations and responsibilities.

3.2 The public also hold Commissioners to account through being able to benchmark their performance and vote accordingly in elections. To help the public fulfil this role there are 33 separate pieces of information that Commissioners much publish to comply with The Elected Local Policing Bodies (Specified Information) Order 2011 such as data on salaries and contracts.

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[1] Freedom of Information Act 2000
[2] Elected Local Policing Bodies (Specified Information) Order 2011

3.3 On the 24th September 2014 the Home Officer reviewed PCC websites for compliance with The Elected Local Policing Bodies (Specified Information) Order 2011.

3.4 On the 1st October 2014 the Home Office marked Nottinghamshire as being compliant.

3.5 This report provides assurance to the Panel that the information required to be published by the Commissioner is available and accessible on the Commissioner's website.

4. Summary of Key Points

4.1 The Office of the Police and Crime Commissioner received 30 requests for information between the period of 1 January – 31 December 2014. Details of the requests are published on the Police and Crime Commissioner's website. Please see Appendix A for further details.

4.2 100% of the requests for information were acknowledged within 5 working days.

4.3 100% of the requests for information were responded to within the 20 working days deadline.

4.4 The most common requests for information are regarding the Police & Crime Commissioner's staffing and expenses.

4.5 For the same period in 2013, the Office of the Police and Crime Commissioner received 53 requests for information.

4.6 The Office of the Police and Crime Commissioner is fully compliant with the Elected Local Policing Bodies (Specified Information) Order 2011. The information is detailed on the Police and Crime Commissioner's website via the follow website address:

http://www.nottinghamshire.pcc.police.uk/Get-in-touch/Freedom-of-Information/Publication-Scheme.aspx

4.7 The Order is reviewed by the Business Support Manager on at least a quarterly basis to ensure information is up to date and accurate.

5. Financial Implications and Budget Provision

5.1 None

6.   Human Resources Implications

6.1   None

7.   Equality Implications

7.1   None

8.   Risk Management

8.1   None

9.   Policy Implications and links to the Police and Crime Plan Priorities

9.1   None

10. Changes in Legislation or other Legal Considerations

10.1   None

11.   Details of outcome of consultation

11.1   None

12. Appendices

12.1   Nottinghamshire Police & Crime Commissioner Freedom of Information requests January – December 2014.

13. Background Papers (relevant for Police and Crime Panel Only)

13.   N/A

NB
See guidance on public access to meetings and information about meetings for guidance on non-public information and confidential information.

NOTTINGHAMSHIRE POLICE & CRIME COMMISSIONER
FREEDOM OF INFORMATION REQUESTS

DATE	FOI REF	REQUEST DETAILS	RESPONSE SENT
10.1.14	256/14	**Expenses** Police and Crime Commissioner's itemised list of expenses claims for under £500 made between November 2012 and November 2013.	14.1.14
11.1.14	258/14	**Deputy Police and Crime Commissioner** Under the terms of the Freedom of Information Act 2000, please provide full answers to each of the following questions: 1. What is your deputy PCC's annual salary? 2. How many hours a week are they contracted to work? 3. How many public events has your deputy PCC attended since they were appointed? If possible please specify what they were ie Police and Crime Panel meeting on January 1st, country show on January 2nd etc. 4. Are there any performance targets for your deputy PCC and if so, what are they and have they been met? 5. If you could send me links to their declaration of interests, expenses and hospitality that would be great.	21.1.14
15.1.14	327/14	**Police and Crime Panel** 1. How many times has the police and crime panel met since the election? 2. How many public questions have been submitted in total?	16.1.14
10.02.14	1131/14	**On the Spot Fines** I understand that last year new legislation was introduced allowing police officers to issue on the spot fines for more traffic offences including "tailgating",now I have been subject to this on many occasions ,as you probably have. Could you please inform me how many people have been prosecuted for this offence in Nottinghamshire since the new legislation was introduced ? So how can the force save money ,its pretty pointless spending lots of money on police vehicles ,just to have them parked up outside police stations .	10.02.14

DATE	FOI REF	REQUEST DETAILS	RESPONSE SENT
19.2.14	1384/14	**Volunteers** 1. How many police support volunteers* were registered with your force as at 1 January 2014? 2. What was the total number of hours worked by all police support volunteers in your force for the last recorded 12 month period? 3. Please list each different role description for your police support volunteers and the department in which each role is deployed. 4. What was the total cost to your force of deploying police support volunteers over the last recorded 12 month period? 5. Please describe any plans to increase the number of, or change/add to the role descriptions for, police support volunteers in your force? *Please do not include any information on special constables in your response.	19.2.14
16.2.14	1411/14	**Nottinghamshire Police Protocols** 1. Does your force have a protocol in place for officers dealing with victims of strangulation who have been strangled by an alleged offender? If yes please attach a copy of this protocol. 2. Does your force have in place a protocol for officers dealing with a suspect who they have had to use control and restraint techniques against? If yes please attach a copy of this protocol. 3. Does your force have in place a training programme for police officers to help them to identify and prosecute strangulation? If yes please supply a copy of the training programme and its objectives and how long this training lasts. 4. The number of MARAC's held in your force area? 5. For each the name of the MARAC, area it covers, and the MARAC Coordinator's name and email contact details. 6. Do you use the nationally accredited ACPO/DASH risk assessment tool for referrals to MARAC ? If not which risk assessment do you use – please attach a copy. 7. The total number of referrals to each of the Domestic Violence MARACs in your force area from 1st August 2013 to 31st January 2014.	19.2.14

DATE	FOI REF	REQUEST DETAILS	RESPONSE SENT
		8. Of these referrals the total number of victims referred by the police? 9. Of these referrals the total number referred by health agencies? 10. Of these referrals the total number referred by victim support agencies? (By victim support we mean those agencies whose work is to support victims e.g. Women's agencies, refuges etc) 11. The total number of children recorded in all of these referrals? 12. The total number of referrals to MARAC where the victim was a woman? 13. Total number of referrals, to the MARAC, in this time period, where the victim was reported in the referring MARAC risk document to have been subjected to strangulation? 14. In how many of these cases were the victims referred to the MARAC, who experienced strangulation women? 15. Do any of the MARAC agencies have in place a protocol for staff to use when dealing with victim's of strangulation? If yes then please attach copies. 16. Have representatives at your MARAC received specific training on the risks and health impacts of strangulation? If so how many and which agencies do these members represent? 17. Do any of your MARAC agencies have in place a specific tool for recording victims' experiences of strangulation? If so please list which agencies? Please attach the tool/s used. 18. Do any of your MARAC agencies have in place a specific tool for victims to help them understand the impact of strangulation on their level of risk and/or health? If so which agencies have a specific tool for victims in place and please attach copies of each tool. 19. Where strangulation was recorded in the MARAC risk tool as a feature of risk how many of these cases resulted in a specific charge being made, by the CJS, in relation to the strangulation experienced by the victim?	

DATE	FOI REF	REQUEST DETAILS	RESPONSE SENT
4/2/14	1419/14	**OPCC Staff** Would you please supply me with the total number of staff employed within the Nottinghamshire Police Crime Commissioners Office and a short description of their jobs. Additionally would you supply me with the total running costs of the whole department giving a total for salaries overall and a further total for all other costs please.	20.2.14
17/2/14	1543/14	**Homicides** 1. How many adult homicides (aged 16 plus) have occurred in each of your force command areas annually from 2009-2013? 2. Of these homicides how many of the victims have been female? 3. Of the homicides where the victim was a male in how many was the cause of death recorded as an act of strangulation (including asphyxiation or suffocation)? 4. Of the female homicides in how many was the cause of death recorded as an act of strangulation (including asphyxiation; suffocation)? 5. Of the female homicides how many were killed by a male perpetrator who was known to them? 6. Of the female homicides how many of the male perpetrators were partners or ex partners? 7. Please tell us how any domestic violence MARACs take place in your force area, the area each MARAC covers, and when it became operational? 8. Of the female homicides where the victim was killed by a male perpetrator known to them how many of these cases were referred to a domestic violence MARAC? 9. In how many of the homicide cases that were referred to a domestic violence MARAC, prior to homicide, was strangulation a feature in the risk assessment process? i.e. how many of the victims had disclosed they had been strangled to the agency professional conducting the risk assessment?	26.2.14
24.2.14	1630/14	**Police and Crime Commissioner's Budget** I wanted to know what the entertainment budget is for the crime commissioners.	3.3.14

DATE	FOI REF	REQUEST DETAILS	RESPONSE SENT
13.3.14	1872/14	**Cost of the OPCC** Many taxpayers - self included - are trying to find out how much your department is costing the county for this last year.	13.3.14
18.3.14	2539/14	**OPCC Staff** 1. How many members of staff did your office have when it was inherited from the Police Authority in November 2012, and what was the annual salary cost at that time? 2. How many members of staff did your office have at March 31st, 2013, and what was the annual salary cost at that time? 3. How many members of staff does your office have as of now, March 2014, and what is the current annual salary cost? 4. Please state the job title and salary of each current member of staff, and state if their role was advertised or not? 5. How many people does your office currently have working on a freelance / consultant / adviser basis and what is the cost of their contracts? 6. How many people has your office seconded from local authorities / the police force and what is the cost of their salaries?	15.4.14
4.4.14	2825/14	**OPCC Costs** The total cost of the Police and Crime Commissioner's office for the financial years 2012-13 and 2013-14. The total cost of the Police Authority body replaced by the Police and Crime Commissioner in the financial years 2010-11 and 2011-12. The total remuneration bill for the financial years 2012-13 and 2013-14 (remuneration should be taken to mean pay, pension contributions, bonuses and any other benefits in kind). The total remuneration bill for the Police Authority body replaced by the Police and Crime Commissioner in the financial years 2010-11 and 2011-12 (remuneration should be taken to mean pay, pension contributions, bonuses and any other benefits in kind). A full list of job titles at the Police and Crime Commissioner's office as at 04/04/2014.	28.4.14

DATE	FOI REF	REQUEST DETAILS	RESPONSE SENT
9.4.14	2488/14	**Drugs** 1. Does the Force's Police and Crime Panel include representatives of local health boards (in particular Clinical Commissioning Groups (CCGs) or Health and Well-Being Boards (HWBB))? Where your force area contains multiple HAWBs/CCGs, how many of these are represented on the panel? 2. Does the Force's Police and Crime Panel include members selected for their expertise in (a) drug/substance abuse, (b) alcohol abuse or (c) both? 3. How much did the Force spend on drug intervention projects (or equivalent schemes) in 2012/13 and 2013/24? 4. How much funding has been allocated for drug intervention projects (or equivalent schemes) in 2014/15?	Sent 10.4.14
24.4.14	3144/14	**Transport** Since the formation of the office of Police & Crime Commissioner for your region how much has been spent annually to provide transport for both the Commissioner & any deputies they have in post. Further to the above, how much has been claimed or awarded to provide support for housing or hotel costs of the commissioner and any deputies?	13.5.14
9.5.14	3496/14	**The Elected Local Policing Bodies (Specified Information) Order 2011** The Elected Local Policing Bodies (Specified Information) (Amendment) Order 2012 In relation to the above, I would be grateful if you could confirm: Whether you have published the information listed above, as required by the above statutory orders? If so, where this information is available to the public?	9.6.14

DATE	FOI REF	REQUEST DETAILS	RESPONSE SENT
6.5.14	3670/14	**Wildlife Crime** 1) Does Nottinghamshire have a wildlife crime strategy (if not are there plans to do so)? 2) Does Nottinghamshire currently record wildlife crime and if so how many have there been over the past three years? 3) Does Nottinghamshire currently provide wildlife crime intelligence to the National Wildlife Crime Unit (if not are there plans to do so)? 4) How many wildlife crime officers does Nottinghamshire currently have, how many hours a week do they work directly on wildlife crime and are there plans to formalise this role if it hasn't been already? 5) Have you undertaken any additional activities since taking office to promote wildlife crime enforcement (please provide detail)?	11.6.14 8.7.14
17.7.14	4446/14	**OPCC Spends** How much has the office of Police and Crime Commissioner spent on: a. Social media; b. Consultancy; c. Company cars; in each financial year since being elected Police and Crime Commissioner?	17.7.14
21.7.14	5147/14	**Special Constables** Will you please inform me the current number of SC's, how many of them are active i.e. doing the minimum of 4 hours duty per week and how many SC's are leaving the Force annually.	19.8.14
5.8.14	5105/14	**PCC Spends** Could you please tell me how much the PCC spent on PR, marketing and promotional materials in the financial year 2012/13? -Could you please tell me how much the PCC spent on PR, marketing and promotional materials in the financial year 2013/14? -How much is the PCC budgeting to spend on PR, marketing and promotional materials in the current financial year? -Could you please list the type, number and cost of physical marketing materials with PCC branding created by the office in the 2013/14 that have been produced - e.g. leaflets, pens,	18.8.14

DATE	FOI REF	REQUEST DETAILS	RESPONSE SENT
		erasers, lollipops etc.	
7.9.14	5556/14	**OPCC Office Costs** Will you please provide me with the total cost of running the Police and Crime Commissioners office. Will you also advice me the cost of running the Police Authority in its last year of existence.	9.9.14
19.8.14	5558/14	**OPCC Recruitment** I would like details of jobs advertised to work as part of the office of the Nottinghamshire Police and Crime Commissioner, Paddy Tipping. I would like the information on the advertised jobs from 1 January 2014 to 31 July 2014 The name of the posts The salary banding/pay The dates of advertisement	9.9.14
5.9.14	5592/14	**CBI** Please provide the amount paid to the CBI (and its regional subsidiaries) (a) in membership fees (b) fees for one off conferences or other events and (c) fees paid to the CBI for any other services.	10.9.14
15.9.14	005703/14	**Remuneration** I am writing to obtain information about the number of your employees who received remuneration of more than £100,000 in 2013-14. Remuneration includes, but is not limited to: salary, fees, allowances, bonuses, benefits in kind, compensation for loss of office and employers' pension contributions. Please not that whilst some of the information may be in the public domain in accounts and on your website, **the information requested is not fully available from your annual**	16.9.14

DATE	FOI REF	REQUEST DETAILS	RESPONSE SENT
		reports, websites etc. Many public sector organisations publish senior management salaries online or a produce a table showing employees in remuneration bands of £5,000 in their annual accounts. It is not possible to answer the questions below with that information alone. Employer pension contributions are excluded from these bands and there can be employees who are not senior managers who received more than £100,000. Please make it clear if you are responding on behalf of more than one organisation. To outline my query as clearly as possible, I am requesting: The total number of employees who received remuneration equal to, or in excess of £100,000 in 2013-14. For those who received remuneration in excess of £150,000: i. The employee's name ii. The employee's job title iii. The remuneration received by the employee iv. An itemised list of expenses claims made by the employee. If an itemised list is not available, please provide the amount the employee claimed in expenses in 2013-14	
15.09.14	005730	**Spillages of Category 3 animal by-products from lorries** I am making enquiries about spillages of Category 3 animal by-products from lorries travelling on the local road network to the J G Pears factory at Low Marnham. These spillages are becoming more frequent and dangerous to local residents and other road users in the area. I would be very grateful if you could tell me if these spillages are reported to, and recorded by the Police, and if this information is available to the public. Also if there have ever been any prosecutions of this company or their contractors for these spillages. If you are unable to help with this enquiry I would be grateful for details of any organisation or individual who can.	16.09.14
16.09.14	5736/14	**Tasers** How many occasions a Taser has been drawn, and how many times the Taser has been discharged by a police officer.	16.09.14

DATE	FOI REF	REQUEST DETAILS	RESPONSE SENT
		How many occasions a firearm has been drawn, and how many times a firearm has been discharged by a police officer. The amount of training that a firearms officer receives before being authorised to use a firearm whilst on duty, and the cost of training and refresher training for a firearms officer. The annual cost of upkeep for both firearms and taser equipment.	
22.9.14	5944/14	**OPCC Events** Please would you tell me: 1. A list of all events open to the public hosted by your force's Police and Crime Commissioner or a member of his/her staff in the calendar years 2013 and 2014 to present 2. For each event listed in question 1, if the Commissioner did not attend, please specify the host of the event 3. For each event listed in question 1, please provide the event's location 4 a) For each event listed in question 1, the total public attendance b) If an exact figure is not available for question 4 a) please provide an estimate of the attendance	20.10.14
14.10.14	6493/14	**Staffing Costs** What salary is the Police and Crime Commissioner on ? What salary is the Chief Executive, if you have one, on ? How many staff, including part time workers and assistants, do you employ ? What is the overall annual budget ?	14.10.14
22.10.14	6796/14	**Nottinghamshire Police Policy** Could you tell me if your Force has a policy similar to the one called " Police Officers and Police Staff who Commit Domestic Violence Related Criminal Offences", published by the Gloucestershire Police and if so, could you give me a link to it? http://www.gloucestershire.police.uk/sei/s/931/f86.pdf	22.10.14
12.11.14	7912/14	**Market Research** I was wondering if you are able to send me details of any market research projects that you typically commission (eg Feel the difference, neighbourhood surveys, victim satisfaction, citizen insight, consultation etc). Could you also provide details of whom (eg job title) within your organisation might commission these services?	9.12.14

DATE	FOI REF	REQUEST DETAILS	RESPONSE SENT
31.12.14	83/15	**PCC Funding** You cite on your website that the PCC secured funding from central government to deliver the Rights and Recovery project in relation to domestic abuse group work programmes, that ceases in March 2015. Can the PCC please send me the link to where this group work was advertised by the PCC to openly bid for and deliver? If the work was not openly tendered for can you please advise me as to why this was not openly tendered for and why and how WAIS were awarded the contract? Can the PCC please explain why the Rights and Recovery project was only advertised/commissioned in September if the funding from the MOJ was secured in July. Can the PCC please explain how this group work will be monitored in terms of targets and KPI's, given only very recently adverts were placed out by WAIS suggesting they needed to start the groups quickly, aiming to start in January, due to the funding commitments; therefore indicating that the groups had not yet started – so for three months the allocated £125,000 will be used to deliver this work. Can the PCC please explain how this £125,000 has been utilised in a breakdown? Could the PCC also explain what actions will be taken if the monitoring and performance do not meet the agreed KPI's. Given the PCC were awarded a total of £228,175 in total for this DSV work via the MOJ competed fund, can the PCC please explain where the outstanding amounts of £103,175 have been allocated to and how and when this was decided if no competitive process was applied.	

For Information	
Public	**Public**
Report to:	**Audit and Scrutiny Panel**
Date of Meeting:	**12 February 2015**
Report of:	**Deputy Chief Constable**
Report Author:	**Coryn Reynolds – Information Compliance Officer**
E-mail:	**coryn.reynolds@nottinghamshire.pnn.police.uk**
Other Contacts:	**Julie Mair – Organisational Development Manager** **Paul Steeples – Head of Business and Finance** **Pat Stocker – Information Security Manager**
Agenda Item:	**12**

INFORMATION MANAGEMENT REPORT

1. Purpose of the Report

1.1   To provide the Audit and Scrutiny Panel with data on the legislative compliance of the Freedom of Information Act 2000 and Data Protection Act 1998.

2. Recommendations

2.1   Members note the monitoring statistics for 2013 and 2014 in relation to information requests processed by Nottinghamshire Police in line with Freedom of Information and Data Protection legislation.

3. Reasons for Recommendations

3.1   To enable the Audit and Scrutiny Panel to fulfil its scrutiny obligations to oversee and consider Freedom of Information and Data Protection Compliance.

4. Summary of Key Points

4.1   Nottinghamshire Police registers annually with the Information Commissioners Officer in compliance with the Data Protection Act 1998 that requires every data controller (e.g. organisation, sole trader) who is processing personal information to register with the ICO, unless they are exempt.

4.2   Nottinghamshire Police as a public authority has a legal responsibility to respond to information requests received and processed in line with Freedom of Information Act (FOIA) and Data Protection legislation. These requests are processed and completed by the Information Compliance Team

4.3   The legislative deadlines for the Acts are:-

- Freedom of Information 20 working days
- Data Protection Subject Access 40 calendar days

4.4   In the calendar year 2014 the Force has received 1070 valid Freedom of Information Act requests and 216 Data Protection Subject Access requests for local information from Force systems.

4.5   This is an increase of 24% for FOI and an 89% for Subject Access in comparison to the previous reported figures in the same report of last year.

4.6   Nottinghamshire Police consistently appears in the upper quartile of all Forces with regard to the number of Freedom of Information requests received. No comparable national figures are collated for Data Protection Subject Access requests.

Information Compliance Team

4.7   The Information Compliance Team is responsible for the operational day-to-day activities of the Data Protection and Freedom of Information compliance and disclosure functions including the co-ordination and administration of Court Orders served upon the Force.

4.8   The team comprises of 5 members of staff including 1 Manager, 3 disclosure officers and 1 administrative support.

4.9   All team members liaise with Divisions and Departments across the Force to ensure that relevant material is disclosed in accordance with legislative requirements.

4.10   In December 2013, Nottinghamshire Police invited ICO representatives to complete a consensual audit of their information processes. The outcome of the audit gave an overall rating of 'limited assurance' with areas of good practice and areas of improvement identified. A copy of the executive summary report of the Nottinghamshire Police audit is published on the ICO website.

4.11   Following the audit an improvement plan was put in place and a recent follow up by the ICO's office identified some improvements had been made but there are still some areas of concern.

4.12   Since the ICO audit all members of the Information Compliance team have undertaken external training in Freedom of Information and Data Protection, which provides a formal recognised qualification.

4.13   A restructure of the Information Management Unit, that contains the Information Compliance team, was due to take place following the departure of the previous Information Manager in April 2014. This has been delayed and is currently being reviewed in line with the potential implications and timescales of the Policing Business Services (PBS) Project which is the most

recent collaboration initiative between Nottinghamshire and Northamptonshire Police involving the review of corporate services.

4.14 The improvement plan for the ICO audit actions is monitored and managed by the Force Information Assurance Board (FIAB) on a quarterly basis; this board is chaired by the Deputy Chief Constable.

Freedom of Information

4.15 The Force monitors compliance and provides quarterly statistics for Freedom of Information to the ACPO Central Referral Unit based in Hampshire. These statistics are collated from all Forces including Police Scotland and the Metropolitan Police Service. Regional and national statistics are produced and circulated to all Forces on a quarterly basis. Results for Nottinghamshire can be seen in the attached chart at Appendix 1. References to the national position relates to the number of requests received during that period.

4.16 Freedom of Information Act requests have increased over the years since its inception ten years ago. All Forces have seen significant increases in FOIA requests and also the levels of complexity and the detailed numbers of questions asked.

Data Protection

4.17 The Information Compliance team processes Data Protection Subject Access requests for information held by Nottinghamshire Police.

4.18 The information requested from the 'data subject' can vary between accessing incidents, crime reports and statements to interview tapes, CCTV images, information held by the Professional Standards Department, Human Resources, and Child Abuse Investigation Unit etc.

4.19 The main research is conducted by the Information Disclosure Officers, but the team also relies on specific departments and Officers obtaining information and supplying this to them. All documentation is then collated by the team, read and redacted of third party data and any exemptions applied in accordance with the rights of access to information under the Data Protection Act 1998, prepared for disclosure and sent to the applicant.

4.20 The length and complexity of each disclosure varies dependent on the applicant's involvement with Nottinghamshire Police. Obtaining CCTV footage, tape recorded interviews and dealing with large volume disclosures that require all information to be manually read and redacted, impacts on time taken to prepare the paperwork ready for disclosure. Whenever possible partial disclosures are made to the applicant before the deadline is reached.

4.21 There has been a significant increase to the number of Subject Access requests received, the results of which can be seen in the attached chart at Appendix 2. This increase is in part as a result of the changes to Legal Aid in April 2013 which resulted in individuals having to provide evidence of Police involvement in allegations of domestic violence and child abuse leading them to put in a subject access request to receive the relevant documentation.

Court Orders

4.22 The Information Compliance Team also have the responsibility for disclosures to Court orders which can be received from any court in the UK and Ireland for Child Care, Private and Family Proceedings. In 2014 Nottinghamshire Police received 237 valid Court orders for disclosure of which 99 were for Child Care Proceedings. Nottinghamshire figures for 2013-14 can be seen in the attached chart at Appendix 3.

4.23 In all cases the Judge will determine a deadline for the Force to respond by, this can vary from less than 24 hours to several weeks. Failure to comply without the proper notification to the Court can result in an Officer being summoned to Court. In October 2013 there were changes to the time period for Child Care proceedings which reduced the time from an average of 52 weeks to a recommended 26 weeks; this has placed more time pressures on the Local Authorities and the Courts leading to increasingly challenging response times for the team.

Other Information requests

4.23 The Information Compliance Team also have the responsibility for many other types of disclosure, all of which have to comply with the principles of the FOI and DP legislation but may have different timescales. (See table below)

Table of Data Protection General Requests

Category	Description	Time scale
Insurance	Validation of details in relation to crimes for insurer to settle claim	30 working days
Home Office	UK Border Agency and Immigration requiring confirmation and details of Police involvement for those wishing to stay in the country	40 calendar days
Housing Confirmation	Local and Social housing requiring confirmation of the reason given by the person who has presented to them as homeless.	5 working days
Housing General	As above but require more specific detail	40 calendar days

Category	Description	Time scale
Insurance Appendix E	Insurance companies requiring information in relation to a claim that they believe is fraudulent	40 calendar days
NHS	General Medical Council, Nursing Midwifery Council require details of a registered practitioner who has been involved with the police to consider their fitness to practice	40 calendar days
Legal proceedings	Private legal proceedings such a personal injury claims	40 calendar days
Police	Request from other forces for information held by Nottinghamshire Police	No set timescale as soon as is practicable
Section 29 of the DPA	Requests from other prosecuting bodies such as DWP, local authorities and RSPCA	40 calendar days
Request total 2013	**431**	
Request total 2014	**332**	

4.24 The reduction of the number of 'other' requests received during 2014 is in part due to a review of the Association of British Insurers (ABI) agreements which now requires specific justification requirements for validating claims, where previously more generic validation claims were acceptable.

5. Financial Implications and Budget Provision

5.1 There are no direct financial implications.

6. Human Resources Implications

6.1 There are no direct human resource implications.

7. Equality Implications

7.1 There are no equality implications.

8. Risk Management

8.1 Not meeting the Forces legislative obligations under the Acts.

9. Policy Implications and links to the Police and Crime Plan Priorities

9.1 N/A

10. Changes in Legislation or other Legal Considerations

10.1 There are no legislation changes

11. Details of outcome of consultation

11.1 Information Management in relation to Freedom of Information and Data Protection compliance is monitored through the Force Information Assurance Board (FIAB) .
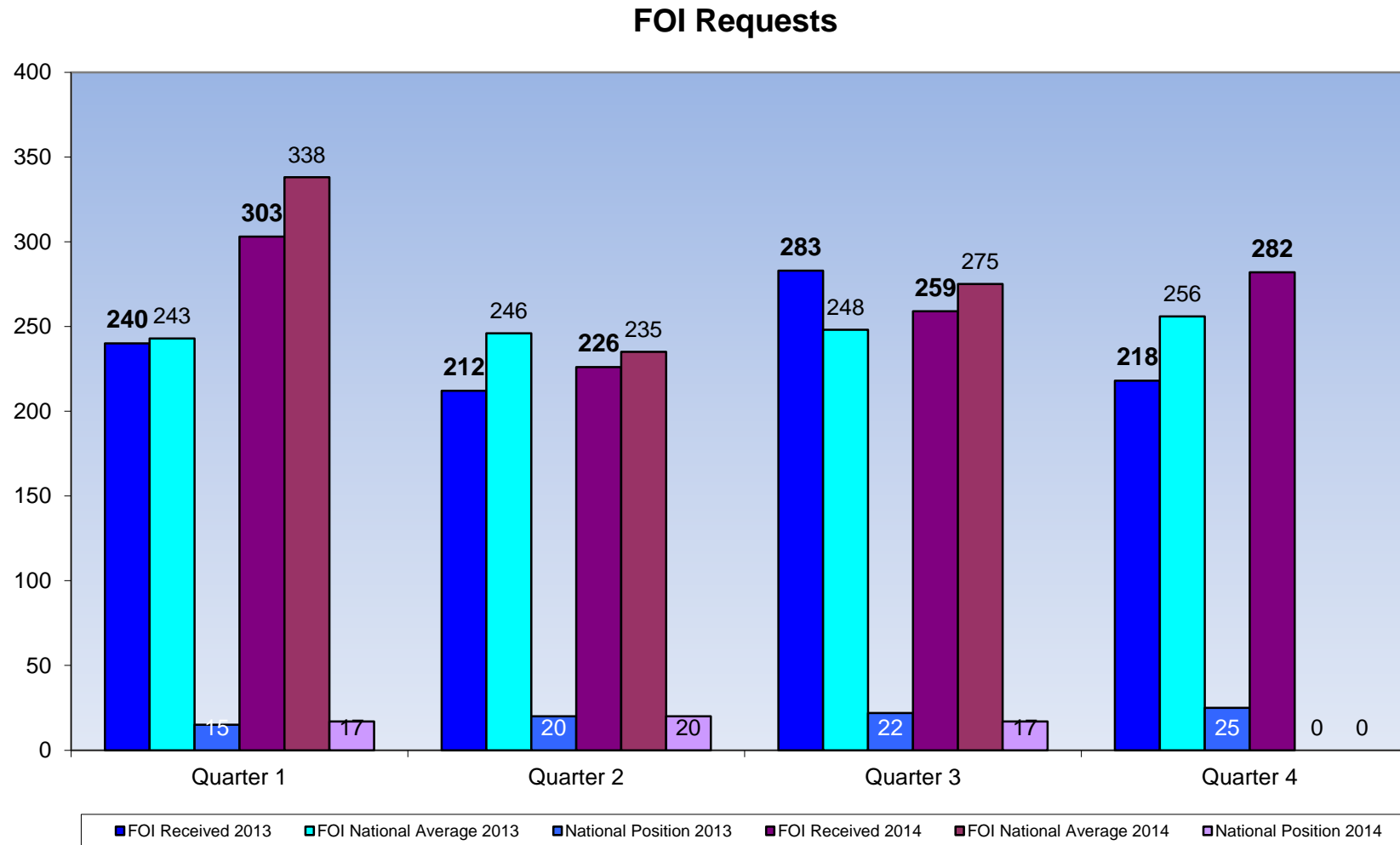
12. Appendices

12.1 Appendix 1 – FOI Requests

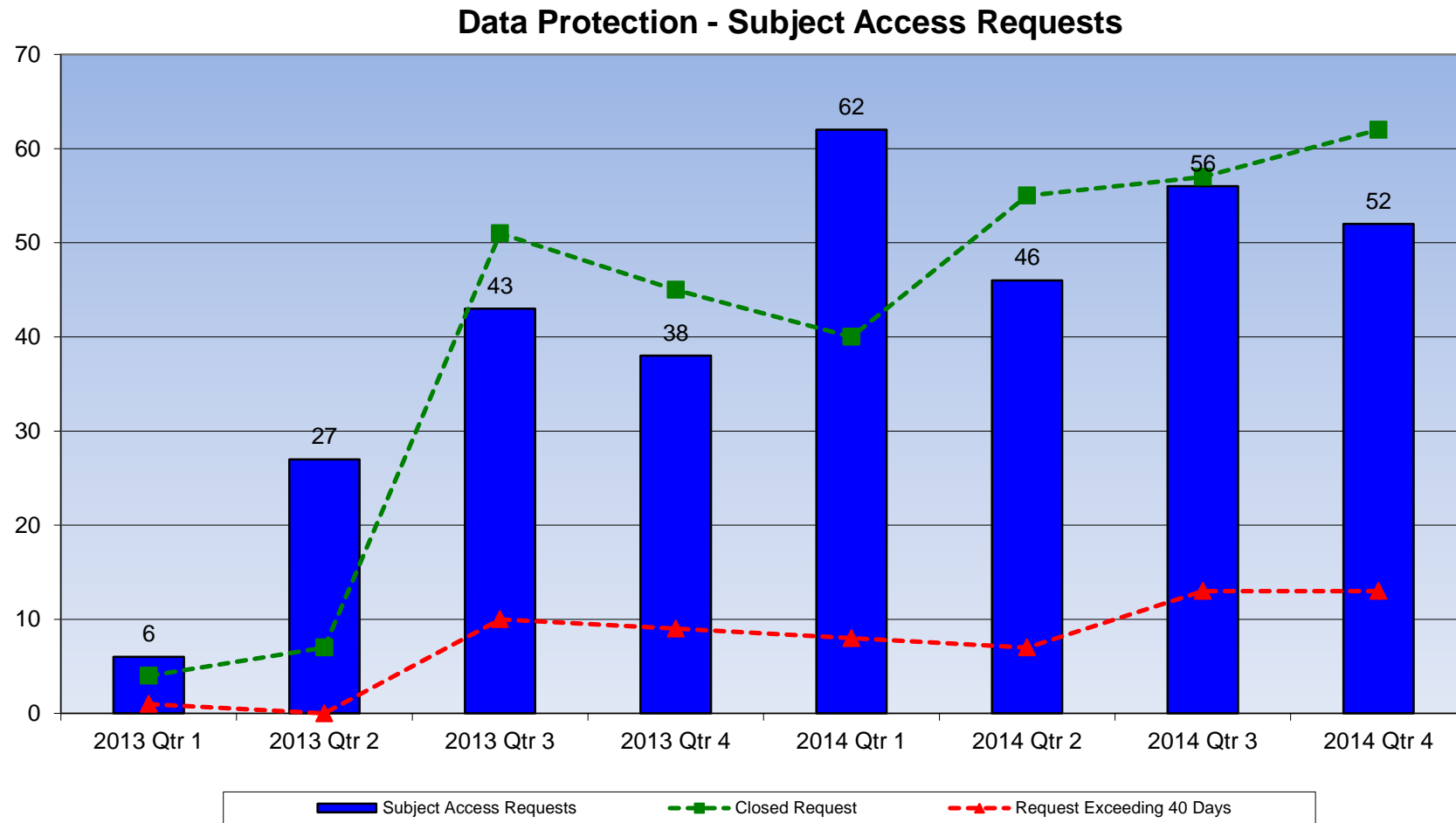12.2 Appendix 2 – Subject Access requests

12.3 Appendix 3 – Court Orders

13. Background Papers (relevant for Police and Crime Panel Only)
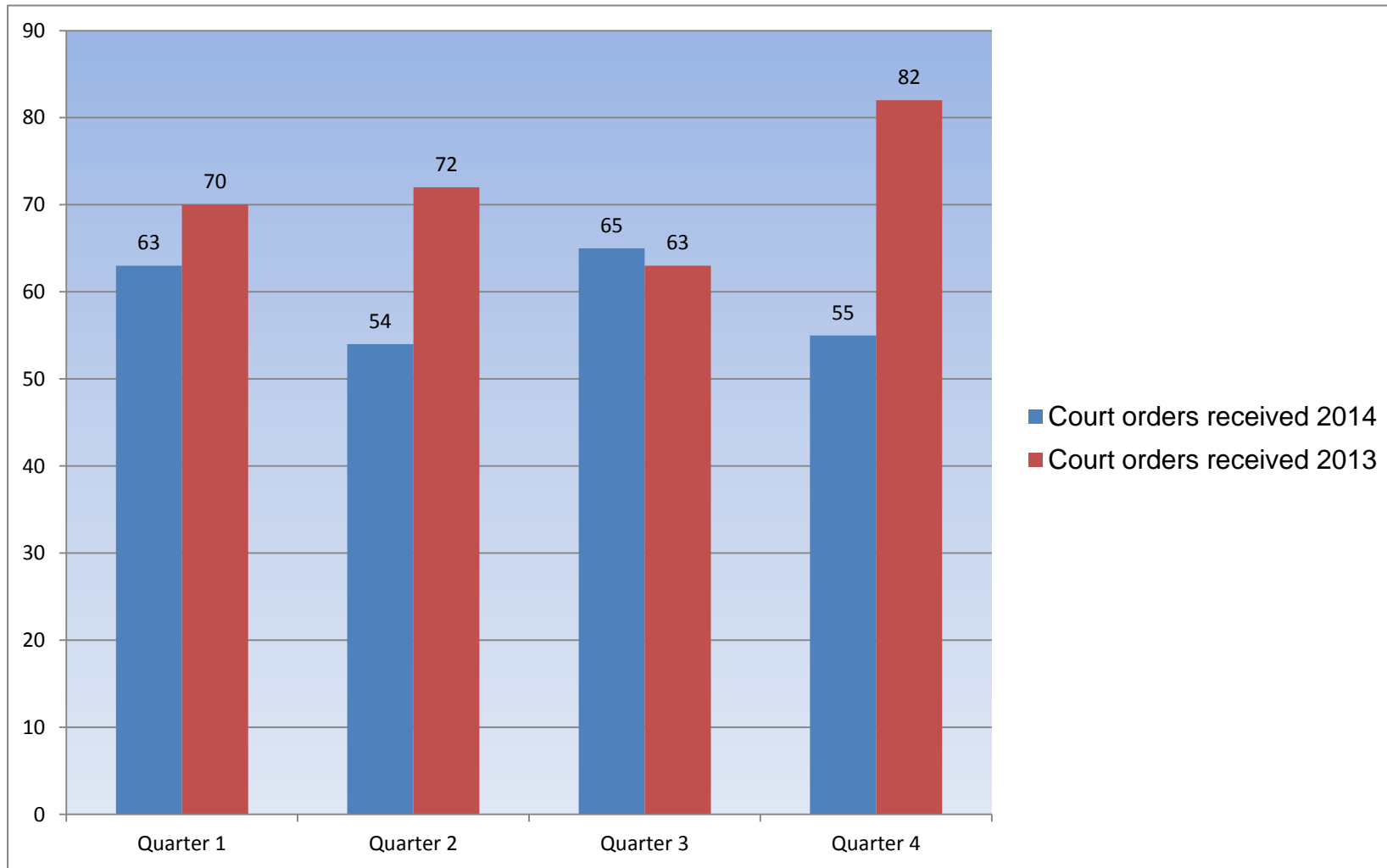
13. No background papers have been provided

Appendix 1 Freedom of Information Act Requests (national quarter 4 2014 currently not available)

FOI Requests

Legend: FOI Received 2013, FOI National Average 2013, National Position 2013, FOI Received 2014, FOI National Average 2014, National Position 2014

	Quarter 1	Quarter 2	Quarter 3	Quarter 4
FOI Received 2013	240	212	283	218
FOI National Average 2013	243	246	248	256
National Position 2013	15	20	22	25
FOI Received 2014	303	226	259	282
FOI National Average 2014	338	235	275	0
National Position 2014	17	20	17	0

Appendix 2 – Subject Access Requests

Data Protection - Subject Access Requests

		43	38	62	46	56	52
6	27						

Legend: Subject Access Requests — Closed Request — Request Exceeding 40 Days

Categories: 2013 Qtr 1, 2013 Qtr 2, 2013 Qtr 3, 2013 Qtr 4, 2014 Qtr 1, 2014 Qtr 2, 2014 Qtr 3, 2014 Qtr 4

Appendix 3 – Court Orders

For Consideration	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	12 February 2015
Report of:	The Police and Crime Commissioner
Report Author:	Charlotte Radford
E-mail:	Charlotte.radford@nottinghamshire.pnn.police.uk
Other Contacts:	Karen.sleigh@nottinghamshire.pnn.police.uk
Agenda Item:	13

Corporate Governance and Working Together

1. Purpose of the Report

1.1 The purpose of this report is to provide the Joint Audit and Scrutiny Panel with an overview of the Corporate Governance arrangements for the Nottinghamshire Police and Crime Commissioner (the Commissioner) and the Chief Constable which is outlined in the 'Governance and Working Together' document attached at Appendix A.

1.2 The purpose of the 'Governance and Working Together' document is to give clarity to the way the two corporations sole, the Commissioner and the Chief Constable, will govern both jointly and separately to ensure that they are conducting business in the right way, for the right reasons at the right time.

1.3 The document is supported with a spirit of collaborative working and relationship building through the sharing of services and information to ensure the delivery of respective duties and responsibilities of the Commissioner and the Chief Constable.

2. Recommendations

2.1 That the Joint Audit and Scrutiny Panel discuss and note the Nottinghamshire Police and Crime Commissioner's 'Governance and Working Together' document.

3. Reasons for Recommendations

3.1 The Police Reform and Social Responsibility Act 2011 established new policing arrangements with a Police and Crime Commissioner and the Chief Constable being separate corporations sole.

3.2 The Commissioner has responsibility for the totality of policing in Nottinghamshire. The 'Governance and Working Together' document provides the framework of statutory functions of the Commissioner to secure an efficient and effective police service and the Chief Constables statutory

requirements to exercise direction and control over the Nottinghamshire Police Force. The document builds on existing good governance principles and experience. In accordance with the CIPFA / SOLACE framework on corporate governance the Commissioner and the Chief Constable are required to produce separate Annual Governance Statements to show how their respective organisations have complied with their Joint Coe of Corporate Governance.

3.3   The document has been agreed by the Commissioner and the Chief Constable and sets out how the Commissioner and the Chief Constable work together and share information.

3.4   The document outlines that the Joint Audit and Scrutiny Panel will review the governance framework on an annual basis.

4	Summary of Key Points

Overview

4.1   The 'Governance and Working Together' document (the document) covers key sections on:

- Governance
  - ➢ Governance and Working Together
  - ➢ Scheme of Consent
  - ➢ Joint Code of Corporate Governance
- Strategic Finance
  - ➢ Financial Regulations
  - ➢ Contract Standing Orders
  - ➢ Standing Orders for Dealing with Land and Property
- The Commissioner's Scheme of Delegation to the Nottinghamshire Office of the Police and Crime Commissioner
- Delegations from the Chief Constable

Instruments of Governance

4.2   The document identifies how the Commissioner and the Chief Constable will govern, both jointly and separately and consists of:

- **Governance and Decision Making Framework**[1] – the decision making framework covering statutory and local policy requirements.[2]
- **Scheme of Corporate Governance** – defines the parameters within which the Commissioner and Chief Constable, as corporations sole will conduct their business.
- **Joint Code of Corporate Governance** – sets out how the core principles will be implemented.
- **Separate policy and procedures** – identify for each corporations sole, the protocols and other governance documents where they operate jointly.

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[1] The Commissioner's Governance and Decision Making Framework
[2] Chartered Institute of Public Finance and Accountancy (CIPFA) both entities have to complete individual processes to inform the individual governance statements - published on the Commissioner's website

Leadership

4.3 There will be an Annual Governance Self-assessment conducted to provide the evidence for the Annual Governance Statement for the Commissioner. The Commissioner will also prepare and issue an Annual Report to the Police and Crime Panel on the Commissioner's delivery against the objectives set out in the Police and Crime Plan.

4.5 The Chief Constable will provide the Commissioner with an annual governance self-assessment to provide evidence to support the Commissioner's Annual Governance Statement.

Working Together

4.6 The Commissioner and the Chief Constable work together through the principles of trust, openness, professionalism and good will. In addition the Chief Constable is responsible for providing a range of services and information to enable to Commissioner to discharge his legal responsibilities and deliver against the Police and Crime Plan commitments.

Sharing Information

4.7 The Commissioner and the Chief Constable shall ensure compliance with Data Protection legislation through proper application of the governance arrangements. For the purposes of the Freedom of Information Act 2000 (FOI) if either the Commissioner or the Chief Constable should receive an FOI request then the Commissioner or Chief Constable as appropriate would be responsible for responding to that request and with any subsequent compliance arrangements required under FOI.

Assurance Forward Planning

4.8 On an annual basis the Commissioner and Chief Constable will agree an assurance plan. This plan is reviewed on a quarterly basis. The assurance plan takes account of the following:

- Commissioner's priorities, objectives and pledges (defined in the Police and Crime Plan)
- National and local threat, risk and harm to policing
- HMIC Programme of Inspections
- CIPFA annual Good Governance Assessment
- Research and Engagement activity with the public and victims
- Performance monitoring
- Statutory duties on equalities and safeguarding

Scheme of Consent

4.9 The Scheme of Consent sets out the extent of, and any conditions attaching to, the Commissioner's consent to the Chief Constable and their respective staff. The document sets out the key roles, functions and key delegations.

Joint Code of Corporate Governance

4.10 The Commissioner and the Chief Constable have developed the Joint Code

of Corporate Governance using the six principles of Good Corporate Governance[3] as the framework for setting out the local arrangements which are referenced in the Police and Crime Plan. The six principles being:

- **Principle 1:** Focusing on the purpose of the Commissioner and the Force, and on outcomes for the community, and creating and implementing a vision for the local area.

- **Principle 2:** Leaders, officers and partners working together to achieve a common purpose with clearly defined functions and roles.

- **Principle 3:** Promoting values for the Commissioner and demonstrating values of good governance through upholding high standards of conduct and behaviour.

- **Principle 4:** Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.

- **Principle 5:** Developing the capacity and capability of the Commissioner, the officers of the Commissioner and the Force to be effective.

- **Principle 6:** Engaging with local people and other stakeholders to ensure robust public accountability.

4.11 There is currently work being undertaken to refresh the Risk Management process and Action Plan together with the Assurance Framework.

Arrangements for the Review of Governance

4.12 The following are in place to review the effectiveness of Governance:

- Self-assessment – using the six principles of Good Governance
- Risk Management
- Annual Governance Statement
- The Police and Crime Panel
- The Joint Audit and Scrutiny Panel
- Strategic Resources and Performance Meetings
- Chairs of Strategic Partnership Meeting
- Community Stakeholder Forums
- Internal Audit
- External Audit
- Her Majesty's Inspectorate of Constabulary (HMIC)
- Independent Police Complaints Commission

Financial Regulations

4.13 Public sector accounting is covered by a range of government legislation and accounting standards that are designed to ensure proper accountability for public funds. In addition, the Home Office has issued a Financial Management Code of Practice under section 17 of the Police Reform and Social

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[3] Delivering Good Governance in Local Government: guidance Note for Police Forces

Responsibility (PRSR) Act 2011 and section 39 of the Police Act 1996 which permits the Secretary of State to issue codes of practice to all Police and Crime Commissioner's (PCCs) and Chief Constables.

4.14 The Financial Regulations are divided into a number of sections, each with detailed requirements relating to the section heading. References are made throughout the individual sections to delegated limits of authority:

- Financial management
- Financial planning
- Management of risk and resources
- Systems and procedures
- External arrangements

Contract Standing Orders

4.15 Sets out the Contract Procedure Rules and Standing Orders for the Commissioner. Public procurement is a complex process governed by rules and regulations.

Standing Orders for Dealings with Land and Property

4.16 Sets out the decisions relating to the acquisition and disposal of land and property.

The Commissioner's Scheme of Delegation to the Nottinghamshire Office of the Police and Crime Commissioner

4.17 This Scheme details the functions delegated to the Deputy Police and Crime Commissioner, Chief Executive Officer (CEO), the Chief Finance Officer (CFO) of the Commissioner, and the Head of Legal Services.

4	Financial Implications and Budget Provision

5.1 Financial implications in the document are outlined throughout.

5	Human Resources Implications

6.1 Roles and responsibilities are outlined throughout the document.

6	Equality Implications

7.1 Equality implications are specifically covered in the Governance Principles, with evidence collated and assessed as part of the Annual Self-assessment.

7	Risk Management

8.1 The threat, harm and risks to policing, crime and community safety are identified in the Police and Crime Needs Assessment which forms part of the evidence for refreshing the Police and Crime Plan.

8.2 The current risk strategy has been refreshed together with the Risk Management Action Plan and Assurance Framework.

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

9.1 The Commissioners Governance Framework outlines the policy and strategy direction which is aligned to the statutory requirements and key actions to deliver the Police and Crime Plan.

9 Changes in Legislation or other Legal Considerations

9.1 The principle statutory frameworks within which the corporations sole will operate are the:

- Police Reform and Social Responsibility (PRSR) Act 2011[4]
- Policing Protocol Order 2011[5]
- Strategic Policing Requirement[6]
- Financial Management Code of Practice (FMCOP)[7]
- Elected Local Policing Bodies (Specific Information) Order 2011[8]

9.1 These frameworks create a public sector relationship, based upon the 'commissioner provider arrangement' but with unique elements such as the single elected Commissioner and the operational independence of the police service.

10 Details of outcome of consultation

10.1 The document has been developed in full consultation with the Commissioner and the Chief Constable, which has included working with their respective support through the Nottinghamshire Office of the Police and Crime Commissioner and the Chef Officers Team.

10.2 The Commissioner publishes his Annual Report each year, which is supported by Governance Audit and Self-assessment, together with the Annual Governance Statement.

12. Appendices

12.1 Appendix A: Governance and Working Together

Corporate Governance and Working Together 2014-18

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[4] Police Reform and Social Responsibility Act 2011
[5] The Policing Protocol Order 2011
[6] Strategic Policing Requirement
[7] Financial Code of Practice 2012
[8] Specific Information Order 2011

For Consideration	
Public/Non Public*	**Public**
Report to:	**Joint Scrutiny and Audit Panel**
Date of Meeting:	**12th February 2015**
Report of:	**Paddy Tipping Police and Crime Commissioner**
Report Author:	**Kevin Dennis**
E-mail:	**kevin.dennis@nottinghamshire.pnn.police.uk**
Other Contacts:	**Kevin Dennis**
Agenda Item:	**14**

POLICE AND CRIME COMMISSIONER'S UPDATE REPORT

1. PURPOSE OF THE REPORT

1.1 This report presents the Joint Scrutiny and Audit Panel with the Police and Crime Commissioner's (Commissioner) update report which was tabled at the Police and Crime Panel on 5th January 2015.

1.2 In accordance with section 13 of the Police Reform and Social Responsibility (PR&SR) Act 2011 and subject to certain restrictions, the Commissioner must provide the Police and Crime Panel with any information which the Panel may reasonably require in order to carry out its functions. The Commissioner may also provide the Panel with any other information which he thinks appropriate.

1.3 This report provides the Panel with an overview of current performance up to October 2014.

2. RECOMMENDATIONS

2.1 The Panel to note the contents of this update report consider and discuss the issues and seek assurances from the Commissioner on any issues of concern.

3. REASONS FOR RECOMMENDATIONS

3.1 Notwithstanding, that the Commissioner has already received feedback from the Police and Crime Panel on the content of this report, Members of the Joint Scrutiny and Audit Panel are also asked to consider the content of the report and provide him with feedback if appropriate in line with their scrutiny role.

4.	Summary of Key Points

POLICING AND CRIME PLAN – (2014-18)

4.1 Performance against targets across all seven themes is contained in the tables at **Appendix A** up to October 2014.[a]

4.2 The Commissioner's report has been simplified to focus on reporting by exception. In this respect, this section of the report relates exclusively to some performance currently rated red i.e. significantly worse than the target (>5% difference) or blue, significantly better than the target (>5% difference).

4.3 The table below shows a breakdown of the RAGB status the Force has assigned to the 42 sub-measures reported in **Appendix A.** It can be seen that 35 (85%) of these measures are Amber, Green or Blue indicating that a majority of measures are close, better or significantly better than the target. Only 17% of measures reported are Red and significantly worse than target.

KEY to Performance Comparators			
Performance Against Target		**Oct-14**	**% of Total**
●	Significantly better than Target >5% difference	3	7%
●	Better than Target	15	37%
●	Close to achieving Target (within 5%)	17	41%
●	Significantly worse than Target >5% difference	7	17%
		42	100.0%

4.4 In summary, total crime is higher than last year (+5.4%, Amber) and so is antisocial behaviour (ASB) (+9.2%, Red). In the last Police and Crime Panel report crime was +2.4% and ASB was +8.6% so there has been an increase in crime and a slight increase in ASB. Violence continues to be the key driver to the overall increase in Total crime and follows the recent HMIC inspection into crime recording and increased compliance to the national crime recording standards.

4.5 Blue Rating (● significantly better than Target >5% difference)

> ### The Number of people killed or seriously injured (KSIs) on Nottinghamshire's roads

4.5.1 Between January and June this year, there has been a 16.8% reduction in this measure. This equates to 38 less KSIs in number terms, although there were three more fatalities against 41 less serious casualties.

4.5.2 On a positive note, there have been six fewer KSIs for 0-15 year olds, which due to low numbers equates to 28.6% less than in the previous period. Child casualties have reduced across all type with no fatalities recorded in the current period, a quarter less serious casualties and 9.5% less slight casualties..

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[a] *Although this report may seem dated i.e. performance in relation to October 2014, it is still the latest report which was tabled at the Police and Crime Panel on 5th January 2015. This is due to the timing of the Force Performance and Insight Reports, the need to allow sufficient time to consult and the Christmas break.*

4.5.3 Operation 'Drosometer 4' commences from mid October to mid December and will focus on the fatal 4 offences[b] and high visibility enforcement.

Reduce the number of non-crime related mental health patients detained in custody suites

4.5.4 This measure is new to the refreshed Police and Crime Plan and analysis on data collected is now available. It shows that there has been a 43.8% reduction in the numbers of non-crime related mental health patients detained in the Forces Custody Suites. This includes those patients referred to Custody Suites from other agencies i.e. hospital Section 136 suites. To provide a wider context, overall S136 detainees have reduced by 37.7%, with a 33.3% reduction in the numbers presented to hospital S136 suites. This suggests that Street Triage is working as intended.

To significantly reduce levels of: Burglary Dwelling

4.5.5 Currently, year to date, the Force is recording a 5.9% reduction in burglary dwelling and is thus coded Blue. However, month-to-date the Force has recorded 29 or 17.7% more Burglary Dwellings than in October of last year. Whilst the Force is still showing 'exceptional' performance, the short-term and long-term trends no longer predict significant reductions, with the long-term prediction being an upward trend.

4.5.6 Performance is being driven by an 8.7% increase on City Division, whilst the County are showing strong performance with a 18.2% reduction year-to-date. The City is recording increases across all four areas, although performance is particularly marked in City South (+14.6%).

4.5.7 This monthly increase in October is considered to be unrelated to the HMIC crime recording inspection where compliance with the national standard has always been high.

4.6 Red Rating (● significantly worse than Target >5% difference)

Improve Satisfaction Levels (Police and Council)

4.6.1 Currently, 54.5% 53.2% of people surveyed agree that the Police and Council are dealing with local Anti-Social Behaviour and other crime issues this is a further improvement over the last two Police and Crime Panel reports when it was 51.1% and 53.2% respectively. The Force is now 5.5% away from the 60% target and whilst graded Red, the direction of travel is positive. However, it should be noted that this is a shared measure and is impacted by both Police and Local Authority performance.

Percentage reduction of people that have been repeat victims within the previous 12 months – Hate Crime

4.6.2 The number of repeat victims of Hate Crime continues to grow (+27.5%), with 11 more offences recorded year-to-date than last month. The

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[b] *The fatal 4 offences refer to speeding, mobile phone use, drink/driving and seatbelts.*

increases recorded occurred in both the City (8) and County (3). It should be noted that on June 9th this year Nottingham Citizens undertook its research into Hate Crime and surveyed over 1000 individuals. It is unclear whether this process led to the upturn in repeat Hate Crime reports. Analysis identifies that Hate Crime represents only 1% of total crime and numerous research studies nationally and locally identify the need to encourage underreporting. Whilst, first time reports of Hate Crime can be seen as increased confidence, increased levels of repeat victimisation should not.

4.6.3 A Partnership Hate Crime Conference is to be held on 15th December to review all relevant studies of Hate Crime including the research and recommendations of Nottingham Citizens.

Effectiveness of Magistrates (MC) and Crown Courts (CC)

4.6.4 The percentage of effective trials in the Magistrates' Courts is lower than the 50% target i.e. only 39.7% are considered effective which is worse than the last report. Ineffective trials occur when a trial does not go ahead as planned for reasons which may be due to the prosecution, defence or administrative reasons within HMCTS.

A reduction in All Crime compared to 2013/14

4.6.5 The Force continues to show a decline in performance, year-to-date compared to the previous month (+3.4%). Both Divisions are now showing increases with City up 4.4% and County 6.2%. These increases are being driven by all Districts within the County, particularly on County East (+10.7%). In the City, City South is currently recording an increase of 14.9% compared with City Centre where there is a reduction of 5.5%. Month-to-date performance shows marked increases in October compared to October of last year, with 985 or 17.7% more crimes recorded.

4.6.6 The key drivers for an increase in Total Crime is Violence especially Violence with Injury as reported below. The majority of this increase is regarded by the Police as a consequence of HMIC's national inspections into crime recording and the Force's greater scrutiny and compliance with the national recording standards. The Force compliance rate is currently close to 100%. Most other Forces have seen an increase nationally due to the HMIC inspections. Analysis of incidents received shows that more calls are being converted into crimes than last year especially in the County and explains why the County has seen a larger increase than the City.

Reducing Violence with Injury (VAP with Injury)

4.6.7 The Force was set a target to significantly reduce levels of Violence with Injury but currently it is +17.7% (April to October 2014) which is higher than reported in the last Police and Crime Panel report when it was +11%.

4.6.8 Performance on the County Division is driving these increases, accounting for 53.6% of the Force recorded Violence with Injury. All areas across the

County have recorded increases, most notably County South where there has been a 29.1% (219 offences) increase. Each of the three County Districts account for more Violence with Injury than any of the four City areas. Whilst City Division recorded a 7.4% increase, there has only been a 1.0% increase recorded in City Centre. Again, the data clearly suggests increased crime recording as the main factor for increased crime levels.

4.6.9 Members will be aware that the recent HMIC inspections into recorded crime have resulted in Forces nationally taking a more robust approach to ensure greater compliance with the crime recording standards. Consequently, violent crime has increased significantly nationally. For example, 38 of the 43 Forces have seen an increase in violence with injury ranging from +2.2% to +47.9%[c]. Despite its high increase, Nottinghamshire is still only ranked 20th nationally and in fact is lower than the national average.

4.6.10 The Police and Partner activity reported in the last Police and Crime Panel report to tackle Violent Crime continues. The Force Tactical Group and City and County Division Violence groups continue to oversee the range of activity.

Reducing Antisocial Behaviour (ASB)

4.6.11 The Commissioner has pledged to reduce antisocial behaviour (ASB) by 50% reduction by 2015/16 (compared to the 2011/12 baseline). This year ASB has increased by 9.2% (+2,089 incidents) which is slightly higher than the previous Police and Crime Panel report when it was +8.6%.

4.6.12 Following the slight increase in ASB recorded between August and September 2014, there was a decrease between September and October (-6.4%). As reported previously, City Division is driving performance with a year-to-date increase of 19.5%, although performance is slowly improving. However, performance in the County is continuing to decline (now only +1.3%) albeit slowly. ASB incidents have increased across all four areas, particularly in City South (+23.3%). Performance in the County is a different picture with marked reductions in Bassetlaw (-7.1%) masking increases in all other districts, particularly Gedling (+10.7%).

4.6.13 The increase (in part) is due to changes in noise reporting to the Police Control Room which is generally a civil matter and tackled by Local Authorities. New advice to callers regarding noise-related complaints and the introduction of the City Council's Community Protection 'Night Car' appears to be having a positive effect albeit slower.

Make Efficiency Savings - Maintain overtime spend below budget 2014/15 budget - £3.3m

4.6.14 The Force is required to make efficiency savings of £12.7m by March 2015 and is slightly off target by £0.2m and as such is coded Amber. To

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[c]   *Iquanta data to October 2014.*

date £4.142m of efficiencies have been achieved against a target of £4.295m. See also [Section 5.8](#).

4.6.15 However, the Force's overtime expenditure year to date is £2.235m, which is an overspend of £0.206m against a forecast of £2.028m and as such is coded Red. The majority of the overspend was in County, City and Operational Support Department (OSD) in relation to numerous major operations. This overspend has been partially offset by income from mutual aid and providing cover during the Fire Service strikes and NATO summit.

4.7 The Commissioner's staff are represented at the key Divisional, Partnership and Force Local Policing Board meetings in order to obtain assurance that the Force and Partners are aware of the current performance threats, and are taking appropriate action to address the emerging challenges. Should there be any issues of concern these are relayed to the Commissioner who holds the Chief Constable to account on a weekly basis.

STATEMENT – POLICE AND CRIME PANEL REPORT RE POLICING PRE-PLANNED EVENTS

4.8 Following a report to the Panel on 28th April 2014, there was subsequent representation from a member of the public to the effect that there had been an omission of fact in respect of "Public Safety". No representation has been made by elected members in respect of this issue but nonetheless this section is intended to help clarify the matter.

4.9 The respective report tabled on 28th April 2014 was designed as a summary; it wasn't intended to be either complicated or comprehensive.

4.10 The Chief Constable is the authorising body for certain types of cycle events on our public roads and that without that authorisation the event organisers commit offences. Nottinghamshire Police accepts that it has residual powers to close roads but these will not be used for routine or planned events and will only be used to deal with unforeseen emergency situations.

4.11 Given the current budgetary constraints the Force do however need to make it clear that the policing of cycle races/triathlons etc. along with other such pre planned events can no longer be seen as core policing business and the Force now very much expect that the organisers of such events take responsibility for organising such things as road closures, traffic management and so forth and that the document tabled on 28th April 2014 was never intended to be read as a detailed exposition of the law but the very broadest of brush stroke summaries.

4.12 In terms of taking an active policing role, all Chief Constables have a wide discretion in the deployment of their resources and cost can indeed be a relevant factor (see R v Chief Constable of Sussex, ex parte International Trader's Ferry Ltd (1999) AC 148).

DECISIONS

4.13　The Commissioner has the sole legal authority to make a decision as the result of a discussion or based on information provided to him by the public, partner organisations, members of staff from the Nottinghamshire Office of the Police and Crime Commissioner (NOPCC) or Chief Constable.

Significant Public Interest Decisions

4.14　The Commissioner's web site provides details of all significant public interest decisions.　Since the last Police and Crime Panel report a number of decisions have been approved in respect of:

- **Ref - 2014/057 ICT Transformation Resources:** Collaboration across Nottinghamshire Police, Northamptonshire Police and Lincolnshire Police. The extension of the Methods contract to continue to provide ICT resources approved.

- **Ref - 2014/056 Best Bar None Contribution Top County Wide Scheme:** The Commissioner is requested to consider the request for funding made by the Best Bar None Scheme.

- **Ref - 2014/054 Community Safety Fund Grants (2014/15):** The Commissioner has awarded funding to 34 Projects.

- **Ref - 2014/052 Mileage Rate for Volunteers-Multi:** An additional five pence per person per mile has been agreed for volunteers who provide transportation to other volunteers.

- **Ref - 2014/051 Holmes 2:** Renewal of an on-going requirement for Holmes 2. An extension of the Homes 2 contract has been approved for a further three years.

- **Ref - 2014/048 Victims' Services Commissioning:** The Commissioner has put forward a case to Ministry of Justice (MoJ) to become an "early adopter" of victim's services, taking over responsibility for local commissioning of the core victim service from 1 October 2014 instead of April 2015.

- **Ref - 2014/04 Interpreting Contract Extension:** The current contract for face to face interpreting is due to expire in March 2015. It has been extended for a further year to March 2016.

- **Ref - 2014/046 Provision of Core Network Replacement:** The current core network was installed in 2007 and now needs replacing due to risks around the longevity of the architecture and subsequently increasing support costs. These activities support/compliment the larger collaborative work being undertaken with neighbouring police forces and have been approved.

- **Ref - 2014/045 Award Rights and Recovery Request for Proposals:** EMSCU published a formal request for proposals from organisations wishing to deliver the project on 15th August 2014 with deadline of 8th September 2014.

ACTIVITIES OF COMMISSIONER

4.15   The Commissioner and Deputy Commissioner continue to take steps to obtain assurances that the Chief Constable has not only identified the key threats to performance but more importantly that swift remedial and appropriate action is being taken to tackle the problems especially in the Priority Plus Areas in the County and High Impact Wards in the City.

4.16   Some recent activities and developments include:

Funding Grants for Sexual Violence Services

- This month the Commissioner announced his decision to invest a further £42,000 of funding into support services which help victims of rape and other types of sexual violence/harassment following an underspend in his victims' services budget.

- Nottingham Rape Crisis, a registered charity providing professional counselling to victims of rape and child abuse, is to receive up to £30,000 from the Commissioner to increase Independent Sexual Violence Advocate (ISVA) support between late November and the end of March next year. This will mean the service can increase its two part-time posts to full-time, allowing the ISVAs to provide increased, face-to-face support to victims.

Conference - Exploring Better BME Policing Experiences

- In November the Commissioner attended a conference at the Marcus Garvey Centre in Nottingham where he reported on a number of major improvements in support of the BME Steering Group's recommendations. Achievements include greater recruitment of BME candidates into the police force and support for existing BME officers seeking to achieve promotion.

- An update on stop and search use and the great deal of work done in its process, recording and management was also presented to the conference. As a result of its work, the Force has been recognised nationally for good practice and has been asked to help in developing the 'Best Use of Stop and Search' scheme.

Raising the Bar in Nottinghamshire's Pubs and Clubs

- A new accreditation scheme was launched in November which will 'raise the bar' for public safety and the way the county's pubs and clubs are managed has been launched in Nottinghamshire. It is being funded for the next three years by Nottinghamshire County Council and the Commissioner.

- The new Nottinghamshire-wide 'Best Bar None' scheme aims to improve standards and promote responsible management in licensed premises. Nationally, where best bar none schemes are already established, there has been a dramatic reduction in anti-social behaviour and alcohol-related violence, enhancing the customer experience and creating a safer environment.

Restorative Justice Programme

- In November Restorative justice service providers across Nottinghamshire are being invited by the Commissioner to tender for delivering an integrated,

county-wide expansion of the programme which sees offenders come face to face with their victims.

- The Commissioner has frequently spoken out in favour of restorative justice (RJ), pointing to both its cathartic effect on victims and the positive change it can bring about in offenders. He is now seeking to appoint a single provider to provide more effective services in the county, leading to more victims and offenders engaging in the process.

- Restorative justice gives the offender the opportunity of listening to their victim's point of view and make amends. Research shows that this results in them being less likely to re-offend. At the same time it can provide a means of closure for the victim and enable them to move on.

Partnership Approach to Tackling Rural Crime

- In November rural crime came under the spotlight at a Conference held at Newark Showground which was co-hosted by the Commissioner, the Force and the county's Crimestoppers. It was the second conference to be held with a view to raising awareness of rural crime, including plant and machinery theft, and how it can best be tackled.

- Attendees including the Deputy Commissioner heard that rural theft costs many millions of pounds in the UK every year, leading to a loss of farming business and an adverse impact on communities' purses through increased costs. In 2012 alone, it was calculated to cost the UK over £42million.

- The conference provided a forum for rural communities to air their key concerns. Feedback will be used to build a positive policing and partnership approach for tackling and preventing the theft not only of valuable equipment and metal but also of livestock.

Hate Crime

- In November the Deputy Commissioner attended a Hate Crime Conference in the city organised by Nottingham Citizens. She heard the findings of research which included the results of a survey involving 1000 residents. The report made a number of recommendations for change. Both Commissioner and Deputy Commissioner have been involved in a number of other meetings in relation to hate crime in order to better understand how to make improvements. The report and other stakeholder inputs will be discussed at a Hate Crime Conference on 15th December 2014. It is envisaged that an Action Plan will be developed and subsequently implemented with additional funding being made available.

Strategic Resources and Performance Meetings

- The Commissioner continues to hold the Chief Constable to account at the Strategic Resources and Performance meeting which is open to the public. The last meeting was held on 13th November 2014 at Rushcliffe Borough Council. This particular meeting was video recorded and is available for viewing at the link below.[d]

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[d]   http://youtu.be/ET42R3g7Vk8

Visits to Priority Plus and High Impact Areas

- The Commissioner and Deputy continue to visit key Priority Plus areas in the County and High Impact areas in the City. The purpose of the visits is to obtain assurance from Police, Partners and local Councillors that current community safety issues are fully understood and that appropriate action is being taken. This contact with frontline practitioners helps the Commissioner to better understand of any barriers and especially any concerns from local residents so that he can have regard to these when he considers his Policing and Crime Plan priorities.

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5. Financial Implications and Budget Provision

5.1 At the Police and Crime Panel meeting in November 2014, the Commission recommended that future reports include an update on the budget and efficiency programme.

5.2 The financial information set out below is intended to provide the Panel with information so that they can review the steps the Commissioner is taking to fulfil his pledges and provide sufficient information to enable the Panel to fulfil its statutory role.

5.3 Information on the budget and efficiency programme will further assist the Police and Crime Panel to fulfil its statutory responsibility and enable the Commissioner to receive increased scrutiny in a critical area at a time of increased economic pressures.

5.4 **Appendix B** contains the Financial Performance Insight report for October 2014. It details performance in respect of: Financials, Capital Expenditure, Efficiencies, Overtime, Local Policing, Specialist Services, and Corporate Services.
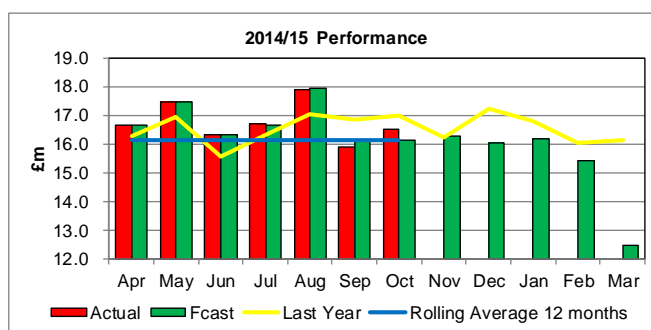
Financials

5.5 The table (right) illustrates budgetary performance during this financial year. It can be seen that variance between actual spend and forecast is small although it was higher in October due to a number of reasons including: backdated payroll for officers leaving on medical retirements; redundancy payments; backed dated charges, and interpreters fees. **Appendix B** provides a more detailed explanation.
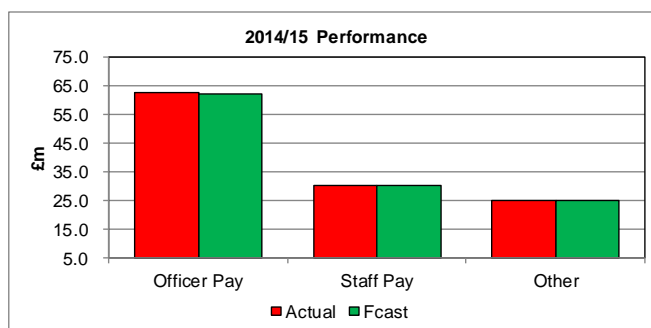
Capital Expenditure

5.6   The Q1 forecast included the MFSS at £3.207m and a non-allocated reduction of £3m on the project spend forecast by budget holders. Since that review took place £1.355m of savings and slippage has been identified against specific projects. This includes £0.570m on kennels, £0.499m on conference centre conversion and open plan refurbishment at Force HQ and £0.158m on Access Control Improvements.

5.7   The underspend to date is mainly due to the delay to the Telephony project £1.183m, partly offset by the timing of expenditure on licences and consultancy costs for the MFSS project, the timing for these was not known at the time of the Q1 forecast. The forecast phasing is being revised for Q2.

Efficiencies

5.8   As already reported at Section 4.6.14 the Force is required to make efficiency savings of £12.7m by March 2015 and is slightly off target by £0.2m. The Local Policing to date is now £0.208m behind target mainly due to the staff vacancy rate and phasing of front counters and estates strategy.

5.9   Specialist Services to date is £0.086m behind target, mainly due to the staff vacancy rate and the restructuring of Intel and P&P analytical no longer taking place. Corporate Services to date is £0.141m ahead of target due to staff vacancy rate, premises and lower fuel costs. The Commissioner's office is on target.

Overtime

5.10   As already reported at Section 4.6.15 the Force has an overspend of £0.206m in overtime. After 31 weeks there have been 57,348 hours spent on divisional overtime (which excludes mutual aid and special services overtime) versus a target of 51,736. This represents an over usage of 5,612 hours and equates to an overspend of £0.140m. Extrapolated out over a full year at this rate would mean a risk of £0.235m. The last four weeks of overtime have averaged out at 1,780 per week versus an average target of 1,657, which has reduced from last month.

5.11   Staff overtime expenditure year to date was £0.181m, which is an underspend of £0.091m against a forecast £0.273m. This is largely as a result of the half year review of overtime accruals.

Local Policing

5.12   In terms of year to date, the Force performance is £0.374m better than forecast and mainly due to police officer salaries (£0.324m) where leavers have been higher than expected; staff overtime (£0.041m) due to the half year accrual review and relates mainly to aged overtime claims; premises costs (£0.075m) due to a rent rebate and half year review of utilities and rent & rates accruals; transport costs (£0.106m) due to lower mileage and fuel costs due to price per litre being lower than forecasted and a transfer of transport insurance (£0.051m) to Corporate Services which is not a saving to the Force; and £0.087m on Special Services income, which in part is phasing.

5.13 Some current Local Policing efficiency risks are:

- Overtime missed target by £0.026m.

- Front Counters are slightly behind the target but will likely make up by year end.

- Uniform for Special Constables is missing from the forecast, but this is likely to be a timing issue.

- The vacancy rate is well below target and this is a big risk in hitting the forecasted savings.

- East Midlands Strategic Commercial Unit (EMSCU) savings targets have been missed by £0.013m.

Specialist Services

5.14 The performance of Specialist Services is £0.393m better than forecast largely due to savings on staff salaries (£0.040m) where the CMB team has been transferred to Finance; staff overtime (£0.042m) is due to the half year accrual review and relates mainly to aged overtime claims; transport costs (£0.104m) due to lower mileage and fuel costs due to price per litre being lower than forecasted and a transfer of transport insurance (£0.024m) to Corporate Services which is not a saving to the Force; and income (£0.550m) which is due to prosecution costs recovered and mutual aid income for several operations and providing cover to the Fire Services during industrial action.

5.15 This has been partly offset by police salaries (£0.115m); police officer overtime (£0.181m) where the overspend is largely due to mutual aid activities; and premises costs (£0.026m) where the forecast is held centrally in Assets but costs are incurred locally.

Corporate Services

5.16 Corporate Services performance is worse than forecast (£0.972m) and due to staff salaries (£0.179m) where the capitalisation of IS staff was lower than forecasted and the transfer of CMB officers and staff into Finance (£0.300m); transport costs (£0.126m) mainly due to the transfer of insurance from Local Policing and Specialist Services which is offset by savings in those areas.

5.17 Also there was an increase in the medical retirements accrual (£0.166m) following a review with HR; Communications and Computing where good progress has been made against the efficiency challenge but additional costs have been incurred; other employee expenses which are one-off exit costs; and income (£0.299m) due to the efficiency challenge and lower collaboration income due to IS Transformation. This has been partly offset by premises costs (£0.134m) where the forecast is held central for repairs but the costs are incurred locally and a review of accruals for utilities.

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6. Human Resources Implications

6.1 None - this is an information report. However, the report does provide some information about BME representation.

| **7.** | **Equality Implications** |

7.1   None – although it should be noted that high levels of crime occur predominately in areas of high social deprivation.

| **8.** | **Risk Management** |

8.1   Risks to performance are identified in the main body of the report together with information on how risks are being mitigated.

| **9.** | **Policy Implications and links to the Police and Crime Plan Priorities** |

9.1   This report provides Members with an update on performance in respect of the Police and Crime Plan.

| **10.** | **Changes in Legislation or other Legal Considerations** |

ANTISOCIAL BEHAVIOUR CRIME AND POLICING ACT 2014 – COMMUNITY TRIGGER AND REMEDY

10.1   The provisions of the Anti-social Behaviour, Crime and Policing Act 2014 became effective on 20th October 2014. Some key aspects were reported to the Police and Crime Panel at the last meeting i.e. Community Remedy and Community Trigger. The Commissioner is considering how best to monitor the use of the powers.

| **11.** | **Details of outcome of consultation** |

11.1   The Deputy Chief Constable has been consulted on this report.

| **12.** | **Appendices** |

   A. Performance Tables – 7 Strategic Themes
   B. Financial Performance & Insight Report – October 2014

| **13.** | **Background Papers (relevant for Joint Scrutiny and Audit Panel Only)** |

   - Police and Crime Plan 2014-2018 (published)
   - Anti-social Behaviour, Crime and Policing Act 2014: Reform of antisocial behaviour powers, Statutory guidance for frontline professionals (July 2014).

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NOTTINGHAMSHIRE
POLICE
PROUD TO SERVE

Business & Finance

Performance & Insight Report

Police & Crime Plan Objectives One to Seven

Performance to November 2014

Executive Summary

Strategic Priority Theme 1: Protect, support and respond to victims, witnesses and vulnerable people

Measure		Current Performance - Year-To-Date to October 2014	Short-term Trend	Long-term trend
		Performance / Difference		
1	Percentage of victims that are completely, very or fairly satisfied with the service provided	86.3% 🟠	◆	◆
2	Percentage of victims and witnesses satisfied with the services provided by the Courts	96.6% 🟢	△	▲
3	Percentage of people who agree that the Police and Council are dealing with local ASB and other crime issues	54.5% 🔴		◆
4	Percentage reduction of people that have been repeat victims within the previous 12 months	Repeat DV +1.7% 🟠 % DV Victims 38.3% Repeat HC +27.5% 🔴 Repeat ASB +10.0%		
5	Public confidence in reporting offences to the Police	Serious Sex +57.0% Domestic Ab -14.0% DA Sat 90.8% Hate Crime +16.0%		
6	The number of people killed or seriously injured (KSIs) on Nottinghamshire's roads	16.8% 🔵		
7	Non-Crime Mental Health related detainees	-43.8% 🔵		

Strategic Priority Theme 2: Improve the efficiency, accessibility and effectiveness of the Criminal Justice System

Measure		Current Performance - Year-To-Date to October 2014	Short-term Trend	Long-term trend
		Performance / Difference		
1	Percentage of Crown and Magistrate's Court files submitted to the CPS on time and without errors	CC Quality -0.4pp 🟢 CC Time -0.4pp 🟢 MC Quality +0.5pp 🟢 MC Time -0.7pp 🟠	◆ ◆ ◆ ◆	
2	Crown Court and Magistrate's Court conviction rates	CC 83.2% 🟢 MC 83.4% 🟠		
3	Early guilty plea rate for Crown Court and Magistrate's Court	CC 37.0% 🟡 MC 67.7% 🟢		

2

| 4 | Percentage of effective trials in the Magistrates' and Crown Courts (HMCTS Measure) | CC 2.1pp 🟡
MC 0.7pp 🟡
CC -1.0pp 🟡
MC-10.3pp 🔴 | | |

Strategic Priority Theme 3: Focus on those priority crime types and local areas that are most affected by Crime and Anti-Social Behaviour				
Measure		Current Performance - Year-To-Date to **June** 2014		
		Performance / Difference	Short-term Trend	Long-term trend
1	Reduction in 'All Crime' across the Force	+5.4% 🔴	▲	▲
2	Reduction in Anti-Social Behaviour (ASB) incidents across the Force	+9.2% 🔴	▲	△
3	The detection rate (including positive outcomes) for Victim-Based Crime	-2.7pp 🟠	▽	▽

Strategic Priority Theme 4: Reduce the impact of drugs and alcohol on levels of Crime and Anti-Social Behaviour				
Measure		Current Performance - Year-To-Date to **June** 2014		
		Performance / Difference	Short-term Trend	Long-term trend
1	The number of alcohol-related crimes	Crime +1.5% ASB +11.8%		
2	Re-offending of drug fuelled offenders in the Force IOM cohort	**Volume** IOM ST -12% IOM +13% **Severity** 🟠 IOM + 89% (1) +60% (2)		

3

Strategic Priority Theme 5: Reduce the threat from organised crime

Measure		Current Performance - Year-To-Date to **June** 2014		
		Performance / Difference	Short-term Trend	Long-term trend
1	Reported drug offences	-1.9%	▼	▼
2	The number of Proceeds of Crime Act (POCA) confiscation and forfeiture orders	+12.7% 🟢		
3	Force Threat, Harm and Risk (THR) assessment level	🟢		

Strategic Priority Theme 6: Prevention, early intervention and reduction in re-offending

Measure		Current Performance - Year-To-Date to **June** 2014		
		Performance / Difference	Short-term Trend	Long-term trend
1	Re-offending of offenders in the Force IOM cohort	**Volume** IOM ST -4% IOM +25% **Severity** + 75% (1) +40% (2) 🟠		
2	Youth Offender re-offending rates	Ci 25.1%		
3	Community Resolutions for Youth Offenders			

Strategic Priority Theme 7: To spend your money wisely

Measure		Current Performance - Year-To-Date to **June** 2014		
		Performance / Difference	Short-term Trend	Long-term trend
1	Make efficiency savings	+£0.2m	🟡	🟢
2	Ensure balanced budget	£0.1m +0.1%	🟢	🟢
3a	Total number of days lost to sickness (Officers)	3.95%	🟢	🟢
3b	Total number of days lost to sickness (Staff)	3.78%	🟢	🟢
3c	BME representation	4.3%	🟡	🟡

Full Summary

Strategic Priority Theme 1: Protect, support and respond to victims, witnesses and vulnerable people					
Measure	Target Profile	Current Performance - Year-To-Date to October 2014			
		Performance / Difference	Short-term Trend	Long-term trend	Summary
1 — Percentage of victims of crime that are completely, very or fairly satisfied with the service they have received from the police	90% of victims completely, very or fairly satisfied	86.3% ●	◆	◆	Performance remains stable, and the most recent figure, covering satisfaction for incidents reported in the 12 months to August, contrasts with 87.1 per cent for the same period last year. While there is no underlying difference between the divisions in terms of the headline figure (City 85.3 per cent, County 86.9 per cent), theft from vehicle crime satisfaction remains a differentiating factor. The Force is above peers, both nationally and when compared to the Most Similar Group (MSG) average (based on 12 months of interviews ending June 2014).
2 — Percentage of victims and witnesses satisfied with the services provided in Court	An increase in the percentage of victims and witnesses satisfied compared to 2013/14	96.6% ●	△	▲	Around 99 per cent of victims and witnesses responding were satisfied or very satisfied with the services provided in Court in September. Figures for the 12 months to September show that more than nine in every ten respondents were satisfied in comparison with the 2013/14 level of 95.7 per cent (April 2013 - March 2014).
3 — Percentage of people who agree that the Police and Council are dealing with local Anti-Social Behaviour and other crime issues	60% agreement by 2015-16	54.5% ●	n/a	◆	**Current performance covers interviews in the year to June 2014.** The Force is 5.5 pp away from the 60 percent target. Performance remains stable over the last year while there has again been positive movement since the previous quarter.

4	Percentage reduction of people that have been repeat victims within the previous 12 months	A reduction in the number of repeat victims of Domestic Violence compared to 2013/14	+1.7%	🟠	n/a	n/a	There has been a 1.7% increase in the number of repeat victims of Domestic Abuse. This resulted from a 1.8% increase in the County, and a 1.4% decrease in the City. The proportion of all Domestic Abuse which are repeats remains stable at 38.3%, very slight decrease on the previous year. When Domestic Abuse Incidents are excluded, the proportion drops to 20.8% which is an increase on the previous year.
		To monitor the proportion of Domestic Violence crimes which are repeats	38.3%		n/a	n/a	
		A reduction in the number of repeat victims of Hate Crime compared to 2013/14	+27.5%	🔴	n/a	n/a	Numbers of repeat victims of Hate Crime continue to grow, with 11 more offences recorded year-to-date. The increases recorded occurred on both City (8) and County (3).
		To monitor repeat victims of Anti-Social Behaviour incidents	+10.0%		n/a	n/a	Numbers of repeat victims of ASB continue to rise in line with overall ASB, with the majority predominantly in the City Division (21.5%),
5	Public confidence in reporting offences to the police	To monitor the number of Serious Sexual offences	+57.0%		n/a	n/a	There have been 300 additional Serious Sexual Offences recorded by the Force year-to-date. This equates to a 57% increase. Both Divisions are recording increases, City 64% and County 51%.
		To monitor the number of Domestic Violence incidents and crimes	-14.0%		n/a	n/a	In terms of Domestic Abuse, crimes year-to-date have increased by 7%, whilst numbers of incidents appear to have reduced by 21% due to a tagging issue which has been raised at both the Joint Performance Board and Information Assurance Board.
		To monitor satisfaction levels of victims of Domestic Abuse through the Force victim surveys;	90.8%		n/a	n/a	Results of the Domestic Abuse Victim Satisfaction Survey for incidents reported in the 12-months to the end of July 2014 demonstrate that rates remain broadly stable with more than nine in every ten victims satisfied with the whole experience (522 out 575 respondents). There is insufficient data to determine short-term and long-term trends.

| | | To monitor the number of Hate Crimes | +16.0% | n/a | n/a | There has been 16% increase in the numbers of recorded Hate Crime, which equates to 78 additional offences. Public Order Hate Crimes have seen the biggest increase (23%, 57 offences), when compared to Victim-Based (9%, 21 offences). Every additional Public Order Hate Crime was recorded in the County Division, whilst every additional Victim-Based Hate Crime, occurred in the City. Given this, it is clear that County Division is driving Force performance. |

| 6 | The number of people Killed or Seriously Injured (KSIs) on Nottinghamshire's roads | To maintain a reduction in the number of persons Killed or Seriously Injured on Nottinghamshire's roads, in-line with the Nottinghamshire Road Safety Partnership target of a 40% reduction by 2020 (from the 2005-2009 baseline)

This can be monitored according to an annualised (calendar year) target, which will be calculated at the start of each year

Monitor KSIs for 0-15 year olds | -16.8% ●

-28.6% | | | Calendar year data to June shows that the Force is currently recording 16.8% less KSIs than in the previous period. This equates to 38 less KSIs in number terms, although there were three more fatalities against 41 less serious casualties. It should also be noted that there has been a quite considerable increase in the numbers of slight increases, up 8.6% or 126 more than reported in the same period last year.
On a positive note, there have been six fewer KSIs for 0-15 year olds, which due to low numbers equates to 28.6% less than in the previous period. Child casualties have reduced across all type with no fatalities recorded in the current period, a quarter less serious casualties and 9.5% less slight casualties. |
| 7 | The number of non-crime related mental health patients detained in custody suites | Reduce the number of non-crime related mental health patients detained in custody suites | -43.8% ● | | | There was a 43.8% reduction in the numbers of non-crime related mental health patients detained in the Forces Custody Suites. This includes those patients referred to Custody Suites from other agencies i.e. hospital Section 136 suites. To provide a wider context, overall S136 detainees have reduced by 37.7%, with a 33.3% reduction in the numbers presented to hospital S136 suites. There are a number of reasons for custody suites being the first place of safety[1], sadly the reason is not recorded or recorded as 'other' in a number cases. |

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[1] Reason not recorded, suite full, suite refused, suite has no staff, male on suite, female on suite, too violent, detained for safety, and other.

		Strategic Priority Theme 2: Improve the efficiency, accessibility and effectiveness of the Criminal Justice System				
	Measure	Target Profile	Current Performance - Year-To-Date to October 2014			
			Performance / Difference	Short-term Trend	Long-term trend	Summary
1	Percentage of Crown and Magistrates' Court files to be submitted by the police to the Crown Prosecution Service on time and without errors	A reduction in the error rate and late rate compared to 2013/14	CC Quality -0.4pp 🟢	◆ [2]	n/a	A new quality review system is being implemented through the Prosecution Team Performance management meeting. Data is not yet available for this measure. Data shown reflect performance to March 2014. At this time the Crown Court continued to meet target in terms of both file quality and timeliness. The Magistrates Court on the other hand, were achieving target in terms of file quality but not in terms of timeliness.
			CC Time -0.4pp 🟢	◆ [1]	n/a	
			MC Quality +0.5pp 🟢	◆ [1]	n/a	
			MC Time -0.7pp 🟠	◆ [1]	n/a	
2	Crown and Magistrates' Courts conviction rates	To record a conviction rate in line with the national average	CC 83.2% (3.4pp) 🟢	n/a	n/a	Year-to-date data to September 2014 show that Nottinghamshire have a Crown Court conviction rate of 83.2%, 3.4pp higher than the national average, and in line with the East Midlands average rate of 83.4%. Magistrates' Courts recorded an 83.4% conviction rate year-to-date, placing Nottinghamshire 0.6pp away from the national average.
			MC 83.4 (-0.6pp) 🟠	n/a	n/a	

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[2] *Performance on all of the criminal justice measures remains stable in the short-term, however it is not possible to make accurate long-term judgments regarding trend due to a lack of available data*

3	Early Guilty Plea Rate for the Crown Court and Magistrates' Court	An increase in the Early Guilty Plea rate compared to 2013/14	CC 37.0% (-1.1pp) 🟡	n/a	n/a	Last month it was reported that the Crown Court performance was improving, however performance in September impacted on this improvement moving the Crown Court to 1.1pp away from target again. However, in comparison to the national average, the Crown Court still remains above target by 2.5pp, this is mainly due to declining performance nationally (-4.4pp) which has been mirrored in the region (-4.0pp). The overall Guilty Plea rate for the Crown Court was 76.1%, again above the national average of 72.2%. The Magistrates' Courts on the other hand continue to maintain improved performance recording a 4.7pp increase on last year, whilst this still places the Magistrates' Courts 2.9pp below the national average, current improvements continue to exceed both the region and national improvements (+2.9pp and +3.5pp respectively).
			MC 67.7% (+4.7pp) 🟢	n/a	n/a	
		To be better than the national average	CC Nat Ave: 34.5% 🟢	n/a	n/a	
			MC Nat Ave: 70.6% 🟠	n/a	n/a	As might be expected the overall Guilty Plea rate in Magistrates' Courts is below the national average, at 69.0% against 71.3%, however, this is a small gap to close given recent and continuing improvements.
4	Percentage of effective trials in the Magistrates' and Crown Courts	Reduce % of ineffective trials compared to 2012/13	CC 2.1pp 🟡	n/a	n/a	Data to September 2014 show that the Crown Court has increased the rate of ineffective trials by 2.1pp to 15.9%. Magistrates' Courts have seen a slight increase of 0.7pp to 23.2%.
			MC 0.7pp 🟡	n/a	n/a	
		Achieve an effective trial rate of 50%	CC -1.0pp 🟡	n/a	n/a	In terms of the effective trial rate, Crown Court has improved by 2.5pp to 49% just 1pp below target. Whilst Magistrates' Courts have seen a slight drop of -0.7pp to 39.7%.
			MC -10.3pp 🔴	n/a	n/a	

Strategic Priority Theme 3: Focus on those priority crime types and local areas that are most affected by Crime and Anti-Social Behaviour						
Measure		Target Profile	Current Performance - Year-To-Date to October 2014			
			Performance / Difference	Short-term Trend	Long-term trend	Summary
1	A reduction in All Crime, particularly Victim-Based Crimes compared to 2013/14	A reduction in All Crime compared to 2013/14	+5.4% ●	▲	▲	The Force continues to show a decline in performance, year-to-date compared to the previous month (+3.4%). Both Divisions are now showing increases with City up 4.4% and County 6.2%. These increases are being driven by all Districts within the County, particularly on County East (+10.7%). In the City, City South is currently recording an increase of 14.9% compared with City Centre where there is a reduction of 55%. Month-to-date performance shows marked increases in October compared to October of last year, with 985 or 17.7% more crimes recorded.
		A reduction in Victim-Based Crimes compared to 2013/14	+4.4% ●	▲	▲	There have been increases recorded in both Victim-Based and Other Crime Against Society, hence there being a smaller increase in Victim-Based Crimes than for 'All Crimes'. However, this is little reassurance, given that month-to-date there were 16.4% more Victim-Based crimes recorded than in October of last year. This means that performance is increasing in volume. In addition, whilst the previous quarter has recorded month-on-month reductions, Victim-Based crimes are predicted to have a significant upward trend in the short- and long-term. Again performance is being predominantly driven by greater increases in the County (5.0%) than the City (3.6%) and is showing increases in the same lower level areas as for 'All Crime'.

		To monitor the number of offences in those local areas which experience a high level of crime	Ci +6.0%		n/a	n/a
			Co +5.0%		n/a	n/a

In the Priority Plus Areas, there has been a 6.0% increase on the City compared to a 5.0% increase on the County. Month-to-date however, City Division are showing a 12.0%% increase, whilst County Division are now showing a 14.0%.

To significantly reduce levels of: Burglary Dwelling — -5.9% ● △ △

Month-to-date saw the Force record 29 or 17.7% more Burglary Dwellings than in October of last year. This reversed improving performance year-to-date from -8.4% in the previous month to -5.9%. Whilst the Force is still showing 'exceptional' performance, the short-term and long-term trends no longer predict significant reductions, with the long-term prediction being an upward trend.
Performance is being driven by 8.7% increase on City Division, whilst the County are showing strong performance with a 18.2% reduction year-to-date. The City is recording increases across all four areas, although performance is particularly marked in City South (14.6%).

To significantly reduce levels of: Robbery — -3.0% ● ▼ ▽

Robbery performance continues to improve, with the Force now recording a -3.0% reduction year-to-date. The driver for these reductions, have been improvements around performance regarding both Robbery of Business Property with 9 less (-14.5%) so far this financial year, and Robbery of Personal Property with 10 less (-1.7%), however volume factors very heavily when considering overall Robbery performance. City Division accounts for just over 71.5% of all Robbery recorded by the Force, which is up from nearly 66.9% in the previous year, it is therefore fair to say that the County Division is driving performance with a 16.5% reduction, compared to3.7% increase in the City. However, there are

						pockets of the County (Bassetlaw, Newark & Sherwood, Broxtowe and Rushcliffe) where declining performance is being masked by considerable improvements elsewhere. Within the City Division, it is City Centre and City Central where considerably increases are being recorded (+49.2% and +14.6% respectively) which is actually masking considerable improvements in performance on City North and City South (-10.2% and -24.2% respectively).
		To significantly reduce levels of: Violence with injury	+15.3%	🔴	▲	▲	Month-to-date there has been a 17.7% increase in VAP with Injury, causing a decline in performance. Performance on the County Division is driving these increases, accounting for 53.6% of the Force recorded Violence with Injury. All areas across the County have recorded increases, most notably County South where there has been a 29.1% (219 offences) increase. Each of the three County Districts account for more Violence with Injury than any of the four City areas. Whilst City Division recorded a 7.4% increase, there was only a 1.0% increase recorded in City Centre.
		To reduce Shop Theft	-0.02%	🟢	△	▲	Month-to-date there has been a 6.3% increase in Shop Theft compared to the previous September, however the Force is still recording month-on-month reductions since June 2014. The County Division continues to drive performance with a year-to-date reduction of 1.0%, however, there was a 7.6% increase recorded in County West, driven predominantly by a 13.7% increase in Mansfield. Although this is an improvement on last month.

| 2 | Reduce Anti-Social Behaviour incidents in Nottinghamshire with a focus on those local areas which experience a high level of ASB | A reduction in ASB Incidents in line with the long-term target of 50% reduction by 2015/16 (compared to the 2011/12 baseline) | +9.2% | ● | ▲ | △ | Following the slight increase in ASB recorded between August and September, there was a decrease between September and October (-6.4%), however, the month-to-date increase of 8.2% means that the Force is maintaining an overall year-to-date increase of 9.2% or 2,089 additional incidents. As reported previously, City Division is driving performance with a year-to-date increase of 19.5%, although performance is slowly improving. However, performance in the County is continuing to decline (+1.3%) albeit slowly. ASB incidents have increased across all four areas, particularly in City South (23.3%). Performance in the County is a different picture with marked reductions in Bassetlaw (-7.1%) masking increases in all other districts, particularly Gedling (10.7%). |
| 3 | The detection rate (including Positive Outcomes) for Victim-Based Crime | An increase in the detection rate for Victim-Based Crime; | -2.7pp | ● | ▽ | ▽ | Detection performance for Victim-Based crimes continues to decline, with only 24.7% of these offences being detected year-to-date. The decline is mirrored on both Divisions, although the County continues to outperform the City (25.7% and 23.3% respectively). Two areas which continue to maintain stronger detection rates are City Centre (31.9%) and Mansfield (31.6%). Marginal increases in the detection rate for Vehicle interference (+0.8%), Theft from person (+0.9%) and Robbery of personal property (+0.3%) and a marked increase in Robbery of business property (+8.2%) have had little impact against reduction in all other areas, some of which have been considerable, such as Violence without injury (-14.89%), Other Sexual Offences (-7.5%) and Rape (-5.0%). |

| | | To monitor the proportion of Community Resolution disposals. | -0.04pp 🟢 | ▽ | ▽ | The proportion of detections derived from Community Resolutions remains relatively stable at 17.7%, although the overall volume has decreased by 6.6% in line with a 6.3% decrease in the volume of all detections, although this has improved on the previous month's figures. The use of Cautions and TICs has halved, whilst the use of Charge / Summons continues to increase with 17.3% increase in volume year-to-date, increasing its proportion by 13.0pp to 64.5% year-to-date. |

	Strategic Priority Theme 4: Reduce the impact of drugs and alcohol on levels of Crime and Anti-Social Behaviour					
	Measure	Target Profile	Current Performance - Year-To-Date to October 2014			
			Performance / Difference	Short-term Trend	Long-term trend	Summary
1	The number of alcohol-related Crimes	To monitor the number of crimes and ASB incidents which appear to be alcohol-related	Crime +1.5%	n/a	n/a	Based on a complex search it is estimated that 13.3% of Crime is alcohol-related, this is a comparable proportion when compared to ASB. As reported previously, there is a considerable disparity between the 5.4% increase in 'All Crime' compared with the 1.5% increase in Alcohol-related 'All Crime' whilst ASB performance appears to line up, which may be an indication of better data quality.
			ASB +11.8%	n/a	n/a	
		To monitor the proportion of alcohol-related Violent Crime	23.4%	n/a	n/a	Less than a quarter of Violent Crime is estimated to be alcohol-related, which is woefully below the estimated national average of over half, indicating data quality
2	Re-offending of drug fuelled offenders in the Force IOM cohort	To monitor the number and seriousness of offences committed by drug fuelled offenders in the IOM cohort	**Volume** IOM ST -12% IOM +13% **Severity** IOM + 89% (1) +60% (2)			This information is provided with a number of caveats, all listed in Appendix B where the tables are shown. The number of offences committed by all drug fuelled offenders (June 2014 cohort) when comparing Q1 FY 2014 with Q2 FY 2014 has decreased by 12% when looking at drug fuelled IOM shop theft offenders but increased by 13% when looking at drug fuelled IOM offenders in the general cohort. The % of the cohort which has reoffended has dropped from 68% to 59% for IOM ST and increased from 23% to 25% for IOM when comparing consecutive quarters. The seriousness of offences (a measure derived by Nottinghamshire Police) have seen increases between the quarters for Score 1 (+89%) and

| | | | | | Score 2 (+60%). The scores are explained in Appendix B, and offences which attract a score are listed. |
| | | | | | It is important to assess this performance in context – the presence of these offenders on the IOM cohort in June 2014 would indicate their offending levels would make them a priority to the Force and Partnership. In the first months on the programme their convicted offending may be driven up through increased scrutiny and enforcement, with reductions in offending being seen through the year when engagement with pathways begins. It is therefore important to assess re-offending levels of the cohort through the long term where reductions should start to be seen. |

	Strategic Priority Theme 5: Reduce the threat from organised crime					
	Measure	Target Profile	Current Performance - Year-To-Date to October 2014			
			Performance / Difference	Short-term Trend	Long-term trend	Summary
1	Reported drug offences	To monitor the number of production and supply of drug offences	-1.9%	▼	▼	The number of recorded drug offences (production and supply) continues to reduce, but at a slower rate than reported previously. The main driver with this is reduction in the numbers of Possession offences recorded (84 less offences, -4.9%), whilst there has also been a reduction in Production offences, (-30 less offences, -12.4%). Supply offences have actually increased by 53.2%, or 74 more offences.
2	The number of Proceeds of Crime Act (POCA) confiscation and forfeiture orders	A 10% increase in the number of orders compared to 2013/14	+12.7% ●	n/a	n/a	Year-to-date there have been 124 successful Confiscation and Forfeiture Orders, this is 12.7% more than in the previous year, and places the Force 2.4pp above target. Performance is continuing to improve as the year progresses, with the average value of orders down slightly by £89.32 but the total value year-to-date being £701,698,53 more than in the previous year.
3	Force threat, harm and risk (THR) assessment level	To reduce the Threat, Harm and Risk below the 2013-14 level	●			In terms of criminal intent and capability, the current threat from Serious, Organised Crime in Nottinghamshire remains significant and consistent despite evidence of successful disruption within the last 12 month period as a result of various Nottinghamshire Police and EMSOU operations. The current intelligence picture relating to organised criminality, coupled with the upcoming prison release of key individuals linked to organised crime, suggests that the medium term threat from Serious, Organised Crime in

					Nottinghamshire will not change from its current threat status of significant and consistent.

Strategic Priority Theme 6: Prevention, early intervention and reduction in re-offending					
Measure		Target Profile	Current Performance - Year-To-Date to October 2014		
			Performance / Difference	Short-term Trend	Long-term trend	Summary
1	Re-offending of offenders in the Force IOM cohort	To reduce the number and seriousness of offences committed by offenders in the IOM cohort	**Volume** IOM ST -4% IOM +25% 🟠 **Severity** + 75% (1) +40% (2)			This information is provided with a number of caveats, all listed in Appendix B where the tables are shown. The number of offences committed by all drug fuelled offenders (June 2014 cohort) when comparing Q1 FY 2014 with Q2 FY 2014 has decreased by 4% when looking at IOM shop theft offenders but increased by 25% when looking at IOM offenders in the general cohort. The % of the cohort which has reoffended has decreased from 65% to 61% for IOM ST and increased from 22% to 24% for IOM when comparing consecutive quarters. The seriousness of offences (a measure devised by Nottinghamshire Police) have seen increases between the quarters for Score 1 (+75%) and Score 2 (+74%). The scores are explained in Appendix B, and offences which attract a score are listed. It is important to assess this performance in context – the presence of these offenders on the IOM cohort in June 2014 would indicate their offending levels would make them a priority to the Force and Partnership. In the first months on the programme their convicted offending may be driven up through increased scrutiny and enforcement, with reductions in offending being seen through the year when engagement with pathways begins. It is therefore important to

						assess re-offending levels of the cohort through the long term where reductions should start to be seen. It is also important to note the effect one offender can have on a whole cohort, especially when a large number of offences are taken into consideration (TIC). When removing the TICs for one particular offender in the cohort the scores for all indicators improve –overall increase in offending is 6% compared to 25% (excluding IOM ST), and seriousness score increases reduce from 75% to 40% (Score 1) and from 40% to 20% (Score 2). The biggest increases are seen for Level 3 offenders (who have no statutory conditions to comply with).
2	Youth offender re-offending rates	To monitor re-offending rates and offending levels of youth offenders in the Youth Justice System	City 25.1%			City Youth Offending Team reported a re-offending rate of 0.84 12 months to November 2014, with 25.1% of the cohort re-offending. This is a reduction in re-offending as reported previously. There are no data to report on for the County.
3	Community Resolutions for Youth Offenders	To monitor re-offending in Youth Offenders who have received a Community Resolution				A query is currently being built to facilitate the analysis of this area. IS are currently building additional objects to enable an accurate search

Strategic Priority Theme 7: To spend your money wisely					
Measure		Target Profile	Current Performance - Year-To-Date to October 2014		
			Performance / Difference	Short-term Trend	Long-term trend	Summary
2.1	Make efficiency savings	Save £12.7m by March 2015	-£0.2m	🟡	🟢	The Government's grant has reduced significantly and in order to balance the budget, savings of **£12.7m** need to be made in 2014-15. Detailed plans are in place to ensure the savings target is met. To date £4.142m of efficiencies have been achieved against a target of £4.295m.
2.2	Ensure balanced budget	Overall spend v budget 2014/15 budget - £193.8m 2014/15 Q1 Forecast - £193.8m	-£0.1m -0.1%	🟢	🟢	Expenditure was £0.138m worse than forecast. This was largely overtime due to mutual aid and some specific operation; staff salaries due to the efficiency challenge; and restructuring costs. This has been partly offset by mutual aid income predominantly for provide cover to the Fire Services during industrial action, Commonwealth Games and the NATO summit, which offsets some of the over spend on overtime.

| 2.3 | Total number of days lost to sickness (Officers and Staff 3.7% (8.2 days)) | Officers | 3.95% | ● | ● | The latest 12 month rolling sickness data for the Force has shown that officer sickness reduced to 3.77% in October 2014 from 3.95% in October 2013. This represents a reduction of 4.7% over the past year.
HR continues to work closely with line managers to reduce the number of officers on long term sick.
Officer sickness absence in the 12 months to October 2014 amounted to an annual cost to the Force of £3.8m.
Following the upgrade to our HR system, there is concern that the upgrade has affected the complex recording and reporting process of sickness absence. This issue is being investigated. Until this is resolved we recommend that the sickness information is used with caution. |
| | | Staff | 3.78% | ● | ● | The latest 12 month rolling sickness data for the Force has shown that staff sickness reduced to 3.23% in October 2014 from 3.78% in October 2013. This represents a reduction of 14.6% over the past year.
HR continues to work closely with line managers to reduce the number of officers on long term sick.
Staff sickness absence in the 12 months to October 2014 amounted to an annual cost to the Force of £1.4m.
Following the upgrade to our HR system, there is concern that the upgrade has affected the complex recording and reporting process of sickness absence. This issue is being investigated. Until this is resolved we recommend that the sickness information is used with caution. |

2.4	BME representation	BME representation within the Force to reflect the BME community	4.3%	🟠	🟠	Current BME representation in Force stands at 4.3%. This shows little change from the proportion recorded in March 2012, however the Force is in the process of recruiting new officers following a positive action campaign and therefore a change may be seen in the representation statistics in the coming months. The 4.3% figure is lower than the BME population of Nottinghamshire, which stands at 11.2% (Source: 2011 Census Data).
Pm	Overtime Budget	Maintain overtime spend below budget 2014/15 budget - £3.3m	-£0.3m -10.2%	🔴	🟠	The Force's overtime expenditure year to date was £2.235m, which is an over spend of £0.206m against a forecast of £2.028m. The majority of the over spend was in County, City and OSD. This over spend has been partially offset by income from mutual aid and providing cover during the Fire Service strikes and NATO summit. The main operations were: major crime ops Hallux, Hearth and Pelfry; County Encollar, Claustral, Packhouse, Jejunal and Raspberry; City centre patrols; OSD Eagre, Genre; ministerial visits for the Newark By-Election (Kapok); increased regional activities around major crimes.
Pm	Establishment (FTE's)	▪ Officer establishment TBC ▪ Staff establishment TBC	2,027 FTE -2 v latest forecast 1,507 FTE -114 v budget	🟠 🟠	🟠 🟠	Officer establishment at the end of October was 2,027 FTE's which was 2 lower than latest forecast. This was due to a higher number of police officers leaving than originally anticipated. To date 75 officers have left the force. During September, 14 new officers started. Staff establishment at the end of October was 1,507 FTE's (including PCSO's at 336 FTE's) which was 114 FTE's lower than target. PCSO's were 4 lower than target.

Force Executive Board

Performance & Insight Report

Performance to October 2014

NOTTINGHAMSHIRE
POLICE
PROUD TO SERVE

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Contents

Financials

Month				Year to date					
Actual £m	Forecast £m	B/(w) than Forecast £m		Actual £m	Forecast £m	B/(w) than Forecast £m	Full Year Budget £m	Full Year Forecast £m	B/(w) than Budget £m
			Total pay & allowances						
8.655	8.599	(0.056)	Police pay & allowances	60.051	60.252	0.201	104.292	103.426	0.866
0.259	0.157	(0.101)	Police overtime	2.348	1.949	(0.399)	2.855	3.142	(0.287)
4.309	4.244	(0.065)	Police staff pay & allowances	30.086	29.875	(0.211)	48.402	50.139	(1.737)
0.035	0.036	0.001	Police staff overtime	0.181	0.273	0.091	0.487	0.463	0.024
0.190	0.044	(0.146)	Other employee expenses	0.682	0.442	(0.240)	0.551	0.659	(0.108)
13.448	**13.080**	**(0.367)**		**93.348**	**92.791**	**(0.557)**	**156.587**	**157.828**	**(1.241)**
			Other operating expenses						
0.502	0.505	0.003	Premises running costs	3.581	3.763	0.182	5.708	5.849	(0.140)
0.496	0.475	(0.021)	Transport costs	3.325	3.409	0.085	5.627	5.707	(0.080)
0.055	0.048	(0.007)	Clothing, uniform & laundry	0.336	0.287	(0.050)	0.416	0.416	(0.000)
0.541	0.475	(0.066)	Comms & computing	3.726	3.615	(0.111)	5.681	5.681	(0.000)
0.189	0.110	(0.079)	Miscellaneous expenses	1.179	1.080	(0.099)	0.764	0.872	(0.108)
0.550	0.577	0.027	Collaboration contributions	4.059	4.050	(0.009)	6.966	6.966	(0.000)
1.386	1.311	(0.074)	Other	11.702	11.680	(0.022)	17.853	18.476	(0.624)
3.718	**3.501**	**(0.217)**		**27.908**	**27.884**	**(0.024)**	**43.015**	**43.967**	**(0.952)**
17.166	**16.581**	**(0.585)**	**Total expenditure**	**121.256**	**120.675**	**(0.580)**	**199.603**	**201.795**	**(2.193)**
(0.632)	(0.435)	0.198	**Income**	(3.728)	(3.285)	0.442	(5.803)	(7.995)	2.193
16.534	**16.147**	**(0.387)**		**117.528**	**117.390**	**(0.138)**	**193.800**	**193.800**	**0.000**

Financials

Month: £16.534m against a forecast of £16.147m (£0.387m adverse)
Year to date: £117.528m against a forecast of £117.390m (£0.138m adverse)
Full year forecast: £193.800m

Month:
Expenditure was £0.387m worse than Q1 forecast. This was largely due to a number of one-off's:
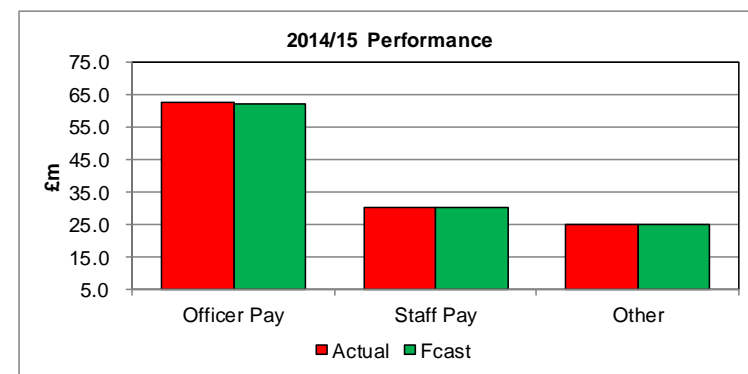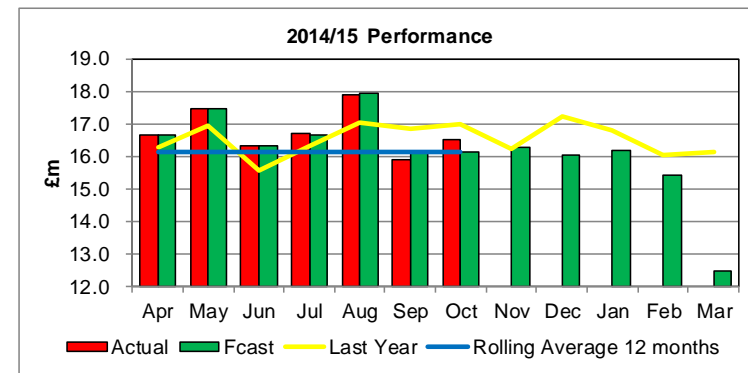
- £0.073m due to backdated payroll for officers leaving on medical retirements once they have received their H1 certificate
- £0.119m due to redundancy payments and pension strain for the restructure of Assets department
- £0.033m for backed dated charges relating to officers transferred from externally funded projects
- £0.010m on interpreters fees for Op Pelfray

Police officer pay was £8.655m, which was £0.056m worse than forecast largely due to items highlighted above, partly offset by impact of the previous months leavers coming through. Officers leavers at 8 in the month was one less than forecasted. Overtime was £0.259m, which was £0.101m worse than forecast. £0.022m relates to mutual aid operations which has been more than offset by mutual aid income, the rest is due to phasing in the forecast which should reverse in November.

Police staff pay was £4.309m, which was £0.065m worse than forecast mainly due to not achieving the vacancy rate overlay.

October was the first month that the efficiency overlays ramped up including £0.075m for 5% procurement saving. This affects numerous lines of expenditure and for example was the main reason Comms & Computing were worse than forecast.

Income was £0.198m better than forecast due to mutual aid income, prosecution costs recovered and the phasing of special services income (Goose Fair).

2014/15 Performance

Chart (£m): Monthly Actual (red), Fcast (green), Last Year (yellow line), Rolling Average 12 months (blue line) from Apr to Mar.

2014/15 Performance

Chart (£m): Officer Pay, Staff Pay, Other — Actual (red), Fcast (green).

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Financials

Year to date:

Expenditure was £0.138m worse than Q1 forecast. This was largely due to:
- £0.307m overtime, of which £0.085m has been offset by mutual aid income
- £0.166m increase in the medical retirement as a result of the latest information
- £0.050m legal accrual for potential costs relating to A19 and other on-going cases
- £0.073m due to backdated payroll for officers leaving on medical retirements once they have received their H1 certificate and £0.033m for backed dated charges relating to officers transferred from externally funded projects
- £0.194m due to redundancy payments, pension strain and industrial tribunals
- £0.111m on comms & computing mainly due to the efficiency challenge

 Partly offset by a half year review of accruals and a number of one-off's:
- £0.212m mutual aid for the Commonwealth games, NATO summit and EDL event. This is net of c£0.085m overtime incurred
- £0.152m due to a review of utilities, rent and rate accruals and a rates rebate for St Anns and Oxclose Lane (£0.052m)
- £0.081m of consultancy fees for IS transformation which are currently deferred
- £0.040m release of accruals for autopsies
- £0.307m police officer savings largely due to leavers and National Insurance
- £0.079m due to the fuel price being below the forecasted rates per litre (diesel £1.06 v £1.20/ltr and petrol £1.08 v £1.18/ltr), lower mileage and half year stock adjustment

Police officer pay was £60.051m, which was £0.201m better than forecast largely due to officers leavers, at 75 being 9 higher than forecasted, and savings on National Insurance. Overtime was £2.348m, which was £0.399m worse than forecast in part due to specific operations, mutual aid and support provided to the Fire Service during industrial action which has been offset in income and also the half year review of the accruals.

Police staff pay was £30.086m, which was £0.211m worse than forecast. This is largely due to the efficiency challenge, partly offset by the capitalisation of agency cost relating to the MFSS.

Officer Leavers	Apr	May	Jun	Jul	Aug	Sep	Oct	Total	Variance
Actual	10	9	14	9	14	11	8	75	
Budget	8	6	6	8	4	13	6	49	26
Forecast	10	9	14	6	4	15	9	66	9

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Capital Expenditure

Month: £0.565m

Year to date: £4.323m

Forecast remaining: £10.837m

Full year forecast: £15.160m

	Month			Year to date			Remaining	Full Year
	Actual £m	Forecast £m	B/(w) than Forecast £m	Actual £m	Forecast £m	B/(w) than Forecast £m	Forecast £m	Forecast £m
Estates								
Arrow Centre conversion	-	0.100	0.100	0.065	0.130	0.065	0.931	0.996
Biomass boilers	-	0.100	0.100	0.151	0.100	(0.051)	0.329	0.480
Custody improvements	0.001	0.120	0.119	0.234	0.371	0.137	0.199	0.433
Energy initiatives	-	0.050	0.050	0.274	0.206	(0.068)	0.168	0.442
FHQ open plan offices	-	-	-	0.202	0.194	(0.008)	0.148	0.350
FHQ Kennels	-	0.050	0.050	0.046	0.086	0.040	0.571	0.617
FHQ Conference Facilities	0.001	-	(0.001)	0.001	-	(0.001)	0.349	0.350
FHQ re-surfacing of roads and carparks	0.011	0.100	0.089	0.011	0.100	0.089	0.189	0.200
FHQ fire protection - telephony room	0.004	-	(0.004)	0.004	0.025	0.021	0.146	0.150
Access Control Improvement	0.004	-	(0.004)	0.016	0.220	0.204	0.204	0.220
Bircotes information centre	0.003	0.052	0.049	0.138	0.146	0.008	0.008	0.146
Demolition of huts	0.012	-	(0.012)	0.060	0.086	0.026	0.077	0.137
Other	0.072	0.102	0.030	0.254	0.230	(0.024)	0.848	1.102
	0.108	**0.674**	**0.566**	**1.456**	**1.894**	**0.438**	**4.167**	**5.623**
Information Systems								
Continued essential hardware refresh	0.034	-	(0.034)	0.330	0.287	(0.043)	0.107	0.437
Desktop virtualisation	-	-	-	-	-	-	0.300	0.300
Enabling change	0.021	0.048	0.027	0.142	0.213	0.071	0.308	0.450
Improvements to digital investigation storage	0.004	-	(0.004)	0.016	0.008	(0.008)	0.584	0.600
Mobile data platform	-	-	-	-	-	-	0.500	0.500
Mobile data remote working	0.051	-	(0.051)	0.081	0.024	(0.057)	0.760	0.841
Replacement of photocopiers	0.057	0.030	(0.027)	0.360	0.202	(0.158)	0.014	0.374
Telephony project	0.008	0.178	0.170	0.008	1.191	1.183	1.276	1.284
Windows 7	0.094	0.077	(0.017)	0.269	0.381	0.112	0.266	0.535
Other	(0.024)	0.254	0.278	0.587	0.930	0.343	2.000	2.587
	0.245	**0.587**	**0.342**	**1.793**	**3.236**	**1.443**	**6.115**	**7.908**
MFSS	0.022	0.025	0.003	0.770	0.075	(0.695)	2.437	3.207
Other (incl PCC projects)	0.190	0.025	(0.165)	0.304	0.189	(0.115)	1.118	1.422
Forecast general slippage	-	-	-	-	-	-	(3.000)	(3.000)
	0.565	**1.311**	**0.746**	**4.323**	**5.394**	**1.071**	**10.837**	**15.160**

The Q1 forecast included the MFSS at £3.207m and a non allocated reduction of £3.000m on the project spend forecast by budget holders. Since that review took place £1.355m of savings and slippage has been identified against specific projects. This includes £0.570m on kennels, £0.499m on conference centre conversion and open plan refurbishment at Force HQ and £0.158m on Access Control Improvements.

The under spend to date is mainly due to the delay to the Telephony project £1.183m, partly offset by the timing of expenditure on licences and consultancy costs for the MFSS project, the timing for these was not known at the time of the Q1 forecast. The forecast phasing is being revised for Q2.

Efficiencies

Month: £0.693m against a target of £0.915m (£0.233m adverse)
Year to date: £4.142m against a target of £4.295m (£0.153m adverse)
Full year revised target: £11.794m

2014/15 Phasing

	Month				Year to date			Full Year
Actual £m	Forecast £m	B/(w) than Budget £m		Actual £m	Forecast £m	B/(w) than Budget £m	Forecast £m
0.317	0.415	(0.097)	Local Policing	1.546	1.755	(0.208)	4.240
0.096	0.154	(0.058)	Specialist Services	0.646	0.733	(0.086)	1.733
0.280	0.347	(0.067)	Corporate Services	1.940	1.799	0.141	5.692
-	-	-	OPCC	0.009	0.009	-	0.128
0.693	**0.915**	**(0.223)**		**4.142**	**4.295**	**(0.153)**	**11.794**

Total savings to date

Total savings v 2014/15 Target

Savings achieved   GAP

- Local Policing to date is £0.208m behind target mainly due to staff vacancy rate and phasing of front counters and estates strategy.
- Specialist Services to date is £0.086m behind target, mainly due to staff vacancy rate and the restructuring of Intel and P&P analytical no longer taking place.
- Corporate Services to date is £0.141m ahead of target due to staff vacancy rate, premises and lower fuel costs.
- OPCC are on target.

Overtime

Month				Year to date					
Actual £m	Forecast £m	B/(w) than Forecast £m		Actual £m	Forecast £m	B/(w) than Forecast £m	Full Year Budget £m	Full Year Forecast £m	B/(w) than Budget £m
			Local Policing						
0.063	0.047	(0.016)	City	0.600	0.546	(0.054)	0.830	0.895	(0.065)
0.094	0.059	(0.036)	County	0.845	0.739	(0.106)	1.049	1.189	(0.140)
0.005	0.005	0.001	Contact Management	0.034	0.075	0.040	0.092	0.113	(0.021)
0.163	**0.111**	**(0.051)**		**1.479**	**1.359**	**(0.119)**	**1.972**	**2.197**	**(0.225)**
			Specialist Services						
0.070	0.072	0.002	Crime & Justice	0.538	0.535	(0.003)	0.972	0.976	(0.004)
0.051	0.014	(0.037)	OSD	0.370	0.216	(0.154)	0.289	0.339	(0.050)
0.004	0.005	0.002	Regional	0.056	0.073	0.017	0.289	0.106	0.183
0.125	**0.091**	**(0.033)**		**0.964**	**0.825**	**(0.139)**	**1.550**	**1.421**	**0.129**
0.007	(0.010)	(0.017)	Corporate Services	0.086	0.037	(0.049)	(0.179)	(0.013)	(0.167)
0.294	**0.193**	**(0.101)**		**2.529**	**2.222**	**(0.307)**	**3.343**	**3.605**	**(0.263)**

2014/15 Weekly Performance

Legend: Actual — Target — 4 Weekly Average

	Week 31 Ytd	Weekly Average Ytd	Last 4 Week Average	Direction of Travel
City	14,040	453	454	⬇
County	16,559	534	443	↗
Contact Management	2,780	90	105	⬇
Crime & Justice	17,122	552	585	⬇
OSD	3,728	120	108	➡
Corporate Services	3,119	101	85	↗
	57,348	**1,850**	**1,780**	⬇

Note: Direction of travel based on last week average compared to ytd weekly average

10

Overtime

Month: £0.294m against a forecast of £0.193m (£0.101m adverse)
Year to date: £2.529m against a forecast of £2.222m (£0.307m adverse)
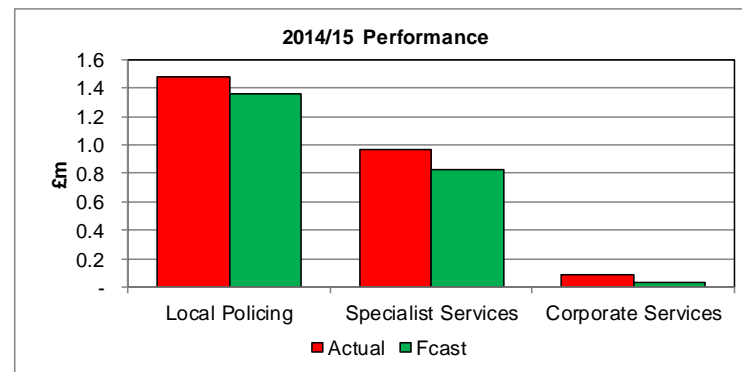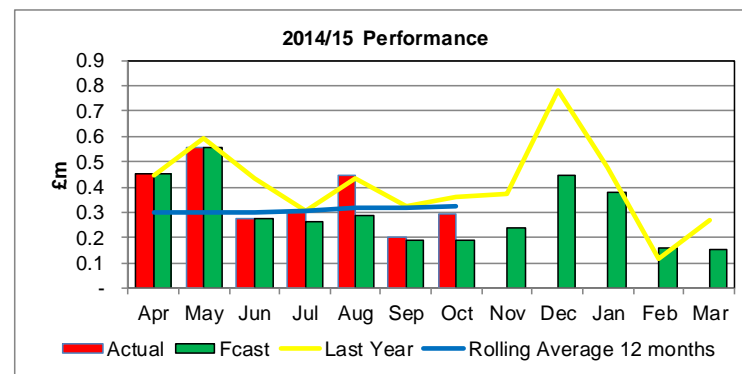**Full year forecast:** £3.605m

Officer overtime expenditure year to date was £2.348m, which is an over spend of £0.399m against a forecast of £1.949m. The majority of the over spend was in County £0.106m, City £0.054m and OSD £0.154m. Part of this over spend is due to mutual aid which has been more than offset by mutual aid income.

The main drivers for officer overtime have been:
- Increase in regional activities around major crimes by the Major Crime Unit and the Serious & Organised Crime Unit (Ops Pelfray, Hallux and Hearth)
- Maintaining police presence over bank holidays (this was budgeted)
- City centre patrols
- County operations Encollar, Claustral, Packhouse, Jejunal and Raspberry
- Ministerial visits (Op Kapok)
- Operations Eagre, Genre (fracking protest), Encomber, Twite and Bailor
- Support to the Fire Service during industrial action (Op Faculate)
- Two fatal RTCs (one a triple fatal) on the A1 for OSD
- Mutual aid operations, most notably Commonwealth games, NATO summit and EDL, Ops Purplewave and Mongoose

After 31 weeks there have been 57,348 hours spent on divisional overtime (which excludes mutual aid and special services overtime) versus a target of 51,736. This represents an over usage of 5,612 hours and equates to an overspend of c£0.140m. Extrapolated out over a full year at this rate would mean a risk of £0.235m. The last four weeks of overtime have averaged out at 1,780 per week versus an average target of 1,657, which has reduced from last month.

Staff overtime expenditure year to date was £0.181m, which is an under spend of £0.091m against a forecast £0.273m. This is largely as a result of the half year review of overtime accruals.

Local Policing

| Month | | | | Year to date | | | | | |
Actual £m	Forecast £m	B/(w) than Forecast £m		Actual £m	Forecast £m	B/(w) than Forecast £m	Full Year Budget £m	Full Year Forecast £m	B/(w) than Budget £m
			Total pay & allowances						
5.576	5.603	0.027	Police pay & allowances	38.868	39.193	0.324	67.550	67.353	0.197
0.146	0.097	(0.049)	Police overtime	1.397	1.237	(0.160)	1.851	1.999	(0.149)
1.840	1.826	(0.014)	Police staff pay & allowances	13.073	13.000	(0.072)	21.841	22.130	(0.289)
0.017	0.014	(0.002)	Police staff overtime	0.082	0.122	0.041	0.121	0.198	(0.077)
0.000	0.000	(0.000)	Other employee expenses	0.017	0.014	(0.002)	(0.025)	0.015	(0.040)
7.579	**7.540**	**(0.039)**		**53.436**	**53.567**	**0.130**	**91.337**	**91.695**	**(0.358)**
			Other operating expenses						
0.280	0.274	(0.007)	Premises running costs	1.915	1.990	0.075	3.166	3.159	0.007
0.254	0.276	0.022	Transport costs	1.816	1.922	0.106	3.216	3.305	(0.089)
0.064	0.042	(0.022)	Clothing, uniform & laundry	0.224	0.175	(0.050)	0.390	0.317	0.073
0.061	0.055	(0.006)	Comms & computing	0.415	0.411	(0.004)	0.710	0.672	0.038
0.040	0.043	0.003	Miscellaneous expenses	0.322	0.332	0.010	0.521	0.536	(0.015)
-	-	-	Collaboration contributions	-	-	-	-	-	-
0.082	0.089	0.007	Other	0.631	0.649	0.018	1.031	1.183	(0.152)
0.781	**0.780**	**(0.002)**		**5.322**	**5.479**	**0.157**	**9.034**	**9.172**	**(0.138)**
8.361	**8.320**	**(0.040)**	**Total expenditure**	**58.759**	**59.046**	**0.287**	**100.371**	**100.867**	**(0.496)**
(0.147)	(0.094)	0.052	**Income**	(0.500)	(0.412)	0.087	(0.710)	(0.730)	0.020
8.214	**8.226**	**0.012**		**58.259**	**58.633**	**0.374**	**99.661**	**100.137**	**(0.476)**

Local Policing

Month: £8.214m against a forecast of £8.226m (£0.012m favourable)
Year to date: £58.259m against a forecast of £58.633m (£0.374m favourable)
**Full year forecast:** £100.137m

Month:
The £0.012m better than forecast performance was mainly due to police officer salaries £0.027m where leavers have been higher than expected; transport costs £0.022m due to lower mileage and fuel costs due to price per litre being lower than forecasted and a transfer of transport insurance to Corporate services which is not a saving to the force; and £0.052m phasing of special services income (Goose Fair). This has been partly offset by overtime £0.049m; staff vacancy rate overlay; and £0.022m on uniform which is a crossover with Corporate Services and will be corrected in November.

Year to date:
The £0.374m better than forecast performance was mainly due to police officer salaries £0.324m where leavers have been higher than expected; staff overtime £0.041m is due to the half year accrual review and relates mainly to aged overtime claims; premises costs £0.075m due to a rent rebate and half year review of utilities and rent & rates accruals; transport costs £0.106m due to lower mileage and fuel costs due to price per litre being lower than forecasted and a transfer of transport insurance £0.051m to Corporate services which is not a saving to the force; and £0.087m on special services income, which in part is phasing.

This has been partly offset by staff vacancy rate overlay; and police officer overtime was £0.160m worse than budget (County £0.106m and City £0.054m) mainly due to a number of operations.

Performance

Expenditure Split

Overtime
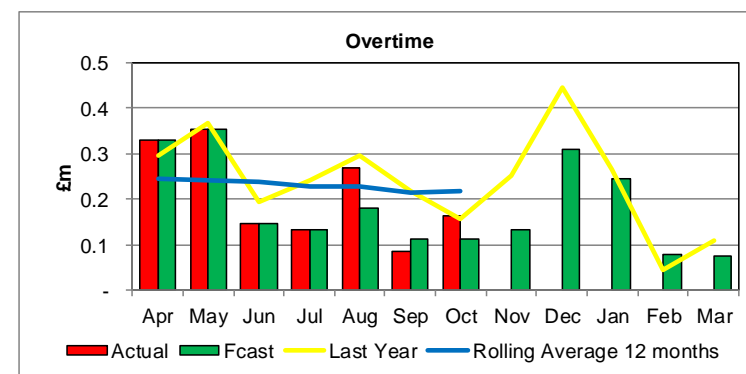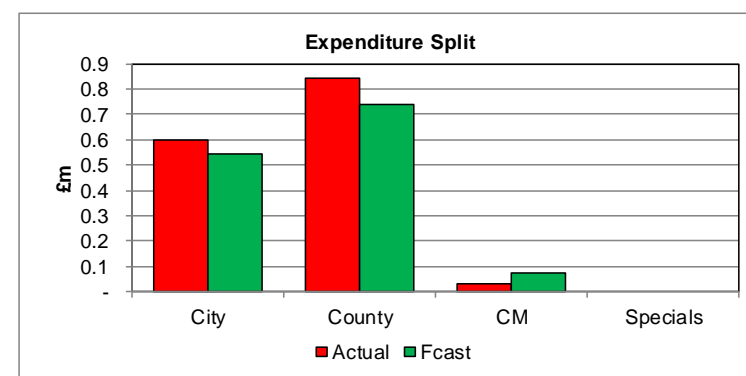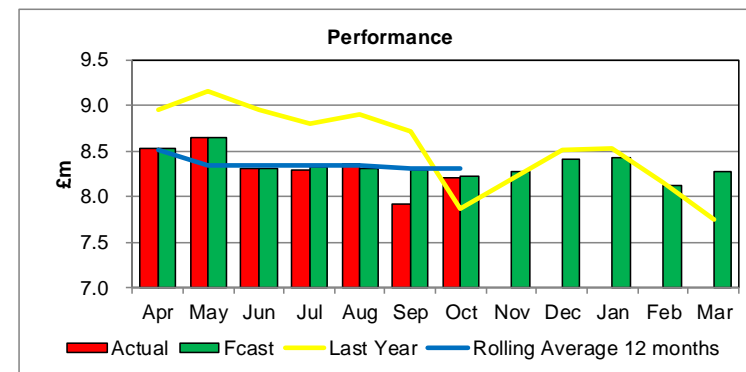
Local Policing Efficiencies

Month: £0.317m against a target of £0.415m (£0.097m adverse)
Year to date: £1.546m against a target of £1.755m (£0.208m adverse)
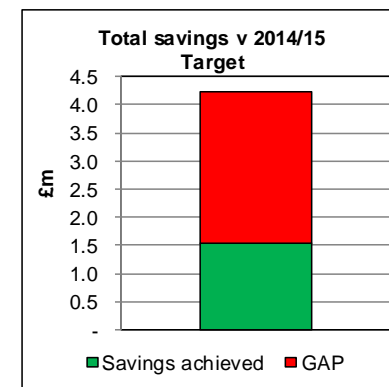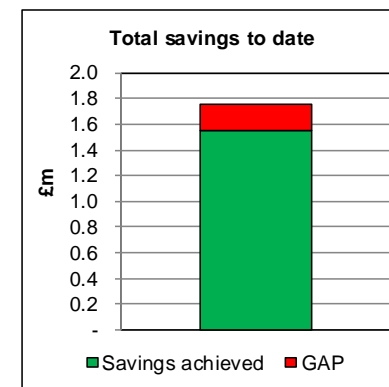**Full year revised target:** £4.240m

Month				Year to date			Full Year
Actual £m	Forecast £m	B/(w) than Forecast £m		Actual £m	Forecast £m	B/(w) than Forecast £m	Forecast £m
0.121	0.121	-	URN313 & URN315 Police Officer profile	0.630	0.630	-	1.500
0.114	0.114	-	URN308 Stop PCSO Recruitment	0.412	0.412	-	1.042
0.051	0.077	(0.026)	URN319 Reduction in Overtime	0.314	0.340	(0.026)	0.726
0.016	0.041	(0.025)	URN4 Front Counters	0.116	0.154	(0.038)	0.360
-	0.020	(0.020)	URN23-48 Estates strategy	0.006	0.044	(0.038)	0.165
0.008	0.001	0.007	URN314 Uniform savings (specials)	0.040	0.050	(0.011)	0.068
-	0.013	(0.013)	URN106 - EMSCU Savings target	-	0.013	(0.013)	0.130
0.007	0.028	(0.021)	URN307 Vacancy Rate	0.028	0.111	(0.083)	0.249
-	-	-	Other	-	-	-	-
0.317	**0.415**	**(0.097)**		**1.546**	**1.755**	**(0.208)**	**4.240**

Total savings to date

Total savings v 2014/15 Target

Year to date:

URNs 313, 315,308 & 319 - have been included within the forecast numbers and are being monitored to ensure they are reaching the stated level.

URN319 - Overtime missed target by £0.026m.

URN4 - Front Counters are slightly behind the target but will likely make up by year end.

URN314 - Uniform specials is missing the forecast, but this is likely to be a timing issue.

URN307 - Vacancy rate is well below target and this is a big risk in hitting the forecasted savings.

URN106 - EMSCU savings targets have been missed by £0.013m.

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Specialist Services

Month				Year to date			Full Year	Full Year	B/(w) than
Actual £m	Forecast £m	B/(w) than Forecast £m		Actual £m	Forecast £m	B/(w) than Forecast £m	Budget £m	Forecast £m	Budget £m
			Total pay & allowances						
2.788	2.712	(0.076)	Police pay & allowances	19.205	19.089	(0.115)	33.815	32.738	1.076
0.111	0.077	(0.034)	Police overtime	0.908	0.727	(0.181)	1.166	1.246	(0.079)
1.200	1.213	0.013	Police staff pay & allowances	8.547	8.587	0.040	14.600	14.516	0.084
0.013	0.014	0.001	Police staff overtime	0.056	0.098	0.042	0.177	0.175	0.002
0.000	0.000	(0.000)	Other employee expenses	0.002	(0.003)	(0.005)	0.014	(0.003)	0.017
4.113	**4.017**	**(0.097)**		**28.718**	**28.499**	**(0.220)**	**49.771**	**48.672**	**1.099**
			Other operating expenses						
0.065	0.064	(0.001)	Premises running costs	0.472	0.446	(0.026)	0.711	0.717	(0.006)
0.150	0.147	(0.004)	Transport costs	0.914	1.018	0.104	1.737	1.749	(0.011)
0.009	0.004	(0.004)	Clothing, uniform & laundry	0.049	0.054	0.005	0.066	0.074	(0.008)
0.121	0.109	(0.012)	Comms & computing	0.780	0.773	(0.007)	1.278	1.279	(0.001)
0.092	0.065	(0.027)	Miscellaneous expenses	0.465	0.437	(0.028)	0.635	0.753	(0.118)
0.411	0.427	0.016	Collaboration contributions	3.013	3.013	(0.001)	5.162	5.185	(0.023)
0.341	0.308	(0.034)	Other	2.469	2.485	0.016	4.385	4.043	0.342
1.189	**1.123**	**(0.066)**		**8.161**	**8.225**	**0.063**	**13.975**	**13.800**	**0.174**
5.303	**5.140**	**(0.162)**	**Total expenditure**	**36.880**	**36.723**	**(0.156)**	**63.746**	**62.472**	**1.274**
(0.200)	(0.067)	0.132	**Income**	(0.954)	(0.405)	0.550	(0.629)	(0.731)	0.102
5.103	**5.073**	**(0.030)**		**35.926**	**36.319**	**0.393**	**63.117**	**61.741**	**1.376**

Specialist Services

Month: £5.103m against a forecast of £5.073m (£0.030m adverse)
**Year to date:** £35.926m against a forecast of £36.319m (£0.393m favourable)
Full year forecast: £61.741m

Month:
The £0.030m worse than forecast performance was largely due to police salaries £0.076m; officer overtime £0.034m where the over spend is predominantly due to mutual aid activities; interpreter costs for Op Palfray; phasing of prisoner costs (clothing); and replacement taser cartridges. This has been partly offset by savings on staff salaries £0.013m where the CMB team has been transferred to Finance; collaborations contributions due to accruing to the latest information from the region; and income £0.132m which is due to prosecution costs recovered and mutual aid income for several operations.

Year to date:
The £0.393m better than forecast performance was largely due to savings on staff salaries £0.040m where the CMB team has been transferred to Finance; staff overtime £0.042m is due to the half year accrual review and relates mainly to aged overtime claims; transport costs £0.104m due to lower mileage and fuel costs due to price per litre being lower than forecasted and a transfer of transport insurance £0.024m to Corporate services which is not a saving to the force; and income £0.550m which is due to prosecution costs recovered and mutual aid income for several operations and providing cover to the Fire Services during industrial action. This has been partly offset by police salaries £0.115m; police officer overtime £0.181m where the over spend is largely due to mutual aid activities; and premises costs £0.026m where the forecast is held centrally in Assets but costs are incurred locally.

Performance

Expenditure Split

Overtime
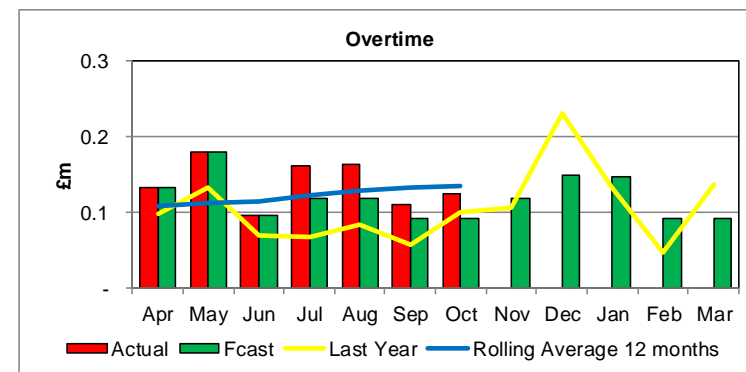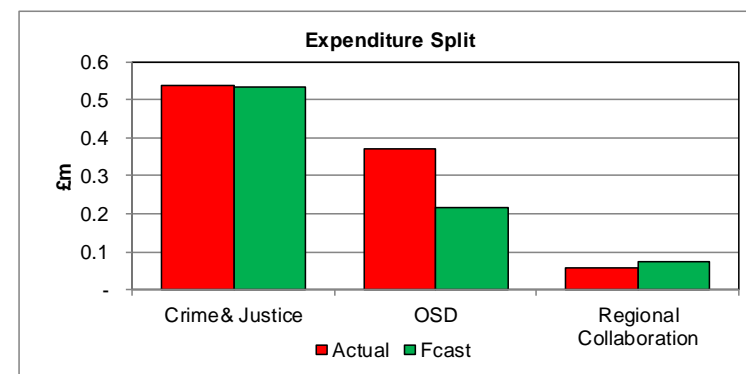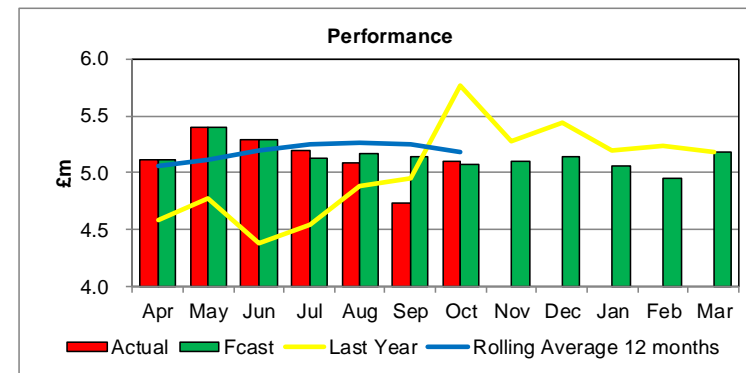
Specialist Services Efficiencies

Month: £0.096m against a target of £0.154m (£0.058m adverse)
Year to date: £0.646m against a target of £0.733m (£0.086m adverse)
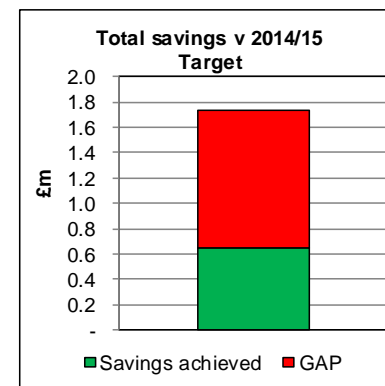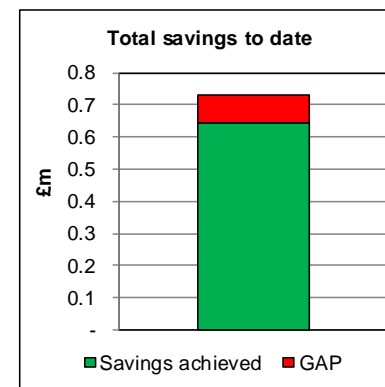**Full year revised target:** £1.733m

| Month | | | | Year to date | | | |
Actual £m	Forecast £m	B/(w) than Forecast £m		Actual £m	Forecast £m	B/(w) than Forecast £m	Full Year Forecast £m
0.032	0.032	-	URN56 Review & Restructure of CJ	0.223	0.223	-	0.378
0.022	0.031	(0.009)	URN320 Reduction in Overtime	0.165	0.173	(0.009)	0.333
-	-	-	URN312 Custody Review	-	-	-	0.148
0.017	0.017	-	URN51 Police Led Prosecution	0.017	0.017	-	0.100
-	0.021	(0.021)	URN106 EMSCU	-	0.021	(0.021)	0.210
0.007	0.007	-	URN55 Review & Restructure PP	0.047	0.046	0.001	0.079
0.006	0.006	-	URN43 MAIT & Cannabis dismantling team	0.042	0.042	-	0.072
0.008	0.008	-	URN53 CMB	0.008	0.008	-	0.050
-	-	-	URN34 Combined Intel,P&P analytical	-	-	-	-
0.004	0.032	(0.028)	Other	0.145	0.202	(0.058)	0.363
0.096	**0.154**	**(0.058)**		**0.646**	**0.733**	**(0.086)**	**1.733**

Total savings to date

Total savings v 2014/15 Target

Year to date:

URN307 - Vacancy Rate is below target and is a risk in hitting the forecasted savings.

URNs 43,55,56,320 - have been included within the forecast numbers and are being monitored to ensure they are reaching the stated level.

URN320 - Overtime missed target by £0.009m.

URN34 - Combined Intel and P&P analytical is no longer going ahead and has been removed from the tracker.

URN106 - EMSCU savings targets have been missed by £0.021m.

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Corporate Services

Month				Year to date					
Actual £m	Forecast £m	B/(w) than Forecast £m		Actual £m	Forecast £m	B/(w) than Forecast £m	Full Year Budget £m	Full Year Forecast £m	B/(w) than Budget £m
			Total pay & allowances						
0.290	0.284	(0.006)	Police pay & allowances	1.978	1.970	(0.008)	2.927	3.334	(0.407)
0.001	(0.018)	(0.019)	Police overtime	0.043	(0.015)	(0.058)	(0.162)	(0.103)	(0.059)
1.213	1.148	(0.064)	Police staff pay & allowances	8.057	7.878	(0.179)	11.282	12.803	(1.521)
0.005	0.008	0.003	Police staff overtime	0.042	0.051	0.010	0.189	0.090	0.099
0.189	0.042	(0.147)	Other employee expenses	0.653	0.419	(0.234)	0.548	0.629	(0.082)
1.699	**1.465**	**(0.234)**		**10.773**	**10.303**	**(0.470)**	**14.784**	**16.754**	**(1.969)**
			Other operating expenses						
0.151	0.163	0.012	Premises running costs	1.171	1.306	0.134	1.830	1.944	(0.114)
0.092	0.052	(0.040)	Transport costs	0.595	0.469	(0.126)	0.674	0.653	0.021
(0.018)	0.002	0.019	Clothing, uniform & laundry	0.063	0.059	(0.004)	(0.040)	0.025	(0.065)
0.358	0.309	(0.049)	Comms & computing	2.526	2.426	(0.100)	3.681	3.720	(0.040)
0.051	(0.007)	(0.058)	Miscellaneous expenses	0.343	0.254	(0.089)	(0.409)	(0.418)	0.009
0.139	0.150	0.010	Collaboration contributions	1.046	1.037	(0.008)	1.804	1.782	0.023
0.541	0.500	(0.041)	Other	6.647	6.637	(0.010)	8.665	9.227	(0.563)
1.314	**1.168**	**(0.146)**		**12.391**	**12.187**	**(0.203)**	**16.205**	**16.934**	**(0.729)**
3.012	**2.633**	**(0.380)**	**Total expenditure**	**23.164**	**22.491**	**(0.673)**	**30.989**	**33.688**	**(2.699)**
(0.260)	(0.273)	(0.013)	**Income**	(2.112)	(2.412)	(0.299)	(4.463)	(6.477)	2.014
2.753	**2.360**	**(0.392)**		**21.051**	**20.079**	**(0.972)**	**26.526**	**27.211**	**(0.685)**

Corporate Services

Month: £2.753m against a forecast of £2.360m (£0.392m adverse)
Year to date: £21.051m against a forecast of £20.079m (£0.972m adverse)
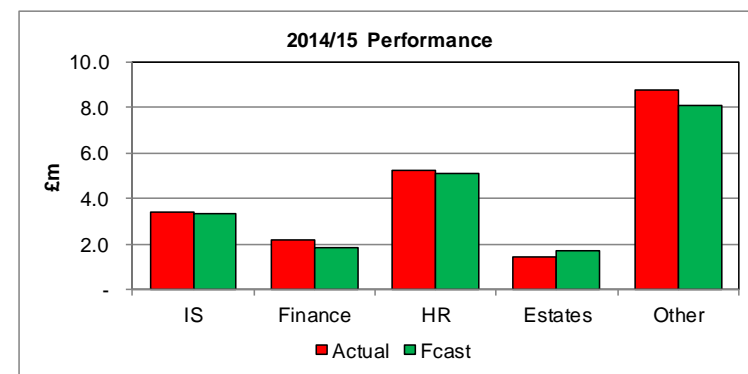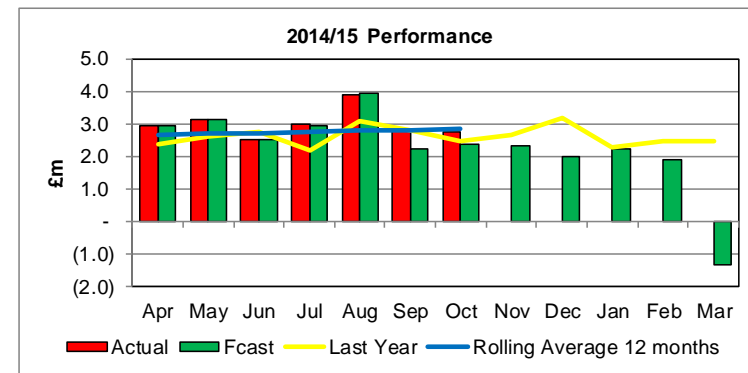**Full year forecast:** £27.211m

Month:

The £0.392m worse than forecast performance was due to staff salaries £0.064m, the transfer of CMB officers and staff into Finance; transport costs £0.040m mainly due to the transfer of insurance from Local Policing and Specialist Services which is offset by savings in those areas and the efficiency challenge; efficiency challenge in Comms & computing and Miscellaneous costs. This has been partly offset by uniforms £0.019m which is a crossover with Local Policing and premises costs £0.012m where the forecast is held central for repairs but the costs are incurred locally.

Year to date:

The £0.972m worse than forecast performance was due to staff salaries £0.179m where the capitalisation of IS staff was lower than forecasted and the transfer of CMB officers and staff into Finance c£0.300m; transport costs £0.126m mainly due to the transfer of insurance from Local Policing and Specialist Services which is offset by savings in those areas; and an increase in the medical retirements accrual £0.166m following a review with HR; comms & computing where good progress has been made

against the efficiency challenge but additional costs have been incurred; other employee expenses which are one-off exit costs; and income £0.299m due to the efficiency challenge and lower collaboration income due to IS Transformation. This has been partly offset by premises costs £0.134m where the forecast is held central for repairs but the costs are incurred locally and a review of accruals for utilities.

2014/15 Performance — Actual, Fcast, Last Year, Rolling Average 12 months

2014/15 Performance — IS, Finance, HR, Estates, Other — Actual, Fcast

Corporate Services Efficiencies

Month: £0.280m against a target of £0.347m (£0.067m adverse)
Year to date: £1.949m against a target of £1.808m (£0.141m favourable)
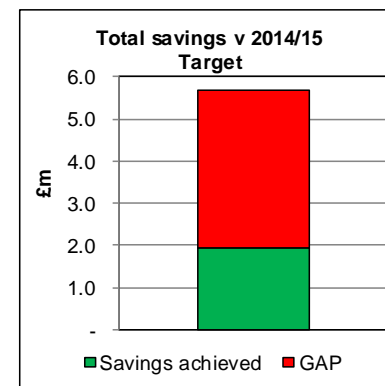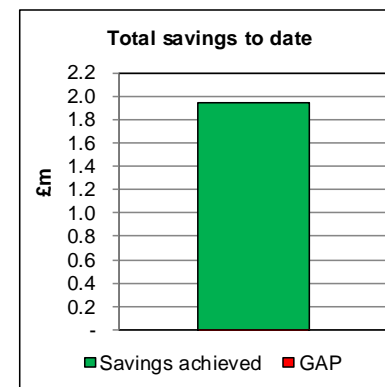**Full year revised target:** £5.820m

Month Actual £m	Month Forecast £m	Month B/(w) than Forecast £m		Year to date Actual £m	Year to date Forecast £m	Year to date B/(w) than Forecast £m	Full Year Forecast £m
-	-	-	OPCC	0.009	0.009	-	0.128
0.061	0.063	(0.002)	HR	0.378	0.366	0.012	0.799
0.117	0.061	0.056	Finance	0.420	0.248	0.172	1.600
0.013	0.061	(0.048)	IS	0.423	0.477	(0.054)	1.175
0.051	0.086	(0.035)	Assets	0.383	0.334	0.049	0.848
0.018	0.029	(0.011)	Transport	0.170	0.142	0.028	0.290
0.012	0.010	0.002	Corp Comms	0.082	0.071	0.011	0.227
0.001	0.005	(0.004)	PSD	0.025	0.034	(0.009)	0.060
0.006	0.005	0.001	Procurement	0.021	0.033	(0.012)	0.085
0.001	0.026	(0.025)	EMSCU	0.021	0.092	(0.072)	0.247
-	0.001	(0.001)	Other (Command, Central, Collaboration)	0.018	0.001	0.017	0.360
0.280	**0.347**	**(0.067)**		**1.949**	**1.808**	**0.141**	**5.820**

Total savings to date

Savings achieved ■ GAP

Total savings v 2014/15 Target

Savings achieved ■ GAP

Year to date:

HR - URN307 Vacancy rate is above forecast due to the large number of vacant posts awaiting new starters.

Finance - Income generation is much higher than forecast, URN58 Business Planning Manager is now included in the run rate.

IS - URN79 Capitalisation of staff is ahead of forecast year to date and hit September target. Various Comms & Computing (URN72, 73, 74, 75, 76, 77, 92, 105, 119, 141, 143, 144, 145 and 311) are behind target due to delay in starting work as a result of other commitments.

Assets - URN67 Maintenance budget cut is ahead of forecast, although this could be timing.

Transport - URN275 Reduction in fuel, this is additional savings over and above what has been included in the run rate.

Corporate Communications - On track.

PSD - Slightly off track.

Procurement - slightly behind target year to date, but working on the projects.

EMSCU - Is working to deliver the PFI contract and the 3% uplift, so will see the gap reducing in the future.

Consideration	
Public/Non Public	**Public**
Report to:	**Audit and Scrutiny Panel**
Date of Meeting:	**12 February 2015**
Report of:	**The Chief Executive**
Report Author:	**Sara Allmond**
E-mail:	**sara.allmond@nottscc.gov.uk**
Other Contacts:	
Agenda Item:	**15**

PANEL WORK PLAN AND MEETING SCHEDULE

1. Purpose of the Report

1.1   To provide the Panel with a programme of work and timetable of meetings

2. Recommendations

2.1   To consider and make recommendations on items in the work plan and to note the timetable of meetings

3. Reasons for Recommendations

3.1   To enable the Panel to manage its programme of work.

4. Summary of Key Points

4.1   The Panel has a number of responsibilities within its terms of reference. Having a work plan for the Panel ensures that it carries out its duties whilst managing the level of work at each meeting.

5. Financial Implications and Budget Provision

5.1   None as a direct result of this report

6. Human Resources Implications

6.1   None as a direct result of this report

7. Equality Implications

7.1   None as a direct result of this report

8. Risk Management

8.1   None as a direct result of this report

9. Policy Implications and links to the Police and Crime Plan Priorities

9.1 This report meets the requirements of the Terms of Reference of the Panel and therefore supports the work that ensures that the Police and Crime Plan is delivered.

10. Changes in Legislation or other Legal Considerations

10.1 None as a direct result of this report

11. Details of outcome of consultation

11.1 None as a direct result of this report

12. Appendices

12.1 Work Plan and schedule of meetings

JOINT AUDIT AND SCRUTINY PANEL WORK PLAN

ITEM DESCRIPTION	REPORTING REQUENCY	LEAD OFFICER
12 February 2015 – 12.30pm		
1. **(43)** Risk report on monitoring and actions for mitigation update	6 monthly	Force
2. **(45)** Business Continuity compliance and assurance of testing and exercising plan lessons learned	Annually	Force
3. **(46)** Publication Scheme monitoring, review and assurance	Annually	OPCC
4. **(51) & (49)** Information Management Policy monitoring, assurance and improvement outcomes. Records review, retention and disposal guidance and audit monitoring, review and assurance	Annually	Force
5. **(35)** Governance monitoring, assurance and improvement outcomes for decision making	6 monthly	OPCC
6. Revenue Budget Management report	Annually	OPCC
7. 4 Year Capital Plan	Annually	OPCC
8. Treasury Management Report	Annually	OPCC
Standard items:-		
Updates on scrutiny and other reviews	As required	
PCC Update Report	Quarterly	OPCC
(12) & (40) Internal Audit Progress Report	Quarterly	OPCC
(40) Audit & Inspection Report	Quarterly	Force
9 June 2015 – 2pm		
1. Election of Chair	Annually	OPCC
2. **(5)** IPCC investigations, recommendations and actions (October – March)	6 monthly	Force
3. **(36)** Force Improvement Activity Lessons Learned monitoring, IPCC lessons learned report (October - March)	6 monthly	Force
4. **(6) & (7)** Whistle Blowing Policy and review of compliance (October – March) and Anti-Fraud and Corruption Policy - review of compliance update (October – March)	6 monthly	Force
5. **(35)** Force Governance monitoring, assurance and improvement outcomes for decision making	6 monthly	OPCC
6. **(11)** Draft Audit Plan (Annual Internal Audit Strategy and Audit Plan)	Annually	
7. **(10) & (42)** Force, PCC and Regional Draft Annual Governance Statements	Annually	OPCC & Force
8. **(39)** Internal Audit Annual Assurance and Performance Report	Annually	OPCC CFO

ITEM DESCRIPTION		REPORTING REQUENCY	LEAD OFFICER
9.	Police and Crime Plan		OPCC CFO
10.	Verbal update on progress of Statement of Accounts		OPCC CFO
11.	Verbal update from External Audit		OPCC CFO
	Standard items:-		
	Updates on scrutiny and other reviews	As required	OPCC & Force
	PCC Update Report	Quarterly	OPCC
	(12) & (40) Internal Audit Progress Report	Quarterly	OPCC CFO
	(40) Audit & Inspection Report	Quarterly	ACO Resources
8 September 2015– 2pm			
1.	**(23 & 24)** Statement of Accounts and Summary Statement of Accounts	Annually	OPCC & Force
2.	**(10 & 42)** Annual Governance Statements	Annually	OPCC & Force
3.	External Audit – Annual Governance report	Annually	OPCC CFO
4.	**(43)** Risk report on monitoring and actions for mitigation update	6 monthly	OPCC & Force
5.	**(35)** Force Governance monitoring, assurance and improvement outcomes for decision making	6 monthly	Force
6.	Regional Collaboration Update	Annually	Force
	Standard items:-		
	Updates on scrutiny and other reviews	As required	OPCC & Force
	PCC Update Report	Quarterly	OPCC
	(12) & (40) Internal Audit Progress Report	Quarterly	OPCC CFO
	(40) Audit & Inspection Report	Quarterly	ACO Resources
7 December 2015 –			
1.	**(5)** IPCC investigations, recommendations and actions (April – September)	6 monthly	Force
2.	**(36)** Force Improvement Activity Lessons Learned monitoring, IPCC lessons learned report (April – September)	6 monthly	Force
3.	**(6) & (7)** Whistle Blowing Policy and review of compliance (April – September) and Anti-Fraud and Corruption Policy - review of compliance update (April – September)	6 monthly	Force & OPCC
4.	External Audit Annual Audit letter	Annually	OPCC CFO
5.	Verbal update on regional assurance work	Annually	OPCC CFO
	Standard items:-		

ITEM DESCRIPTION	REPORTING REQUENCY	LEAD OFFICER
Updates on scrutiny and other reviews	As required	OPCC & Force
PCC Update Report	Quarterly	OPCC
(12) & (40) Internal Audit Progress Report	Quarterly	OPCC CFO
(40) Audit & Inspection Report	Quarterly	ACO Resources