Nottinghamshire
POLICE & CRIME COMMISSIONER

JOINT AUDIT AND SCRUTINY PANEL

FRIDAY 15 NOVEMBER 2019 at 10.00 AM
FORCE HEADQUARTERS, SHERWOOD LODGE
ARNOLD, NOTTINGHAMSHIRE NG5 8PP

(pre-meeting for Panel Members at 9:15 am)

Membership
Stephen Charnock (Chair)
Leslie Ayoola
Peter McKay
Philip Hodgson
Alan Franks

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 meeting held on 24 July 2019**

4. **Progress Against Action Tracker**

5. **Progress on the New Custody Suite Project**

6. **Staffing Levels in Nottinghamshire Police Custody Suites**

7. **Strategic Risk Management Report for Force and Nottinghamshire Police and Crime Commissioner (NOPCC) Quarter 2 2019-2020**

8. **Audit and Inspection Update**

9. **Internal Audit Progress Report**

10. **External Audit – Verbal Update**

11. **Police and Crime Commissioner's Update Report**

12. **Complaints and Misconduct Investigations**

13. **IPOC Investigations, Recommendations and Actions**

14. **Professional Standards Confidential Reporting Procedure ("Whistleblowing"),**

15. **Joint Audit and Scrutiny Panel Work Plan 2019/20**

16. **Summary of Actions (verbal)**

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 8445998 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: **Noel McMenamin tel. 0115 993 2670** for clarification or advice prior to the meeting.

MINUTES OF THE MEETING OF THE NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER JOINT AUDIT AND SCRUTINY PANEL HELD ON WEDNESDAY 24TH JULY 2019 AT NOTTINGHAMSHIRE COUNTY COUNCIL, COUNTY HALL, NOTTINGHAM NG2 7QP, COMMENCING AT 10AM

MEMBERSHIP

(A – denotes absent)

Mr Stephen Charnock (Chair)

Mr Leslie Ayoola

Dr Phil Hodgson

Mr Peter McKay

Alan Franks

ALSO PRESENT

Rachel Barber	Deputy Chief Constable (DCC), Nottinghamshire Police
Neil Belton	Mazars
Tim Chesworth	MFSS Consultant
Ali Davies	HMICFRS
Chris Hewitt	EY
Glen Longden	Nottinghamshire Police
Mark Kimberley	Head of Finance, Nottinghamshire Police
Noel McMenamin	Democratic Services, Nottinghamshire County Council
Charlie Radford	Chief Finance Officer, NOPCC

1) ELECTION OF CHAIR

Stephen Charnock was elected as Chairman of the Panel for 2019-2020.

2) MEMBERSHIP 2019-2020

The Panel noted the appointment of Alan Franks to the Panel in place of John Brooks from 1 July 2019, and welcomed Mr Franks to his first Panel meeting.

3) APOLOGIES FOR ABSENCE

Apologies for absence were received from Paddy Tipping, Police and Crime Commissioner and Craig Guilford, Chief Constable Notts Police.

4) DECLARATIONS OF INTEREST BY MEMBERS AND OFFICERS

Dr Phil Hodgson declared an interest in item 9 'Force Audit and Inspection Update' as he was the Head of Law and Social Services, University of Derby who had the contract for apprenticeship training.

5) MINUTES OF THE PREVIOUS MEETING

The minutes of the last meeting held on 29 May 2019, having been circulated to all members, were taken as read and were confirmed and signed by the Chair.

6) PROGRESS AGAINST ACTION TRACKER

Action 016: Item overtaken by events. Complete and close.

Action 023: Complete and close.

Action 024: To be discussed with DCC Barber – keep open.

Action 025: Keep open – confirm for November 2019 agenda.

Action 026: Inspection currently taking place.

7) HMICFRS – DISCUSSION ITEM

Ali Davies of Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS) gave a presentation, highlighting the Inspectorate's:

- role and responsibilities,
- statutory duty;
- relations with Forces and PCCs;
- principal challenges; and
- inspection developments.

A copy of the briefing note accompanying the presentation is attached at Appendix A to these minutes

During discussion, the following points were raised:

- It was explained that actions arising from a Force inspection were acted upon immediately and progressed, but that these were not formally closed/written off until a subsequent inspection;

- Relations between HMICFRS and the Force were strong but retained a professional challenge. The view was expressed that further reflection was needed to develop synergies between the inspection regime and internal processes, to avoid creating a duplication of effort where possible;

- The point was made that the Panel had not yet seen a business case for the merging of Force and Fire and Rescue Headquarters. HMICFRS considered this to be an operational decision.

RESOLVED 2019/040

To note the update and to thank Ms Davies for her attendance.

8) MFSS TRANSITION TO FUSION

Tim Chesworth, IS Transformation Programme Manager, Tri-Force Collaboration, provided a presentation, updating the Panel on the key service risks, mitigations and actions being taken in respect of MFSS – Oracle Cloud Operation. The presentation provided:

- background and rationale for the MFSS Programme;
- the key challenges;
- a synopsis of key risks by severity;
- mitigations; and
- future delivery options.

A copy of the presentation is attached at Appendix B to these minutes.

During discussion, the following points were made:

- while a series of shortcomings had led to the current position, the lack of clear and agreed governance and control of the overall programme was the key weakness that prevented co-ordinated mitigating action being taken before now;

- the problems described in the presentation were exacerbated by moving the support function from Northampton to Cheshire at the point at which demand for those services spiked;

- it was confirmed that no central government funding would be made available to remedy the issue, given concerns about the prospect of overspend. The point was made that the MFSS experience was likely to a detrimental effect on future collaborative initiatives.

RESOLVED: 2019/041

To note the update and to thank Mr Chesworth for his attendance.

9) FORCE AUDIT AND INSPECTION UPDATE - JUNE 2019

Dr Phil Hodgson declared an interest in this item as he was the Head of Law and Social Services, University of Derby, the organisation with the contract for apprenticeship training.

Deputy Chief Constable Rachel Barber introduced the report which provided an update progress against recommendations arising from the audits and inspections which had taken place during quarter 1 of 2019/20 and a schedule of planned audits and inspections.

Chief Inspector Glen Longden provided a presentation updating the Panel on Nottinghamshire Police's Custody Action Plan arising from the HMICFRS Custody inspection in October 2018. A copy of the presentation is attached at Appendix c to these minutes

During discussion, a number of points were raised:

- It was acknowledged that the Inspection outcomes provided a wake-up call to the Force, which had let previously positive performance slip;

- Custody performance had turned around dramatically, at a time when there were more arrests. Performance was particularly strong on dealing with vulnerability. Where improvement was still required, it was primarily in respect of ensuring that actions taken were recorded appropriately;

- Progress on the new Bridewell was progressing to schedule, with public consultation expected in late summer/early autumn;

- The Panel commended the approach taken by the Force in accepting and acting decisively upon the Inspectorate's findings

RESOLVED: 2019/042

To note the update and to thank Chief Inspector Glen Longden for his attendance.

At this point, Leslie Ayoola left the meeting.

10) INDEPENDENT CUSTODY VISITING (ICV) ANNUAL REPORT

Chief Inspector Glen Longden introduced the report, which provided an update on the achievements and progress of the Nottinghamshire Independent Custody Visiting Scheme.

In the brief discussion which followed, it was confirmed that Nottinghamshire had achieved the Gold level ICVA Quality Assurance Framework process in 2019. It was also pointed out that of the 1,600 people held in custody, there had been no complaints received in respect of use of force.

The Panel commended the Force performance as evidenced by the report.

RESOLVED: 2019/043

To agree that the report was to be circulated to volunteers, Nottinghamshire Police and partners, and to publish the report on the Nottinghamshire Police website.

11) STATEMENT OF ACCOUNTS AND ANNUAL GOVERNANCE STATEMENTS FOR 2018-19

Charlie Radford addressed the Panel, explaining that the Statement of Accounts circulated for consideration and approval required further amendments. A recent successful legal challenge on age discrimination by Fire and Rescue Service staff had wide-ranging implications for all public sector organisations, meaning that auditors needed to update pensions data.

In the circumstances, the Panel agreed to delegate authority to the Chief Finance Officer, in consultation with the Chair of the Audit and Scrutiny Panel, to agree the accounts and governance statements, once finalised, and pass for signature.

RESOLVED: 2019/044

That members agree to delegate authority to the Chief Finance Officer, in consultation with the Chair of the Audit and Scrutiny Panel, to recommend that the accounts and governance statements, once finalised, be submitted to the Police and Crime Commissioner for approval and subsequent signature by both the Police and Crime Commissioner and Chief Constable.

12) EXTERNAL AUDIT – VERBAL UPDATE

Chris Hewitt of Ernst Young provided a brief verbal update, advising the Panel that he and the Charlie Radford were in discussion about when to reschedule the Nottinghamshire Police audit. A provisional date had not yet been set. All parties were working against the statutory deadline of 30 September 2019.

RESOLVED: 2019/045

To note the verbal update.

13) INTERNAL AUDIT PROGRESS REPORT

Neil Belton of Mazars introduced the report which provided an update on progress against the Internal Audit Annual Plan for 2019-2020, and the findings from the audits completed to date.

RESOLVED: 2019/046

To note the internal audit progress update.

14) OPCC PUBLICATION SCHEME MONITORING, REVIEW AND ASSURANCE

The Panel considered a report providing assurance that the OPCC was working in full compliance of the Freedom of Information Act 2000 and the Elected Local Policing Bodies (Specified information) Order 2011.

The Panel noted the report without substantive discussion.

RESOLVED: 2019/047

To note the report.

15) FORCE ASSURANCE REPORT ON COMPLIANCE WITH FREEDOM OF INFORMATION AND DAA PROTECTION REQUESTS – QUARTERS 1 AND 2 – 2019-2020

DCC Barber introduced the report, which provided data on the legislative compliance for information requests under the Freedom of Information Act and Data protection Act legislation for quarters 1 and 2, 2019-2020.

During discussions the following points were raised:

- The provision of addition staff resource to deal with information requests was currently in process;
- The Team faced both staffing and financial pressures, as payment for Police disclosure in the case of private family court proceedings were being refused funding as the information could be accessed under GDPR provisions;
- There was support for having a triage system with a view to weeding out media 'fishing trips' and vexatious requests for information, but there was still a need to justify any such approach to the Information Commissioner

RESOLVED: 2019/048

To note the contents of the report.

16) JOINT AUDIT AND SCRUTINY WORK PLAN 2019-2020

RESOLVED: 2019/049

To note and approve the Work Plan for 2019-2020.

17) SUMMARY OF ACTIONS

RESOLVED 2019/050

To note that there were no further actions agreed at the meeting to add to the action tracker.

The meeting closed at 12.40pm

CHAIR

HMICFRS BRIEFING TO JASP 24 JUL 2019

My role involves day to day liaison with two forces – yourselves and Lincolnshire. As liaison lead I support HMI Zoe Billingham in managing relationships, as well as leading PEEL inspections, insight and engagement activity.

My task is to provide panel members with an understanding of the role of HMICFRS and how the work that it does fits in with the assurances the panel seeks regarding the Force's and PCC's governance, effectiveness, efficiency and value for money.

I plan to talk for the next 10 minutes or so, allowing some time to answer any questions you may have.

1. Role and Responsibilities of HMICFRS

HMICFRS purpose is simple – '*promoting improvements in policing to make everyone safer'.*

HMIC - Her Majesty's Inspectorate of Constabulary has been independently assessing and reporting on the effectiveness and efficiency of police forces and policing for over 160 years.

In summer 2017, HMIC took on inspections of England's fire & rescue services, assessing and reporting on their efficiency, effectiveness and leadership. To reflect this additional role, our name changed to Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS). For the purposes of this meeting I will focus on policing.

We will always try to see policing and FRS through the public's eyes. In preparing our reports, we ask the questions that members of the public would ask, and publish the answers in accessible form, using our expertise to interpret the evidence and make recommendations for improvement. This provides information to allow the public to compare and contrast forces. Our evidence is used to drive improvements in the services they provide to the public.

The independence of HMIC is key. We are independent of government, the police and fire & rescue authorities.

- HM Inspectors are appointed by the Crown. They are not employees of the police service, the fire & rescue service or the government.
- Sir Tom Winsor has the dual role of HM Chief Inspector of Constabulary and HM Chief Inspector of Fire & Rescue Services. He reports on the efficiency and effectiveness of police services in England and Wales, and on the efficiency and effectiveness of FRS in England.
- HM Inspectors may be called to give evidence before committees of Parliament and must also account for their actions to the public through the media. As is the case with all public bodies, HM Inspectors are also susceptible to judicial review. HMI Zoe Billingham is the lead for the Eastern region of forces.
- Although HMICFRS's budget is set by the government, and the inspection programmes require the Home Secretary's approval, no Minister, police and

crime commissioner or fire authority can interfere with the contents of an HMICFRS report or the judgment of HM Inspectors.

2. Statutory Duty of HMICFRS

Our annual inspection programme for police forces in England and Wales is subject to the approval of the Home Secretary under section 54 (2) of the Police Act 1996. The Home Secretary may also require that we carry out further inspections of police forces, beyond the terms of the annual inspection programme. Such as child protection inspections, custody inspections, counter terrorism, cyber-crime etc. Police and crime commissioners may also commission HMIC to do inspections in their force areas, although HMIC is not required to accept requests.

In devising its policing inspection programme for the Home Secretary's approval, HMIC considers the risks to the public, service quality, public concerns, the operating environment, the effect which inspection may have on a force, and the benefits to the public of improvements which may follow inspection. HMIC may also carry out inspections of police forces on its own initiative if it considers that the performance or circumstances of a force merit it.

Each year an inspection programme and schedule is published. The schedule includes the inspections which form our regular annual assessment called the PEEL assessments. PEEL stands for police effectiveness, efficiency and legitimacy.

A key aspect is the fact that HMICFRS is an inspectorate, not a regulator. Regulators have powers of intervention, direction and enforcement. Inspectorates have powers to secure information, but no powers to give orders for change. Recommendations are not orders.

It is for chief constables (whose operational independence is a cornerstone of policing), police and crime commissioners (with powers to set local priorities and budgets) and, in extreme cases, the Home Secretary (who has ultimate democratic responsibility for policing) to take action as a result of HMIC recommendations. The same applies to FRS and FRS authorities.

Police and crime commissioners are required to publish their comments on each HMIC report within 56 days of its publication, include an explanation of the steps to be taken in response to each HMIC recommendation or an explanation of why no action has been or is to be taken in that respect. HMIC do not inspect PCC's.

3. Relationship between HMICFRS and Individual Police Forces and Police & Crime Commissioners

<u>Provide useful, comparable, actionable information</u>

HMICFRS publishes independent and authoritative information on the whole breadth of policing activity. All force inspections are conducted to assess effectiveness,

efficiency and legitimacy. They are judged as outstanding, good, requires improvement or inadequate on these categories based on inspection findings, analysis and Her Majesty's Inspectors' (HMIs) professional judgment across the year. These include reports we've published jointly with the inspectorates of prisons, probation and the Crown Prosecution Service, which focus on issues that cut across the criminal justice system.

Conduct commissioned inspections

As previously stated HMIC generally only carry out policing inspections additional to our business plan commitments if commissioned to do so either by the Home Secretary (for instance our 2014 report on domestic abuse) or by a PCC. In some circumstances we may also inspect if we judge there is an enduring risk to the public.

HMIC has the experience and knowledge to inspect any area of policing. PCCs that wish to commission an HMIC inspection start the process with a discussion with their regional HMI - Zoe. Before accepting a commission from a PCC, we will discuss the requirements and the scope of the inspection with them. Standard terms including duration and estimated cost will be agreed before we proceed. HMICFRS will publish the findings from all inspections commissioned by PCCs. In fact, all HMIC police reports are published following an inspection, unless they include information that might jeopardise a person's safety or breach national security.

Assist (on request) in identifying complaint investigators

HMIC has a statutory duty to ensure we are kept informed of all force complaints and misconduct. If a PCC decides a complaint is of a nature that does not need referring to the Independent Office for Police Conduct but is not suitable for local resolution, they will be able to ask us to identify another force to investigate. This is a continuation of the way we previously worked with police authorities.

Sit on misconduct panels for chief constables and other senior ranks

Our HM Inspectors sit on misconduct and appeals panels for chief constables and other senior officers.

Produce a report if the PCC is proposing to call upon a chief constable to retire or resign

If a PCC is seeking to remove a chief constable, they must first obtain and consider the views of HM Chief Inspector of Constabulary – Sir Tom Winsor on the proposed dismissal. If the PCC then proceeds, they must later consider the opinion of the local police and crime panel. The panel may also ask Sir Tom for their views on the matter.

HMI Zoe Billingham has worked across the Eastern region for many years which has provided stability and strong relationships to form.

4. What are the principal challenges that HMICFRS believe Forces face.

The latest publication - State of Policing: The Annual Assessment of Policing in England and Wales 2018 clearly outlines the principle challenges.

This year's assessment contains four principal points.

- The first is that most forces are performing well, despite many new policing challenges. The police service shows integrity and often considerable bravery as they deal with the many demands which are increasing in scale and complexity.

- The second is that, in some important respects, the wider criminal justice system is dysfunctional and defective. The system lets down children and other vulnerable people. As well as often being victims of crime, they may become trapped in a cycle of offending, conviction, punishment, release and re-offending. The police are getting better at identifying and protecting some vulnerable victims. But, generally, there is not enough emphasis on prevention and early intervention to break the cycle.

- The third is that there is a mismatch between police funding and public expectations. The police funding arrangements are flawed in two respects: they do not take enough account of the unique circumstances of each force; and funding is provided on too short-term a basis. But, there is a widening gap between the needs of the public and the police's capacity and capability to meet them. Our work on force management statements, which does much to reveal the extent of the problem, will help policymakers as they make difficult decisions about where to allocate public funds.

- The fourth is that there needs to be reform of national, regional and local arrangements. In too many respects, the lines on the map created by the current 43 force structure act as barriers to the exchange of intelligence, co-operation, and to true efficiency and effectiveness. There is a pressing need to develop an effective and efficient single system of law enforcement, with clear local, regional and national components. For the police to develop such a system, there are options for voluntary or compulsory reform; the case for the latter is becoming increasingly strong.

5. What are principal areas of concern that HMICFRS have presently with the Nottinghamshire Police Force.

As you are aware last year HMIC moved from separate PEEL effectiveness, efficiency and legitimacy inspections combining them into one report. Forces were divided into three tranches. Nottinghamshire was in tranche 1 and the second force to be inspected using the integrated methodology – 10 questions covering prevention, investigations, vulnerability, serious organised crime, strategic policing requirement, current demand, future demand, treatment of the public, ethics & counter corruption and treatment of the workforce. There were four mandatory

questions for all forces, relating to vulnerability, strategic policing requirement, future demand and ethics & counter-corruption.

The force management statement introduction and extensive insight work in forces allowed the progression of our 'targeted approach'. This resulted in Nottinghamshire Police not being inspected on the areas of investigation, Serious Organised Crime or Treatment of the public. For these questions the previous grades from 2017, all Good were carried over.

Effectiveness - Good	Efficiency - RI	Legitimacy - Good
Q1 – prevention – RI (-)	Q6 – current demand – RI	Q8 – public treatment – G
Q2 – investigation – G	Q7 – future demand – RI	Q9 – ethics/corrupt – G
Q3 – vulnerability – G (+)		Q10 – treat workforce – RI
Q4 – SOC – G		
Q5 – SPR – ungraded		

Q1 – prevention – main issue was the timing of the inspection in relation to the refocus on neighbourhood policing. Encouraging progress since the publication of the report. I have been able to review the work to date during a visit at the end of June and am reassured. The plan is comprehensive.

Q6 & Q7 – current & future demand - more work was needed to have a complete understanding of current demand. The Process Evolution work in 2017 was through and comprehensive but focused exclusively on responsive demand. Lack of a full understanding of its workforce skills beyond the tactical and operational.

Financial planning had improved and was well-aligned with workforce planning. We are reassured that the force has a much-improved approach to financial planning. There is greater rigour in controls and assumptions are broadly realistic. It links well with HR and recruitment plans are well-aligned with financial plans.

Q10 – treatment of the workforce – this was the only area that HMIC made recommendations. The force has been RI for the last three inspections. We found limited opportunities for the staff to provide feedback to the force, with the last staff-survey being conducted in 2016. Our review of grievance procedures showed errors in 9 of the 10 cases with inconsistent application by managers.

The health and wellbeing strategy was launched during fieldwork and local welfare and Federation groups had been reintroduced. We found that the force takes the wellbeing of the workforce seriously, but staff did not feel this was embedded in culture of the organisation being reliant on individual line managers. We found an inconsistent approach to talent-spotting in the force. The PDR process was not clearly understood by officers and staff, adhered to and valued by them as being worthwhile.

6. Next Steps

Our current PEEL methodology is under review, which means the next round of PEEL inspections will not start until 2020.

HMIC are mapping out the detail of what a more 'continuous assessment' approach would look like to significantly develop our methodology and approach.

This includes how best to incorporate the self-assessments from force management statements, developing our targeted approach and our monitoring and continuous assessment tools. We are in the process of releasing a revised version of the recommendations register which also includes areas for improvement (AFIs).

Questions

APPENDIX B.

Joint Audit and Scrutiny Panel 24/07/19

MFSS – Oracle Cloud Applications

Key Service Risks, Mitigation & Actions

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

Background

- Notts joined MFSS in 2015 using Oracle eBS
- 4 Partners - Cheshire, CNC, Northants, Notts
- Approval in 2017 to migrate to Oracle Cloud Apps
- ERP (DMS, HR, Payroll, Finance)
- Integration partner (Capgemini)
- Complex migration - UAT, regression testing, DM reconciliations,
- Data security – IT Health Check (ITHC)undertaken
- Fix forward / no roll back

NOTTINGHAMSHIRE POLICE
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Drivers for Change

- New platform enables easier on boarding
- Taleo Recruitment replaces eRecruitment tools
- Improved efficiency
- New hosting arrangements for DMS
- Suite of improved reports across all partners
- Self Service and inbuilt help guides minimum level of authorisations
- Provide a common data layer, maximising re-use of data across multiple business processes

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Programme Challenges

- Business case (ambition & timescales)
- On boarding partners (Avon & Somerset & Cheshire Fire)
- Programme set up
- Governance & leadership
- Local / partner resources
- Design & testing decisions
- External suppliers / consultants
- Complex system & interfaces
- Multiple partners & communications
- Unclear future vision and roadmap
- BAU readiness

NOTTINGHAMSHIRE POLICE
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Position Since Go-Live April 19

- Cloud Apps went live on 01/04, service & system bedding in
- Performance issues with DMS
- New MFSS payroll team from 01/04
- MFSS BAU backlogs due to workarounds and experience
- Notts project team still in existence
- Legacy / archiving system eBS remains an issue
- Historic payslips & P60's available
- Apex system operational

NOTTINGHAMSHIRE POLICE
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Key Risk 1 – Payroll (Severity: High)

- **Description:** Ongoing payroll errors and inaccuracies
- **Risk:** Incorrect payments, high service request demands & backlog, supplementary pay runs and lack of pay exception controls
- **Impact**: Reputational damage & low confidence by TU's, adverse audit and media reviews, increased service cost, pressure on payroll staff, disenchanted workforce (80% of force costs are pay related)
- **Mitigation:** Short term provision of in-house payroll support to MFSS, identification of key process and IT failures and remedial actions, review medium term options for the MFSS operating model
- **Status**: Whilst payroll schedules are met, processing inaccuracies continue to cause reputational damage, employee frustration and require force intervention / resources to deliver the service

NOTTINGHAMSHIRE POLICE
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Key Risk 2. – Ability to Deliver VFM / Business Benefits (Severity: High)

- **Description:** Inability to demonstrate VFM
- **Risk:** Failure to deliver quality VFM services and business benefits
- **Impact:** Longevity of MFSS model cannot be sustained, diverts funds from core policing, adverse HMIC and media commentary
- **Mitigation:** Short term review of core processes and harmonisation across forces, provide support to MFSS to avoid service failures. Medium term consider options to current MFSS arrangements
- **Status:** Oracle Cloud Apps resulted in considerable overspend 18/19 and a further £1.1m requested in 19/20. Lack of future roadmap means that forward planning is unclear, service improvement sub group established June 19 with focus on task & finish groups. On-boarding of future partners on hold until service stabilised

NOTTINGHAMSHIRE POLICE
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Key Risk 2. – Ability to Deliver VFM / Business Benefits (Severity: High) MFSS History of Costs

	2015/16		2016/17		2017/18		2018/19		2019/20	
	Budget	Actual	Budget	Actual	Budget	Actual	Budget	Actual	Budget	Forecast
MFSS Charges										
Baseline Cloud Fusion running costs	£0	£2,116,063	£1,783,464	£2,382,632	£2,500,000	£2,757,574	£1,436,000	£2,250,311	£1,936,000	£1,936,000
5% reduction re-basing headcount (Notts calculation)	£0	£0	£0	£0	£0	£0	(£71,800)	£0	£42,720	£42,720
Normal Running Costs - BAU	£0	£2,116,063	£1,783,464	£2,382,632	£2,500,000	£2,757,574	£1,364,200	£2,250,311	£1,978,720	£1,978,720
10% Growth in employees (Notts calculation)	£0		£0		£0		£136,420			
5% on-boarding adjustment Avon & Somerset	£0		£0		£0		(£75,031)			
Additional Costs & CR's	£0		£0		£0		£100,000		£100,000	£600,000
Patch Release Charges	£0		£0		£0		£0		£100,000	£100,000
Provision - Project Quantum delays to October 2018	£0	£0	£0	£0	£0	£0	£500,000	£1,615,260		
Supplementary Provision for increase in Quantum costs	£0		£0		£0		£99,027			
Provision - 1.5% staff increase	£0		£0		£0		£30,384			
Inflation	£0	£0	£0	£0	£0	£0	£0	£0	£65,362	£65,362
	£0	£2,116,063	£1,783,464	£2,382,632	£2,500,000	£2,757,574	£2,155,000	£3,865,571	£2,244,082	£2,744,082
Additional non-MFSS Budgets										
Grant Thornton / Towers Holt	£0	£0	£0	£0	£0	£0	£148,660	£237,866	£50,000	£50,000
Additional internal Staffing	£0	£0	£0	£0	£0	£0	£42,500	£150,125	£54,000	£54,000
	£0	£0	£0	£0	£0	£0	£191,160	£387,991	£104,000	£104,000
Total	£0	£2,116,063	£1,783,464	£2,382,632	£2,500,000	£2,757,574	£2,346,160	£4,253,562	£2,348,082	£2,848,082
Under / (Overspend)		(£2,116,063)		(£599,168)		(£257,574)		(£1,907,402)		(£500,000)

Key Risk 2. – Ability to Deliver VFM / Business Benefits (Severity: High)

In summary, the 2019/20 MFSS revenue budget requirement would increase by:

	£m
No on-boarding contribution	0.300
Removal of savings target	0.500
Cost of "tickets" to revenue	0.290
Ad hoc (as above)	0.029
TOTAL	1.119

Source: MFSS MANAGEMENT BOARD – 25 JUNE 2019 **FINANCE & STAFFING UPDATE**

Note: Costs shown are at a partnership level and would be apportioned per Force

NOTTINGHAMSHIRE POLICE PROUD TO SERVE

Key Risk 3. – Duty Management System (DMS) (Severity: High)

- **Description**: Poor / intermittent performance of DMS provided by Crown (provisioned as part of Oracle Cloud Apps) also IMM defective
- **Risk**: Duty planners unable to effectively manage work rotas, incorrect officer / pay details in DMS details and inability to BOBO
- **Impact**: Potential risk to policing duty management due to inadequate information for resource planning, incorrect payroll payments
- **Mitigation**: Manual work arounds (IMM) & gold group from April, (servers/patches) to stabilise DMS performance. Capgemini proposals include solid state discs & migration to later Oracle version (Gen2)
- **Status:** DMS performance intermittent & marginally slower than pre Fusion. Timely duty planning reports for resource planning purposes, some payroll details incorrect (IMM has a backlog of transactions)

NOTTINGHAMSHIRE POLICE PROUD TO SERVE

Key Risk 4 – MFSS Management Capabilities (Severity: High)

- **Description:** Lack of stable management capability within MFSS to deliver business needs of the force
- **Risk:** Future of MFSS is unsustainable without strong leadership and management to deliver service objectives & meet KPI's
- **Impact:** Churn of senior leaders, unclear roles and responsibilities, increased staff stress, service failures
- **Mitigation:** Appoint permanent leadership team structure with the right skills and abilities
- **Status:** Governance review & recommendations to Management Board 25/06 but approvals awaited

NOTTINGHAMSHIRE POLICE PROUD TO SERVE

Key Risk 5 – Identified Information Management Risks (Severity: Medium/High)

- **Description:** Information management risks identified during migration to Oracle Cloud Apps
- **Risk:** That data loss or data breach could occur
- **Impact:** Exposure of confidential information, reputational damage, productivity disruption, loss of staff / officer confidence.
- **Mitigation:** Information risk managed within IT health check remediation work
- **Actions:** Risks already accepted by SIRO with management reporting to monthly SSG meetings and oversight by SIRO

NOTTINGHAMSHIRE POLICE PROUD TO SERVE

Key Risk 6 – Payment of Invoices (Severity: Medium)

- **Description:** Delays in payment of invoices
- **Risk:** Interruption to supply of goods and services to the force
- **Impact:** Ability to deliver policing services could be disrupted if suppliers put a stop to goods / services. Force reputational damage with suppliers
- **Mitigation**: Identification of key process & IT blockers and development of remediation plan
- **Status:** Improved position but issues are 70% MFSS related 30% Notts

NOTTINGHAMSHIRE POLICE PROUD TO SERVE

Key Risk 7 Learning & Development (L&D) Functionality (Severity: Medium)

- **Description:** Lack of IT functionality & reporting capabilities
- **Risk:** Unable to report on competencies to ensure we are meeting the national requirements
- **Impact:** Critical competencies become out of date and officers are unable to perform specific duties e.g. driver training etc
- **Mitigation:** To implement fixes and workarounds to ensure that the training function can operate effectively
- **Actions:** The patch release of 19b has remedied a significant number of issues and MFSS continue to deliver workarounds to resolve these. Key issues remain in respect of management reporting being not fit for purpose

NOTTINGHAMSHIRE POLICE PROUD TO SERVE

MFSS - High Level Summary

SUCCESSES	OPPORTUNITIES
• MFSS report improving performance position in an number of teams	• MFSS recruit agency staff • Service Improvement Sub-Committee established • Consider alternative delivery options
FAILURES	**THREATS**
• DMS (incl IMM Portal) • Numerous defects within the Integration Management and Monitoring Portal (IMM) causing a bottle neck of transactions. • Payroll Issues caused by ICT defects /skills gap / training • Not demonstrating VFM service provision	• Risk of industrial relations issues caused by payroll failures • Reputational damage • Risk of service failure without management team • Complex technology roadmap • JOC take the decision not to move DMS over to Gen2 as recommended by Capgemini to resolve performance and stability issues in DMS

Service Delivery Options

- **Short term** review of core processes and harmonisation across forces, provide support to MFSS to avoid service failures.
- **Medium term** consider options to current MFSS arrangements:
  - Remain (with improvements to currents service provision)
  - Reduce services with MFSS (bring payroll & HR back in house)
  - MFSS provide technical service only (use Oracle Cloud Apps by in house teams)
  - Terminate (Loss of investment and substantial set up costs)

Source: MFSS Review (Notts & Northants)TowersHolt June 2019

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

HMICFRS Custody Inspection October 2018

Update

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

Custody Overview

- HMICFRS Report and the Continuous Improvement and Development Plan
- Performance
- Audit
- Update on the New Bridewell

NOTTINGHAMSHIRE POLICE
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HMICFRS Findings and Action Plan

The Road to Improvement

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HMICFRS Findings and Action Plan

Staff Development

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HMICFRS Findings and Action Plan

Better Communication with Staff & Partners

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HMICFRS Findings and Action Plan

Building Capacity

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HMICFRS Findings and Action Plan

Enhancing the Profile of Custody

NOTTINGHAMSHIRE POLICE PROUD TO SERVE

HMICFRS Findings and Action Plan

The journey so far has seen us turn

24/29 actions green

5/29 actions amber

NOTTINGHAMSHIRE POLICE PROUD TO SERVE

Performance

Custody Performance

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

Performance

- In Notts we have a higher demand in terms of arrivals, charge more, No further action less and Release under investigation fewer detainees than our regional colleagues.
- We are working on our bail rates, which have stabilised recently.

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Performance

Force	First Arrivals (May 19)	% Bailed	%RUI	%Charged and Bailed	% NFA
Leics.	1125	13%	20%	12%	47%
Lincs.	965	12%	27%	15%	38%
Northants.	924	11%	20%	14%	40%
Notts.	1606	9%	16%	16%	38%

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

Performance

- In terms of our detainees profile;

Force	% Juvenile	% Female	% Foreign National
Leics.	10%	14%	19%
Lincs.	5%	15%	22%
Northants.	6%	14%	18%
Notts.	8%	13%	13%

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

Performance

- In terms of looking at vulnerability in custody, we have very few arrests for S136 but have a high level of level 3 and 4 observation – this was applauded by the HMIC as the correct level of risk assessment for our detainees.

Force	S136 Detainees (May 19)	Volume of L 3 and 4 obs. (May 19)
Leics.	0	113
Lincs.	0	28
Northants.	0	49
Notts.	0	250

NOTTINGHAMSHIRE POLICE PROUD TO SERVE

Audit

- Every quarter Custody under goes an audit set against standards applied via Authorised Professional Practice (APP) and PACE.
- The audit is necessary for each Force under APP
- Q4 2018/19's audit has just been released
- Overall our compliance is good and improving. Whilst a 100% is clearly the aim many times the recording of an issue is the problem rather than compliance.

NOTTINGHAMSHIRE POLICE PROUD TO SERVE

Audit

- Our audit focusses vulnerability in custody and those issues highlighted by HMICFRS. Results for Q4 include:
  - 89.29% of Level 3 and 4 observations detainees are seen by a HCP;
  - 90% of records with a strip search are given a clear rationale for the search
  - 86.67% of female detainees have a female officers nominated for point of contact
  - 91.67% formal documented handovers where timely and in line with APP

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

Audit

- 90% of pre release risk assessments were appropriate
- 100% of juveniles had an Appropriate Adult (AA) for fingerprints/samples
- 100% of juveniles had an AA for interview
- 81.82% of juveniles had an AA present for disposal
- 95.5% of visits are on time (time is relevant to risk level)
- 100% of Insp reviews are done in person or if not a suitable rationale is given for vulnerable detainees.

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

Audit

- We are striving to push forward and maintain standards and have decided to focus on a number of key areas

- 1. Female Detainees - Was a hygiene pack offered?
- 2. Was a detainee offered the exercise yard if held for over 24 hours?
- 3. Was a detainee offered a shower if held for over 24 hours?
- 4. Vulnerable Adults - Is there evidence that the AA attended fingerprinting/samples?
- 5. Vulnerable Adults - Is there evidence that the AA was present at the Disposal?
- 6. Visits - Was at least 1 visit on the record Late?
- 7. Rousals
- 8. Cell Check after release
- 9. Inspector Reviews (Overall In Person)

NOTTINGHAMSHIRE POLICE PROUD TO SERVE

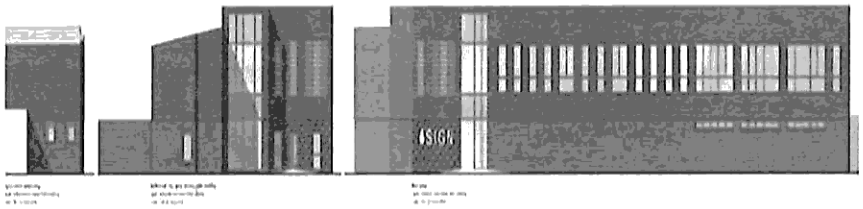
Update on the New Bridewell

- Plans progressing well – on schedule
- The site is cleared and fenced.
- Planning application to be submitted in June, public consultation to follow.
- The new site is on the old gas works on Radford Road and so help to put the land back to use as well as provide employment for the area as we are seeking to use local suppliers and contractors where possible.
- Work should commence in the summer on an agreed level of betterment to clean contaminated water.

NOTTINGHAMSHIRE POLICE PROUD TO SERVE

Update on the New Bridewell

The building will be constructed in red brick to the ground floor and anthracite coloured composite cladding to the first floor.



NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

Conclusion

- The October HMICFRS Inspection was timely in helping Custody to re focus.
- We have set about responding in a proactive sustainable approach so that we do not just 'pass' the next visit from HMICFRS but we are seen as a leader in custody provision, nationally.

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

AUDIT & SCRUTINY PANEL MEETING

Actions arising from previous meetings an progress against action tracker

	ACTION	ALLOCATED TO	TIMESCALES FOR UPDATES	UPDATE
024	Use of force info graphs and raw data to be brought to a future meeting	DCC Barber	February 2020	CI Williams to be invited to provide update on Use of Force
025	Panel to receive an update on the new Force Model at Force HQ	DCC Barber	February 2020	To be considered as part of Change Programme Outcomes item
026	Panel to receive an update on the Custody deep dive scheduled to take place in July 2019 at a future meeting	DCC Barber	November 2019	Inspection end July 2019 For consideration at November 2019 meeting – then complete and close

For Information	
Public	**Public**
Report to:	**Joint Audit and Scrutiny Panel**
Date of Meeting:	**15th November 2019**
Report of:	**Chief Constable**
Report Author:	**Inspector Duncan Collins**
E-mail:	**duncan.collins@nottinghamshire.pnn.police.uk**
Other Contacts:	
Agenda Item:	**5**

*If Non Public, please state under which category number from the guidance in the space provided.

Progress on the New Custody Suite Project

1. Purpose of the Report

1.1 To report on the progress of the construction of a new 50 cell custody suite on the New Basford Industrial Estate, Nottingham.

2. Recommendations

2.1 It is recommended that the Joint Audit and Scrutiny Panel note the contents of this update report.

3. Reasons for Recommendations

3.1 To inform members of the Joint Audit and Scrutiny Panel of force activity and progress.

4. Summary of Key Points (this should include background information and options appraisal if applicable)

4.1 The intention is to build a 50 cell custody suite, associated facilities, car parking, soft landscaping and security measures on the brownfield site off Radford Road which will be accessed via the service road to the rear of Selco Builders' Warehouse. In addition to the custody suite the building will house a team of custody based investigators, case builders and an administration team. These will be based on the first floor of the suite. There will be sufficient parking to ensure that there is no impact on local parking amenities. The custody suite will be located in the middle of New Basford Industrial Estate. To the north of it is a derelict brown site and gas works facility before the bypass. To the west, a railway line before allotments, the River Leen and a factory on the other side of which is the Wilkinson Street Tram Terminus. To the south there are industrial

and commercial units until you reach Wilkinson Street and Radford Road Police Station. To the east is Selco Builder's Warehouse and Storage Yard and two derelict gas holders.

The project is now in the final design stages with minor details to be agreed. A planning application was submitted in early July 2019 and was initially due to be concluded by 2nd October 2019, although no comments or objections were submitted to the planners during the consultation period, some local concerns from a neighbouring ward have led to the application being referred to the planning committee sitting on 23rd October 2019.

The build elements of the project are out to tender. The major elements have been submitted through the Blue Light Portal. All tenders are "open book" and the invitations to tender and the returned tenders are all being scrutinised by our consultants.

Work has commenced on site to improve the groundwater quality in line with the requirements of the Environmental Agency. The contractor will shortly be entering the monitoring phase of the process.

5. Financial Implications and Budget Provision

5.1 The business case for the project was approved in November 2017, copy of decision form (2018.084) attached. The project is within budget and progressing on programme.

6. Human Resources Implications

6.1 The custody suite will require the relocation of the staff and officers based at the current Bridewell Custody Suite. Staff consultation has been extensive with the Police Federation and unions fully involved throughout the process.

7. Equality Implications

7.1 Throughout the project staff and stakeholders have been engaged with to ensure that the suite is inclusive and accessible. Significant work has been done with Nottingham University around Autistic Individuals in custody to inform the building design and to produce training packages (including a video) and toolkits for staff. These will be launched in early 2020. This work has been

recognised at a national level with Dr Chloe Holloway, who was runner up for an ESRC Impact Award for outstanding early career impact and her receiving the “Future Impact” award at the same event. This input will assist not only those experiencing neurodiversity but all custody users. Research has also been carried out with Nottingham Trent University into the wellbeing of custody staff wellbeing with a number of issues being identified which will be addressed in the new build. The Nottinghamshire Disability Advisory Group has also provided valuable assistance that will be fed into the design as have representatives from the LGBT community.

A full equality impact statement will be prepared during the final stages of the project.

8. Risk Management

8.1 A rigorous Risk Register is being maintained between the Contractor, Consultants and Nottinghamshire Police.

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

9.1 The new suite will increase the presence and visibility of uniformed officers in the north west of the city. A purpose built custody suite will be designed with efficiency in mind to ensure that officers are able to return to public facing duties more quickly than previously possible. The suite is better located than the Bridewell as well as being more accessible. Where the optimal site (Ilkeston Road) is within 15 minutes travel time of 52% of immediate/urgent responses in the city, the Old Basford Industrial Estate site is within 48.7% against the Bridewell’s 41.6%. Relocating to this site would improve performance by reducing travel times and the location scores 88.8/100 against the optimum site and better than the 79.9/100 scored by the Bridewell (2016 data). In addition, officers based at Radford, including Neighbourhood Teams, Response, CID and specialist departments will be just a 500m walk away from the suite reducing their travel times, when previously they would have travelled into the city centre, and thus keeping them on their area even when dealing with detainees. The close proximity of a main police station is one of the main contributors in ensuring that more police time is spent on service delivery and

less on travelling between Base Stations and the Custody Suite. This can only improve service delivery and make Nottinghamshire safer.

10. Changes in Legislation or other Legal Considerations

10.1 Not Applicable

11. Details of outcome of consultation

11.1 Once the site had been purchased and a planning application had been prepared, the MP's for Nottingham North and East were sent details of the proposal. Mr Leslie visited Radford Road Police Station and the site as a result. The local councillors for Berridge were also contacted at the same time and regular contact has been maintained with Councillor Quddoos. During the planning consultation stage the City Planners carried out a publicity/consultation process in excess of the minimum legal requirements. They sent out notifications to 42 neighbouring addresses on 8 July, including residential properties on Radford Road. A site notice was displayed on that date and a notice in the Nottingham Post on 10 July. The three current Berridge Ward Councillors were consulted by email on 5 July 2019.

The formal planning consultation period officially ended on 1 August 2019. The planning department received no comments or objections directly during the consultation period, but concerns from a neighbouring ward were put forward, following a resident's meeting held on 7 August 2019.

These concerns, along with any others that are received, will be considered when formulating the planners' recommendation to the planning committee on 23rd October 2019.

A report addressing the public concerns raised in response to various articles in the Nottingham Post has been submitted by Nottinghamshire Police. This will be submitted to the committee.

Meetings are on-going with local residents by representatives from Nottinghamshire Police and the Contractor.

Officers and staff are positive about the project and are being engaged with throughout the project.

12. Appendices

12.1 Appendix 1 - Nottinghamshire Police and Crime Commissioner Notice of Decision Form Reference 2018.084.

13. Background Papers (relevant for Police and Crime Panel Only)

13. Not Applicable

NB See guidance on public access to meetings and information about meetings for guidance on non-public information and confidential information.

APPENDIX

Nottinghamshire Police and Crime Commissioner
Notice of Decision

Nottinghamshire
POLICE & CRIME COMMISSIONER

Author:	Insp Duncan Collins
Telephone number:	07971 059480
E-mail address:	duncan.collins@nottinghamshire.pnn.police.uk
For Decision or Information	For Decision
Date received*:	07.11.2018
Ref*:	2018.084

*to be inserted by Office of PCC

TITLE: **New Detention and Justice Centre/50 Cell Custody Suite**

EXECUTIVE SUMMARY:

The accompanying business case seeks approval for the construction of a new 50 Cell Custody Suite, associated facilities on the site at the Old Gasworks on Radford Road (purchased after approval following the Options Appraisal November 2017) and remedial works as necessary and the allocation of the budget for the project in its entirety, as per the costings outlined in the business case.

INFORMATION IN SUPPORT OF DECISION: (e.g. report or business case)

On the basis of Commercial Sensitivity, the business case is exempt from publication. The business case and recommendations were approved by the Force Executive Board on 5th November 2018.

FINANCIAL INFORMATION (please include if is it capital or revenue or both. What the split is and the totals being requested. Is this a virement/ something already budgeted for or something that requires additional funding. Are there any savings that can be offered up/or achieved)

There is currently a provision of capital funds for the construction of the new custody suite based on a late 2016 business case for a 40 cell suite (£17,109,900.00). The revised budget (£17,825,000.00) takes into account the provision of 50 cells, remedial works to the site and the impact of inflation during the interim years since the case was first made for a new suite.

Signature: C.R. Date: 7th November 2018.
Chief Finance Officer

Nottinghamshire Police and Crime Commissioner
Notice of Decision

Is any of the supporting information classified as non-public or confidential information?**	Yes	✓	~~No~~	X
If yes, please state under which category number from the guidance** Information relating to the financial or business affairs of individuals or organisations (including the Police Force and the Police and Crime Commissioner). This could include contemplated as well as past or current activities.	Category 3			

DECISION:

It is requested that approval the following is given:

- **1:** that, following engagement with the Environmental Agency and their agreement to a method and degree of "betterment" on the contaminated section of the site, that this be undertaken without delay to minimise any overlap of this and the commencement of construction works.
- **2:** that, with this business case approved, the project to build a 50 cell custody suite moves into the design and construction phase without delay.

OFFICER APPROVAL

I have been consulted about the proposal and confirm that the appropriate advice has been taken into account in the preparation of this report. I am satisfied that this is an appropriate request to be submitted to the Police and Crime Commissioner.

Signature: K. D. Date: 8/11/18

Chief Executive

DECLARATION:

I confirm that I do not have any disclosable pecuniary interests in this decision and I take the decision in compliance with the Code of Conduct for the Nottinghamshire Office of the Police and Crime Commissioner. Any interests are indicated below:

The above request has my approval.

Signature: P. T. Date: 9/11/18

Nottinghamshire Police and Crime Commissioner

** See guidance on non-public information

Consideration	
Public/Non Public*	**Public**
Report to:	**Joint Audit and Scrutiny Panel**
Date of Meeting:	**15 November 2019**
Report of:	**Staffing Levels in Nottinghamshire Police Custody Suites**
Report Author:	**Kayt Radford**
E-mail:	**kayt.radford@nottinghamshire.pnn.police.uk**
Other Contacts:	
Agenda Item:	**6**

*If Non Public, please state under which category number from the guidance in the space provided.

Staffing Levels in Nottinghamshire Police Custody Suites

1. Purpose of the Report

1.1 To consider if the staffing levels in Nottinghamshire Police Custody suites meet minimum statutory Health & Safety requirements.

2. Recommendations

2.1 To consider if further dip samples of data will be necessary.

3. Reasons for Recommendations

3.1 To reassure staff and public that custody is operating safely at all times.

4. Summary of Key Points (this should include background information and options appraisal if applicable)

4.1 See Appendix 1.

5. Financial Implications and Budget Provision

5.1 None

6. Human Resources Implications

6.1 None

7. Equality Implications

7.1 See appendix 1.

8. Risk Management

8.1 See appendix 1.

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

9.1 See appendix 1.

10. Changes in Legislation or other Legal Considerations

10.1 None

11. Details of outcome of consultation

11.1 None

12. Appendices

12.1 Appendix 1 – Staffing Levels in Nottinghamshire Police Custody - Aug 2019.

Nottinghamshire
POLICE & CRIME COMMISSIONER

Appendix 1

Report to the Joint Audit and Scrutiny Panel

Staffing Levels in Nottinghamshire Police Custody Suites

August 2019

Introduction

The Home Office has delegated the responsibility of managing Independent Custody Schemes (ICV) to Police and Crime Commissioner's across the country. ICV's are volunteers who are asked to make unannounced visits to police custody suites to provide reassurance to their respective communities, that their people are safely detained whilst in police custody. ICV's are asked to make reports about the following:

1. Conditions of the accommodation in police custody.

2. Detainee rights and entitlements.

3. Detainee welfare and dignity.

In May and June 2019, several reports were made during visits to police custody by ICV's regarding the levels of staffing in police custody.

Outline of Incident

Two separate reports were received from ICV's following visits to Bridewell custody on 20 May and 6 June 2019. A custody sergeant approached ICV's on each occasion to discuss their concerns with staffing levels. The sergeant explained that minimum staffing levels during some night shifts were not safe in the event of a fire or adverse incident. The officer stated that recently there had been a night shift with only one sergeant and 2 members of staff on shift to manage 37 detainees over 3 floors at Bridewell.

Minimum staffing levels are defined below for Nottinghamshire police custody:

Sgts

Suite	Day Shift	Night shift	Night Shift (Fri and Sat)
Bridewell	4	2	4
Mansfield	2	1	2

DO's Tuesday –Friday – DAY SHIFT

Suite	0700-0900	0900-1700	1700-1900
Bridewell	5	7	7
Mansfield	2	3	2

DO's Saturday-Monday – DAY SHIFT

Suite	0700-0900	0900-1700	1700-1900
Bridewell	5	8	7
Mansfield	2	3	2

DO's Monday – Thursday – NIGHT SHIFT

Suite	1900-0300	0300-0500	0500-0700
Bridewell	7	5	5
Mansfield	3	2	2

DO's Friday – Sunday - NIGHT SHIFT

Suite	1900-0300	0300-0500	0500-0700
Bridewell	8	6	5
Mansfield	3	3	2

Recommendations

Nottinghamshire Office of the Police and Crime Commissioner requested a dip sample of data from the Book On Book Off software for both custody suites between 1 January – 30 June 2019 (Q4 2018-19 and Q1 2019-20), 03.00 – 07.00 hrs. This report would enable the NOPCC to review the staffing levels to reassure the public that safe operating standards are being maintained.

Findings

The report from the Book On Book Off software highlighted one period of 2 hours at Mansfield custody suite, when the staffing levels for Detention Officers fell below the minimum. This was on 13 May between 0500 – 0700 hrs.

Nottinghamshire Police have investigated this occurrence in detail and have found that detainee numbers at Mansfield custody were low (less than 10 detainees in custody), and one of the Detention Officers had been granted short notice annual leave by the Inspector. The Duty Inspector decided there was no requirement to keep the evening duty Detention Officer for the remaining hours, or to request support from Bridewell custody suite because the demand was manageable. This decision has been reviewed and supported by the Chief Inspector.

Responsibility

The Assistant Chief Constable is responsible for custody in Nottinghamshire. Nottinghamshire Police are members of the EMCJS Strategic Custody Group along with Leicestershire, Northamptonshire and Lincolnshire.

The Chief Executive of Nottinghamshire Office of the Police and Crime Commissioner and oversees the governance of health and safety matters.

Kayt Radford
Volunteer Manager, NOPCC

For Information	
Public/Non Public*	**Public**
Report to:	**Joint Audit and Scrutiny Panel**
Date of Meeting:	**15th November 2019**
Report of:	**Deputy Chief Constable**
Report Author:	**Amanda Froggatt, Strategic Support Officer**
E-mail:	**amanda.froggatt@nottinghamshire.pnn.police.uk**
Other Contacts:	**Amanda Froggatt, Strategic Support Officer**
Agenda Item:	**7**

Strategic Risk Management Report for Force and Nottinghamshire Police and Crime Commissioner (NOPCC), Quarter 2, 2019/20

1. Purpose of the Report

1.1 To provide the Joint Audit and Scrutiny Panel (JASP) with an up to date picture of strategic risk management across the Force and the Nottinghamshire Office of the Police and Crime Commissioner (NOPCC).

2. Recommendations

2.1 It is recommended that the JASP 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 NOPCC.

2.2 JASP note the three very high strategic risks on the Force's risk register namely, Multi-Force Shared Service (MFSS) transfer of payroll system to the new Fusion solution, compliance with the new General Data Protection Regulations (GDPR), and the building of the new Bridewell custody facility.

2.3 In relation to the Force's Strategic risk register, JASP note the reduction in the level of risk for the Bridewell custody facility.

2.4 JASP also note the high risks relating to the NOPCC, Multi-Force Shared Service (MFSS) transfer of payroll system to the new Fusion solution, the uncertainty in relation to the announcement of the comprehensive spending review and the police funding formula, and the risk relating to having no agreed funding in place for sexual violence support service in the county.

2.5 JASP note accompanying Appendix 3 – which outlines more in-depth explanations of the mitigation in place in relation to the Force's very high level strategic risks.

3. Reasons for Recommendations

3.1 A Strategic Risk Report is provided to the JASP on a quarterly basis in order to keep the Board informed as to the level of strategic risk within the Force and NOPCC and provide assurance as to the effectiveness of risk management arrangements.

4. Summary of Key Points

Risk management policy and process

4.1 The Force and the NOPCC previously agreed a joint policy for the management of risk, in line with the Cabinet Office approved Management of Risk (M_o_R) approach.

5 Financial Implications and Budget Provision

5.1 There are no direct financial implications as a result of this report. Financial implications as a result of each risk will be assessed and managed on an individual basis.

6 Human Resources Implications

6.1 Providing professional advice on risk management is the responsibility of the Corporate Governance and Business Planning team.

6.2 General responsibility for managing risk forms an integral part of the job descriptions of individuals throughout the Force.

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 equality objectives that risk will be assessed and 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.

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

9.1 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 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 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 Each Strategic Risk has been assessed with the relevant risk owner and the DCC and Chief Executive of the NOPCC, respectively.

12. Appendices

12.1 **Appendix 1** – Force Strategic Risk Register
Appendix 2 – NOPCC Strategic Risk Register
Appendix 3 – Mitigation to Force's Strategic Risks

NOTTINGHAMSHIRE POLICE CORPORATE RISK REGISTER - NOVEMBER 2019

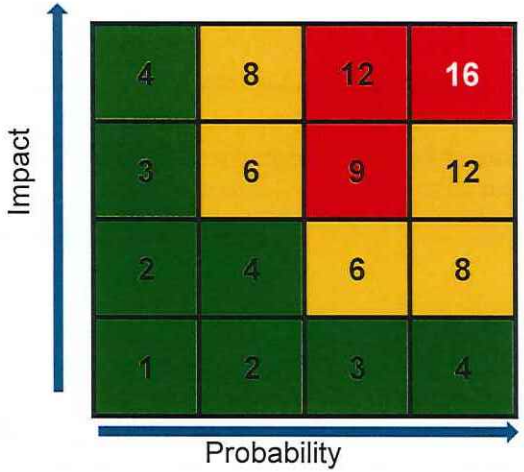
RISK			MITIGATION OF RISK	ASSESSMENT			
				Unmitigated / Current Risk			
Risk / Objective	Description and Owner	Impact	Strategy and Assurances	Probability	Impact	Risk Score	Commentary and Review date
SR1 Matching Resources to Demand Create a service that works for local people	Timeliness in responding to Grade 3 and 4 incidents due to demand pressures Owner:- ACC Crime and Operational Support	Reputation / public confidence - Performance / delivery risks - Poor assessment / inspection outcomes	**Treat** Ongoing oversight via DMMs and Introduction of Sergeant oversight into Control Room Recruitment of additional officers	4 3	4 3	**16** **9**	Daily oversight via DMMs and Introduction of Sergeant oversight into Control Room On-going recruitment of officers **Review date**: Ongoing
SR2 MFSS Business continuity Create a service that works for local people	Business continuity risks associated with MFSS transfer of payroll system in April 2019 Owner: Chief Finance Officer	- Workforce confidence / morale - Service delivery - Reputation / public confidence risk	**Treat** Ongoing oversight via MFSS Management Board and Strategic Oversight Board	4 4	4 4	**16** **16**	Ongoing oversight via MFSS Management Board and Strategic Oversight Board. Preparation of advice for officers and staff **Review date**: Ongoing
SR3 Financial Incapability Create a service that works for local people	Force unable to achieve a balanced budget, required efficiency savings and contribution to reserves Owner: Chief Finance Officer	- Insolvency - Govt. mandation / penalties - Reputation / public confidence - Performance / delivery risks - Poor assessment / inspection outcomes	**Treat** Budget parameters set by PCC Medium Term Financial Planning Monthly budget monitoring meetings Weekly PCC / CC meetings Escalation process Active OPCC and Force CFO discussion	4 3	4 4	**16** **12**	Ongoing oversight via monthly budget monitoring meetings and weekly PCC/CC briefing meetings Active OPCC and Force CFO discussion. The potential impact of Treasury decisions on pension budget continues to be closely monitored. **Review date**: Ongoing
SR4 Information Management Create a service that works for local people	Documentation retention, review and disposal risks associated with non compliance of MOPI Owner:- Deputy Chief Constable	- Reputation / public confidence - Delivery failure - Ineffective planning and problem solving - Government penalties	**Treat** Alignment of regional approach with local practices Assessment and development of RRD processes within Force legacy systems Alignment of RRD requirements with retention schedules and Information Asset register	4 3	4 4	**16** **12**	Alignment of regional approach with local practices Assessment and development of RRD processes within Force legacy systems Alignment of RRD requirements with retention schedules and Information Asset register **Review date**: Ongoing
SR5 Information Management Create a service that works for local people	Data protection breaches as a result of non compliance with GDPR Owner:- Deputy Chief Constable	- Reputation / public confidence - Delivery failure - Ineffective planning and problem solving - Government penalties	**Treat** Undertaking GDPR gap analysis in order to identify associated risk and define an action plan	4 4	4 4	**16** **16**	GDPR gap analysis being undertaken in order to identify associated risks which will help define an action plan Force due to be audited on GDPR compliance in December 2018 **Review date**: Ongoing

NOTTINGHAMSHIRE POLICE CORPORATE RISK REGISTER - NOVEMBER 2019

RISK			MITIGATION OF RISK	ASSESSMENT			
Risk / Objective	Description and Owner	Impact	Strategy and Assurances	Unmitigated / Current Risk			Commentary and Review date
				Probability	Impact	Risk Score	
SR6 Information Management & Data Quality Engage our communities	Poor data quality compliance impacts upon understanding of crime patterns, the identification and referral of vulnerable people and public confidence in crime recording. Owner:- Deputy Chief Constable	- Reputation / public confidence - Delivery failure - Ineffective planning and problem solving - Government penalties	**Treat** Audit Committee / Internal Audit FCIR Review meetings HMICFRS Inspection Annual Assurance Statement	4 3	4 3	**16** **9** ◀ ▶	HMICFRS Crime Integrity Inspection highlighted a number of areas for concern. These are being reviewed and addressed within force in the Crime Data Integrity meeting chaired by ACC Local Policing **Review date**: Ongoing
SR7 Analytical capacity and capability Engage our communities	Lack of force and partner agency analytical capacity impacting on provision of analytical products and assurance reports Owner:- Deputy Chief Constable	- Force and partners inability to direct resources according to need; identify emerging risks; assess impact of interventions; provide accountability - Reputation / public confidence risk	**Treat** Forward planning on the development of key analytical products. Direct access to intranet-based tools and functionality.	4 3	3 3	**12** **9** ◀ ▶	Ongoing liaison with heads of Intelligence and Management Information. Departmental restructure and recruitment underway. Proposals to enhance 'self-service' functionality are being progressed. **Review date**: Ongoing

NOTTINGHAMSHIRE OPCC RISK MATRIX

Nottinghamshire Force Risk Matrix



PROBABILITY

4	**Very High**: >75% chance, almost certain to occur
3	**High**: 51-75% chance, more likely to occur than not
2	**Medium**: 26-50% chance, fairly likely to occur
1	**Low**: <25% chance, unlikely to occur

	Impact score			
Impact category	**Low (1)**	**Medium (2)**	**High (3)**	**Very High (4)**
Performance / Service Delivery	Minor, brief disruption to service delivery. Minor impact on performance indicators.	Significant, sustained disruption to service delivery. Noticeable impact on performance indictors.	Serious, protracted disruption to service delivery. Substantial impact on performance indicators.	Major, long term disruption to service delivery. Major impact on performance indicators.
Finance / Efficiency	Force: <£50,000 Business Area: <£10,000	Force: £51,000 -£250,000 Business Area: £11,000 -£40,000	Force: £251,000 - £1,000,000 Business Area: £41,000 - £150,000	Force: >£1,000,000 Business Area: >£150,000
Confidence / Reputation	Complaints from individuals. Little or no noticeable	Significant public concerns / investigations.	Substantial stakeholder / public concerns / investigations	Major stakeholder / public concerns / investigations.

NO

	Little or no noticeable local media coverage.	Significant reputational damage / adverse local media coverage.	investigations. Substantial reputational damage / adverse national media coverage < 7 days	Major reputational damage / adverse national media coverage >7 days
Community impact	Minor impact on a specific section of the community	Significant impact on a specific section of the community. Minor impact on the wider community.	Substantial, prolonged, impact on a specific section of the community. Significant impact on the wider community.	Major, prolonged impact on the wider community.
Health & Safety	An injury or illness involving no treatment or minor first aid / care with no time off work	An injury or illness requiring hospital / professional medical attention and / or between one day and three days off work, with full recovery	An injury or illness requiring over 24 hrs hospitalisation and / or more than 3 days off work, or a major injury as defined by the RIDDOR Regulations	Death, or a life changing injury or illness.
Environment	Little or no noticeable natural resources used, pollution produced, or biodiversity affected.	Moderate amount of natural resources used, pollution produced, or biodiversity affected.	Substantial amount of natural resources used, pollution produced, or biodiversity affected.	Major amount of natural resources used, pollution produced, or biodiversity affected.
Strategic direction	Little or no noticeable change to one strategic objective.	Noticeable change to one or more strategic objectives.	Substantial changes to one or more strategic objectives.	Complete change to strategic direction.

NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER CORPORATE RISK REGISTER - OCTOBER 2019

RISK			MITIGATION OF RISK	ASSESSMENT			
Risk / Objective	Description and Owner	Impact	Strategy and Assurances	Unmitigated / Current Risk			Commentary and Review date
				Probability	Impact	Risk Score	
SR1 Delivery of the sexual violence support service Helping and Supporting Victims	No agreed funding in place from local authority or CCG partners from March 2019 to fund the sexual violence support services including Survivor Support Service, part of the ISVA Service and specialist counselling. Owner: Head of Commissioning Organisation: OPCC	- Failure to meet the needs of vulnerable victims - a postcode lottery between services in city and county - reputational damage to the OPCC as the funder of victims services	**Treat** HWB workshop Engagement with survivors PCC discussion with CCG Chief Officers Joint task and finish group	4 3	3 2	**12** **6** ◀ ▶	T&F group has been meeting to plan for future services PCC commissioned SVA needs assessment to report in late October new model has been developed with survivors PCC chairing meeting with funders in November 2019 **Review date**: 01/12/2019
SR2 MFSS Business continuity Transforming Services and Delivering Quality Policing	Business continuity risks associated with MFSS transfer to inhouse provision in April 2020 Owner: Chief Finance Officer Organisation: OPCC	- Workforce confidence / morale - Service delivery - Reputation / public confidence risk	**Treat** Ongoing oversight via MFSS Management Board and Strategic Oversight Board. Provision being brought inhouse.	4 3	3 3	**12** **9** ◀ ▶	Ongoing oversight via MFSS Management Board and Strategic Oversight Board. Ongoing data accuracy issues being identified and resolved. **Review date**: Ongoing
SR3 Financial Incapability Transforming Services and Delivering Quality Policing	Force unable to achieve a balanced budget, required efficiency savings and contribution to reserves Owner: Chief Finance Officer Organisation: OPCC	- Insolvency - Govt. mandation / penalties - Reputation / public confidence - Performance / delivery risks - Poor assessment / inspection outcomes	**Treat** Budget parameters set by PCC Medium Term Financial Planning Monthly budget monitoring meetings Weekly PCC / CC meetings Escalation process Active OPCC and Force CFO discussion	4 2	4 3	**16** **6** ◀ ▶	Ongoing oversight via monthly budget monitoring meetings and weekly PCC/CC briefing meetings Active OPCC and Force CFO discussion. Anticipated in year overspend of £400k. 2020/21 fundng gap of £3.5m taking account of planned efficiencies and precept. **Review date**: Ongoing
SR4 Level of risk-assesed reserves Transforming Services and Delivering Quality Policing	Inability to respond to critical unforseen risk due to a lack of prudent risk-assessed reserves Owner: Chief Finance Officer Organisation: OPCC	- Govt. mandation / penalties - Reputation / public confidence - Performance / delivery risks - Poor assessment / inspection outcomes	**Treat** Medium Term Financial Planning Monthly budget monitoring meetings Weekly PCC / CC meetings Escalation process Active OPCC and Force CFO discussion	3 2	4 3	**12** **6** ▲	Nottinghamshire maintins one of the lowest levels of reserves when compared to other Police folice forces / OPCCs nationally. Risk continues to be monitoried via monthly budget meetings and weekly PCC/CC briefing meetings, alongside ongoing active OPCC and Force CFO discussions. Anticipated overspend and slippage in force repayment of risk-assessed reserves. **Review date**: Ongoing
SR5 Delivery of critical multi-agency services Cross-cutting risk	Reductions in partner agency budgets, loss of national VAWG and potential loss of MHCLG and hate crime funding result in withdrawal of support / funding from key partnership projects. Owner: Head of Commissioning Organisation: OPCC	- Failure to meet the needs of vulnerable victims - Reputation / public confidence - Relationship with partners - Missed opportunities to prevent and reduce crime - P&C Plan commisisoning intentions affected	**Treat** Chairs Meeting Strategic Resources and Performance Engagement in CDP and SNB, Health and Wellbeing Boards Regular commissioning review meetings Joint Commissioning events	3 3	3 2	**9** **6** ◀ ▶	Ongoing strategic engagement with key partners at political and officer level, including as part of annual planning an budget setting. Exploring opportunities to review services and investigations into services most at risk (city IDVA) to consider other options for delivery within reduced budget available. **Review date**: Ongoing

NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER CORPORATE RISK REGISTER - OCTOBER 2019

RISK			MITIGATION OF RISK	ASSESSMENT			
Risk / Objective	Description and Owner	Impact	Strategy and Assurances	Unmitigated / Current Risk			Commentary and Review date
				Probability	Impact	Risk Score	
SR6 Financial uncertainty Transforming Services and Delivering Quality Policing	Delays and uncertainty in the government announcement of comprehensive spending review. Delays in the review of the police funding formula Owner: Chief Finance Officer Organisation: OPCC	- Ineffective planning - Instability of key services - Impact on service delivery - Reputational / public confidence impact	**Treat** Engagement with central government, APCC/NPCC Police Finance workstream Police Reform and Transformation Board	3 3	3 3	**9** **9** ▲	One year CSR settlement for 2020/21 and further delays to review of the police funding formula where Nottinghamshire continues to be adversely affected by the dampeneing formula. Ongoing engagement with central government, APCC/NPCC Police Finance workstream and Police Reform and Transformation Board. **Review date**: Ongoing
SR7 Service sustainability / making best use of resources Tackling crime and ASB	Delivery and sustainability of outcomes as a result of significant short term national investment in Serious Violence Reduction. Owner: Director of VRU Organisation: OPCC	- Instability of key services and programmes - Reputational / public confidence impact P&C Plan commisisoning intentions affected	**Transfer** Ongoing project managemnt Proactive engagement with communities	3 2	3 2	**9** **4** ◀▶	Ongoing development and delivery of the VRU. Proactive engagement with key partners. Detailed spending plans developed. Increased assurance of further Home Office investment **Review date**: Ongoing
SR8 Information Management & Data Quality Tackling crime and ASB	Poor data quality compliance impacts upon understanding of crime patterns, the identificaiton and referral fo vulnerable people and public confidence in crime recording. Owner: Head of Performance & Assurance Organisation: OPCC	- Reputation / public confidence - Delivery failure - Ineffective planning and problem solving - Government penalties	**Transfer** Audit Committee / Internal Audit FCIR Review meetings HMICFRS Inspection Annual Assurance Statement	3 2	3 2	**9** **4** ◀▶	Overall indicative NCRS compliance remains strong and in excess of 95%. Further assurance required in respect of crime and incident flagging (e.g. alcohol, cyber, vulnerability). Ongoing regular oversight by OPCC and HMICFRS **Review date**: Ongoing
SR9 Significant gaps in analytical capacity and capability Tackling Crime and ASB	Lack of force and partner agency analytical capacity impacting on provision of analytical products and assurance reports Owner: Head of Performance & Assurance Organisation: OPCC	- Force and partners inability to direct resources according to need; identfiy emerging risks; assess impact of interventions; provide accountability - Reputation / public confidence risk	**Treat** Forward planning on the development of key OPCC analytical products. Direct OPCC access to intranet-based tools and functionality. Development of independent assurance mechanisms such as the Police and Crime Survey	3 2	2 2	**6** **4** ◀▶	Ongoing liaison with heads of Intelligence and Management Information. Proposals to enhance 'self-service' functionality are being progressed. Reduced capacity and frequency of strategic intelligence products, control strategy and MoRiLE assessment. **Review date**: Ongoing
SR10 Rise in insurance costs / liability Transforming Services and Delivering Quality Policing	Insurance tender underway for 1 April 2020. Limited number of insurers willing to quote Owner: Chief Finance Officer Organisation: OPCC	- Direct financial impact - Workforce confidence - Service delivery - Reputation / public confidence risk - Performance / delivery risks	**Treat** Medium Term Financial Planning Monthly budget monitoring meetings Weekly PCC / CC meetings Active OPCC and Force CFO discussion	2 2	3 3	**6** **6** ▲	Risk of potential increased costs to force as a result of limitations to insurance cover are being considered and assessed. Potential cultural and operational implications of monitoring and mitgating risk. **Review date**: Ongoing

Appendix 3 – Mitigation for High Level Strategic Risks

SR2 MFSS Business continuity Create a service that works for local people	Business continuity risks associated with MFSS transfer of payroll system in April 2019 Owner: Chief Finance Officer	- Workforce confidence / morale - Service delivery - Reputation / public confidence risk	**Treat** Ongoing oversight via MFSS Management Board and Strategic Oversight Board	4 4	4 4	**16** **16** ▲	Ongoing oversight via MFSS Management Board and Strategic Oversight Board. Preparation of advice for officers and staff **Review date**: Ongoing

Since the go-live of Oracle Cloud Apps (April 19) payroll errors and inaccuracies have continued. Whilst outstanding service requests remain an issue, a payroll improvement plan to utilise in-house Notts payroll support to MFSS and recruitment of additional payroll contract staff within MFSS has been put in place from 27/06 to mitigate the risk. This plan is anticipated to be in place until 31/10/19 to stabilise the service.

The risk of delayed invoice payments has also been evidenced and this may impact the ability to deliver policing services and cause reputational damage to the force if suppliers put a stop to goods/services. Key processes are being reviewed alongside IT defects and remedial work is being undertaken.

The Crown Duty Management System (DMS) which is provisioned as part of Oracle Cloud Apps has continued to experience intermittent performance issues since go-live. A gold group was established in April 19 to manage the DMS performance issue. Additional servers and solid state disks have been implemented by Capgemini to stabilise per Agreement to migrate to Oracle Generation 2 was therefore approved by Joint Oversight Committee (JOC) 30/07 and is currently subject to contract agreement with Capgemini. This upgrade should remedy the DMS issues and some outstanding IT health check issues which are currently being addressed in the remediation plan managed via the Security Steering Group.

There is a risk that the longevity of the MFSS model cannot be sustained due to the inability to demonstrate value for money. The lack of a strong leadership team, unclear roles and responsibilities, increased staff stress and service failures has demonstrated that the future sustainability of MFSS is questionable. A review of core processes and harmonisation across forces is to be undertaken as short term mitigation and partners continue to provide support to MFSS to avoid service failures. Medium term options around the current MFSS management arrangements are being considered. In addition an early evaluation of alternative service delivery models has been undertaken by TowersHolt in July 19 and the findings are currently being considered.

The key risks and mitigating actions have been presented to the Joint Audit and Scrutiny Panel on 24/07/19 and to the Senior Leadership Forum on 16/07/19. DCC Barber is updated weekly on the MFSS position.

SR5 Information Management Create a service that works for local people	Data protection breaches as a result of non compliance with GDPR Owner:- Deputy Chief Constable	- Reputation / public confidence - Delivery failure - Ineffective planning and problem solving - Government penalties	**Treat** Undertaking GDPR gap analysis in order to identify associated risk and define an action plan	4 4	4 4	**16** 16 ◀ ▶	GDPR gap analysis being undertaken in order to identify associated risks which will help define an action plan Force due to be audited on GDPR compliance in December 2018 **Review date**: Ongoing

The conclusion of the recruitment process which will result in the Information Management Unit being fully resourced is now anticipated by the end of October 2019, followed by an induction and training period. It is anticipated the section will be fully functional with basic trained staff by the end of the year.

Mazars (our internal auditor) are back in force on 14th October to re-inspect this area of work. The risk will be reviewed following the outcome of this audit.

SR8 Custody Provision Create a service that works for local people	Building of new Bridewell to provide a more appropriate and effective custody function Owner:- ACC Local Policing	Reputation / public confidence - Performance / delivery risks - Poor assessment / inspection outcomes	**Treat** New custody provision being managed through a project chaired by ACC Local Policing. Regular inputs are also made into Force Executive Board	4 3	4 3	**16** 9 ▼	New custody provision being managed through a project chaired by ACC Local Policing. Regular inputs are also made into Force Executive Board **Review date**: Ongoing

Planning and Community Engagement

Planning permission was applied for on the 1st of July. Currently there are no formal objections but an individual has started a petition opposing the location of the suite. Following on from the email to the Chief Constable, the project manager has met with Nottingham City Housing to engage with them around apprenticeships and other joint working that they can do with young people in Nottingham to get them into construction. They have also been briefed about other construction work that is taking place which could lead to additional co-working between Nottinghamshire Police, the companies working on these projects and Nottingham City Housing.

Zoe Anastasi (Willmott Dixon's Regional Community Manger) and the project manager have met with Councillor Shuguftah Quddoos (Berridge Ward) to discuss community engagement. Going forward, we are going to produce a pamphlet to address some of the scaremongering that is taking place and make people aware of the facts (the project manager will work with our analyst to establish information to address the issues being raised).

Councillor Quddoos will distribute these from her surgery and when visiting residents. We are also going to arrange a local forum to meet regularly and attend some of the regular meetings that the councillors hold.

The project manager has met with Mr Chris Leslie, MP for Nottingham East, who's constituents will be most affected by the development (although the site is on Nottingham North but the constituents in that area are separated from the site by the Leen and the railway). Mr Leslie was very positive and visited the site. He didn't raise any concerns and stated that he had not been contacted by any constituents who wanted to raise concerns. The project manager has also written to Mr Alex Norris, MP for Nottingham North but have not had a reply.

Site Preparation and Betterment

The site has been cleared and fenced. Contractors are on site and have completed the works to better the water table to the point where they need to start pumping chemicals into the ground. This requires a licence that should have been issued within 8 weeks but was not. This is being vigorously pursued but will not affect the construction programme as a sufficient buffer has been included between completion of this work and commencement on site (the period between planning being granted and the time it will take to secure all costs and agree a contract sum is longer than that required for these works).

Design Work

The ground floor layout has been finalised and only the office areas need to be agreed – staff representatives will assist with this final meeting. Detailed drawings have been produced and these have generated 3D virtual reality models. Representatives from custody (support and staff) and PHT have seen the models and have reacted positively to the work that has been done. staff engagement will continue throughout the project and a working group is to be established to look at the actual operation of the suite and day to day practical matters such as how officers will enter the suite to ensure that juveniles and vulnerable persons are routed correctly.

Programme

The project remains on schedule.

NOTE THE REDUCTION IN THE LEVEL OF RISK IN RELATION TO THE NEW CUSTODY CONSTRUCTION. THIS IS NO LONGER CONSIDERED A HIGH RISK FOR THE FORCE.

For Information	
Public/Non Public	**Public**
Report to:	**Joint Audit and Scrutiny Panel (JASP)**
Date of Meeting:	**November 2019**
Report of:	**Amanda Froggatt, Strategic Support Officer**
Report Author:	**Amanda Froggatt, Strategic Support Officer**
E-mail:	**amanda.froggatt@nottinghamshire.pnn.police.uk**
Other Contacts:	**n/a**
Agenda Item:	**8**

Audit and Inspection Update

1. Purpose of the Report

1.1 To provide the Joint Audit and Scrutiny Panel (JASP) with an update on progress against recommendations arising from audits and inspections which have taken place during Quarter 2, 2019/20.

1.2 To inform the Board of the schedule of planned audits and inspections.

1.3 To provide further information on the area identified for further scrutiny as requested at the last JASP (Appendix 2 – Crime Data Integrity, presentation).

2. Recommendations

2.1 That the Panel notes the status of audits and inspections carried out over the last quarter.

2.2 That the Panel review Appendix 1 and if required request further detail which will be reported at the next meeting.

3. Reasons for Recommendations

3.1 To enable the Panel to fulfil its scrutiny obligations with regard to Nottinghamshire Police and its response to audits and inspections.

3.2 To provide the Panel with greater scrutiny opportunities and to reach more informed decisions.

3.3 To provide the Panel with the opportunity to shape the focus and data inputs for future HMICFRS inspections.

4. Summary of Key Points

Audit and Inspection Action Updates

4.1 The actions referred to in this report are the result of recommendations made by Nottinghamshire Police's internal auditors and external inspectorates, including HMICFRS.

4.2 There are currently 0 actions which have exceeded their target date. There are 70 actions showing as 'at risk' of being off target i.e. they will exceed their target date in the next month.

4.3 There were 29 actions closed during this quarter.

4.4 Recent and forthcoming Inspections.

Recent Inspection Activity

Date of Inspection	Inspection Area	Date Report Received	Final Grading	Status
None to report				

Forthcoming HMICFRS Inspections

Date of Inspection	Inspection Area	Status
December 2019	Harassment and Stalking, Hate Crime, Mental Health	Ad-hoc two day inspection looking at recommendations
December 2019	Wellbeing Cause of Concern	One day visit to look at progress against Cause of Concern

Publications

Date of Publication	Inspection Area	Status
No recent publications		

4.5 Recent and Forthcoming Audits

Recent Audit Activity

Date of Audit	Auditable Area	Date Report Received	Final Grading	Status

July 2018	Collaboration – Strategic Financial Planning	September 2018	Satisfactory Assurance	Draft report issued. No recommendations for Nottinghamshire
August 2018	Collaboration – Risk Management	-	Satisfactory Assurance	Awaiting copy of report
September 2018	Collaboration – Business Planning	-	Satisfactory Assurance	Awaiting copy of report
December 2018	Late Time Levy	December 2018	Limited Assurance	Final report received, actions being monitored on 4Action
April 2019	Seized Property	April 2019	Limited Assurance	Final report received, actions being monitored on 4Action
April 2019	Partnership Working	April 2019	Satisfactory Assurance	Final report received, actions being monitored on 4Action
May 2019	Business Continuity and Emergency Planning	June 2019	Satisfactory Assurance	Final report received, actions being monitored on 4Action
June 2019	Performance Management	August 2019	Satisfactory Assurance	Final report received, actions being monitored on 4Action
September 2019	MFSS Contract Management	September 2019	Limited Assurance	Draft report received, out for Management Comment
September 2019	Custody	-	-	-
September 2019	Crime Data Integrity	-	-	-

Forthcoming Audits

Date of Audit	Auditable Area	Status
Date to be confirmed	GDPR	-
Date to be confirmed	IT Security	-
December 2019	Core Financials	-
January 2020	Health and Safety	-
January 2020	Programme Management	-

Overview of all on-going actions from Audits & Inspections - Appendix 1

Area Identified for further scrutiny – Crime Data Integrity – Presentation to follow

5. Financial Implications and Budget Provision

5.1 If financial implications arise from recommendations raised from audits, inspections and reviews, these implications are considered accordingly. Where an action cannot be delivered within budget provision, approval will be sought through the appropriate means.

6. Human Resources Implications

6.1 There are no direct HR implications as a result of this report. HR implications resulting from specific actions will be managed on a case by case basis.

7. Equality Implications

7.1 There are no direct HR implications as a result of this report. HR implications resulting from specific actions will be managed on a case by case basis.

8. Risk Management

8.1 Some current actions involve the completion of formal reviews of specific business areas. It is possible that some or all of these reviews will identify and evaluate significant risks, which will then be incorporated into the Force's risk management process.

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

9.1 Any policy implications will be subject to current policy development process.

10. Changes in Legislation or other Legal Considerations

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

11. Details of outcome of consultation

11.1 Following receipt of a final audit or inspection report a member of the Governance and Planning team consults with the appropriate Lead Officer and other stakeholders to plan appropriate actions in response to each relevant recommendation, or to agree a suitable closing comment where no action is deemed necessary.

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

12. Appendices

12.1 Appendix 1 - Overview of all ongoing actions from Audits and Inspections

12.2 Appendix 2 – Crime Data Integrity (Presentation)

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: October 2019

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Audit-Mazars	Commissioning - Community Safety	May 2016	5	1	4	0	1	0
Audit-Mazars	Implementation of DMS June 2016	June 2016	6	2	4	2	0	0
Audit-Mazars	Social Value Impact	July 2016	4	1	3	0	1	0
Audit-Mazars	Core Financials Systems Assurance Dec 2016	December 2016	9	1	8	1	0	0
Audit-Mazars	HR Recruitment and Selection	January 2017	4	2	2	0	2	0
Audit-Mazars	Risk Management	May 2017	7	1	6	1	0	0
Audit-Mazars	Seized & Found Property	May 2017	11	8	3	0	8	0
Audit-Mazars	Fleet Management	August 2017	6	3	3	2	1	0
Audit-Mazars	Workforce Planning	September 2017	12	1	11	0	1	0
Audit-Mazars	Procurement Follow up Sept 2017	September 2017	3	1	2	1	0	0
Audit-Mazars	Safety Camera Partnership	September 2017	4	3	1	0	3	0
Audit-Mazars	Counter Fraud Review	January 2018	25	5	20	0	5	0
Audit-Mazars	Implementation of Duty Management System– Follow Up	July 2018	5	1	4	0	1	0
Audit-Mazars	Corporate Governance	October 2018	4	2	2	3	0	0
Audit-Mazars	Firearms Licensing	October 2018	4	4	0	0	4	0

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: October 2019

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Audit-Mazars	Commissioning	November 2018	3	1	0	0	1	0
Inspection-HMIC	Welfare of Vulnerable People in Custody	March 2015	8	1	7	0	1	0
IPCC	Use of Force Report	September 2016	15	2	13	0	2	0
Inspection-HMIC	Efficiency November 2016 'Hot De Brief' actions	November 2016	31	3	28	3	0	0
Inspection-HMIC	Legitimacy 2016	December 2016	10	1	9	1	0	0
Inspection-HMIC	Efficiency, Legitimacy and Leadership Hot Debrief 2017	May 2017	9	1	8	0	1	0
Inspection-HMIC	PEEL Vulnerability Re Visit 2017	June 2017	9	8	1	0	8	0
Inspection-HMIC	Making it Fair: Disclosure of unused material in volume Crown Court Cases	July 2017	6	1	5	0	1	0
Inspection-HMIC	PEEL Effectiveness 2017	September 2017	23	6	17	0	6	0
Inspection-HMIC	Stolen freedom: the policing response to modern slavery and human trafficking	October 2017	7	2	5	0	2	0
Inspection-HMIC	PEEL Legitimacy including Leadership 2017	October 2017	4	2	2	0	3	0
Inspection-HMIC	PEEL Efficiency 2017	October 2017	5	2	3	0	2	0

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: October 2019

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Inspection-HMIC	Additional PEEL Efficiency, Legitimacy, Leadership Actions 2017	December 2017	7	4	3	0	4	0
Inspection-HMIC	Hate Crime Thematic	March 2018	15	4	11	4	0	0
Inspection-HMIC	PEEL Effectiveness National Report	March 2018	3	1	0	1	0	0
Inspection-HMIC	Still no place for hate	May 2018	6	6	0	6	0	0
Inspection-HMIC	Understanding the difference-The initial response to Hate Crime	July 2018	27	11	16	11	0	0
Inspection-HMIC	Crime Data Integrity	August 2018	18	12	6	0	12	0
Inspection-HMIC	Unannounced Custody Inspection	October 2018	29	29	0	29	0	0
	Biometrics Commissioner's Visit	October 2018	5	5	0	5	0	0
Inspection-HMIC	Policing and Mental Health – Picking up the Pieces	November 2018	5	5	0	5	0	0
Inspection-HMIC	The Police Response to Domestic Abuse (Update)	February 2019	7	7	0	7	0	0
Inspection-HMIC	Stalking and Harassment (Update to National Recommendations)	April 2019	2	2	0	2	0	0
Inspection-HMIC	Time to Choose – An Inspection of the Police Response to Fraud	April 2019	6	6	0	6	0	0
Inspection-HMIC	The Poor Relation – The Police and CPS Response to Crimes against Older People	July 2019	4	4	0	4	0	0

Joint Audit and Scrutiny Panel – 15th Nov 2019

Crime Data Integrity

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

National Crime Recording Standard - Aims

- Introduced in 2002 - to promote greater consistency between ALL 43 forces in England & Wales in the recording & disposal of crime
- To take a victim orientated approach to crime recording
- National Standard which must be complied with

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

Why is it Important?

- Accurate crime recording underpins everything we do
- To identify exactly what offences are being committed; the intensity and severity; where, when and how being committed; and potentially, why and by whom.
- The effective analysis and targeting of valuable resources / partners to prevent more people becoming victims of crime and bring more offenders to justice.
- Recording a crime - important step in protecting victims ensuring receive the tailored service they are entitled to
- Complete trust & confidence in the police - engagement

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

Basic Principles

- Incident will be recorded as a crime without delay if:
- On the balance of probabilities the circumstances amount to a crime as defined in law AND
- The Victim (or person reasonably assumed to be acting on behalf of victim inc. parent, carer, professional) confirms a crime has occurred UNLESS
- At the time of reporting there is 'credible evidence to the contrary' immediately available

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

‘Credible Evidence to the Contrary’

- Credible Evidence is exactly that – Evidence which is transparently reliable and without question. In order to justify not recording a crime the Police must be able to prove unequivocally and without any doubt that a notifiable offence has not occurred. Unless this can be evidenced at the time of reporting NCRS requires a crime to be recorded.

Force Governance

- DCC Barber – Chief officer lead for NCRS
- Force Crime Registrar – nationally accredited reporting directly to the DCC
- Designated Decision Makers (DDMs)
- Force Information Management Board (strategic) – DCC Barber
- Crime and Data Quality Board (tactical) – ACC Cooper
- Data Quality Champions WG – Det Ch Supt Milano

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

Crime Management, Assurance, Improvement

- New First Contact Arrangements – Nov 2018
- Moved crime recording closer to the point of call
- 55-60% of crime recorded by FC Teams
- Improved service - timeliness, quality, consistency (and compliance)
- Compliance Team
- Telephone Investigation Bureau
- New C & C system – SAFE by Saab – Jan 2020

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

Culture of ‘Right First Time’

- Quality ‘Assurance’ rather than Quality ‘Control’
- First Contact Arrangements – includes ‘real time’ feedback
- Effective, intrusive Supervision – QA
- Continual Professional Development supported by IT, Training, Comms, Guidance
- Data Quality Champions Working Group
- Performance oversight / feedback

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

Current Compliance – year to date

- Overall – 96.3%
- Burglary 100%
- Robbery 98%
- Vehicle 100%
- Violence 95%
- Sexual Offences and Rape 99%
- Other Crime inc. Knife 98%
- Stalking / Harassment 93%

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

Future External Scrutiny

- HMICfrs Crime Data Integrity Inspections Phase 2 almost complete - but CDI scrutiny will continue
- 2 forces to be subject to Tier 3 Inspections before end of March 2020 (originally graded as RI, Good or Outstanding)
- Phase 3 commencing April 2020
- CDI will be incorporated into overall PEEL Inspections
- Mazars – OoPCC Internal Audit

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

QUESTIONS?

NOTTINGHAMSHIRE POLICE
PROUD TO SERVE

For Information / Consideration	
Public/Non Public*	**Public**
Report to:	**Joint Audit and Scrutiny Panel**
Date of Meeting:	**November 2019**
Report of:	**Chief Finance Officer**
Report Author:	**Charlotte Radford**
Other Contacts:	**Mark Lunn**
Agenda Item:	**9**

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 for 2019-20 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. Recommendations will be actioned to address the risks identified within the individual reports and recommendations implementation will be monitored and reported within the audit and inspection report to this panel.

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 2019-20

Office of the Police & Crime Commissioner for Nottinghamshire and Nottinghamshire Police

Internal Audit Progress Report 2019/20

November 2019

Presented to the Joint Audit & Scrutiny Panel meeting of: 15th November 2019

Contents

01 Introduction

02 Summary and conclusions from Internal Audit work to date

03 Performance

Appendices

A1 Summary of Reports

A2 Internal Audit Plan 2019/20

A3 Definition of Assurances and Priorities

A4 Contact Details

A5 Statement of Responsibility

01 Introduction

1.1 The purpose of this report is to update the Joint Audit & Scrutiny Panel (JASP) as to the progress in respect of the Operational Plan for the year ended 31st March 2020, which was considered and approved by the JASP at its meeting on 22nd February 2019.

1.2 The Police and Crime Commissioner and Chief Constable are responsible for ensuring that the organisations have proper internal control and management systems in place. In order to do this, they must obtain assurance on the effectiveness of those systems throughout the year, and are required to make a statement on the effectiveness of internal control within their annual report and financial statements.

1.3 Internal audit provides the Police and Crime Commissioner and Chief Constable with an independent and objective opinion on governance, risk management and internal control and their effectiveness in achieving the organisation's agreed objectives. Internal audit also has an independent and objective advisory role to help line managers improve governance, risk management and internal control. The work of internal audit, culminating in our annual opinion, forms a part of the OPCC and Force's overall assurance framework and assists in preparing an informed statement on internal control.

1.4 Responsibility for a sound system of internal control rests with the Police and Crime Commissioner and Chief Constable and work performed by internal audit should not be relied upon to identify all weaknesses which exist or all improvements which may be made. Effective implementation of our recommendations makes an important contribution to the maintenance of reliable systems of internal control and governance.

1.5 Internal audit should not be relied upon to identify fraud or irregularity, although our procedures are designed so that any material irregularity has a reasonable probability of discovery. Even sound systems of internal control will not necessarily be an effective safeguard against collusive fraud.

1.6 Our work is delivered is accordance with the Public Sector Internal Audit Standards (PSIAS).

02 Summary of internal audit work to date

2.1 Since the last meeting of the JASP we have issued the two final report in respect of the 2019/20 plan, this being in respect of Performance Management and Business Continuity & Emergency Planning. Additionally we have issued three draft reports, this being in respect of MFSS Contract Management, Custody Arrangements and Data Quality. Further details are provided in Appendix 1.

Nottinghamshire Audits 2019/0	Status	Assurance Opinion	Priority 1 (Fundamental)	Priority 2 (Significant)	Priority 3 (Housekeeping)	Total
Performance Management	Final	Satisfactory		4	1	5
Business Continuity & Emergency Planning	Final	Force: Satisfactory OPCC: Limited	1	2		3
MFSS Contract Management	Draft					
Custody Arrangements	Draft					
Data Quality	Draft					
		Total	**1**	**6**	**1**	**8**

2.2 Furthermore, we have now issued the final 2018/19 collaboration report, this being an additional piece of work to that in the original plan relating to Projected Underspends. Further details are provided in Appendix A1

2.3 The fieldwork for the IT Security and GDPR audits has been carried out. Dates to carry out the Core Financial Systems Audit have been agreed for quarter three and provisional timings have been set for the remaining audits in Quarter four.

2.4 As reported in the previous progress report, with regards the collaboration audits that form part of the internal audit plans for 2019/20, it was agreed at the Joint Chief Finance Officers meeting that a similar approach to 2018/19 will be taken whereby a number of 'themed' audits will be carried out across a sample of units. The proposed 'themed' audits are Performance Management, Business Continuity and Health & Safety and will be carried out between October 2019 and January 2020.

03 Performance

3.1 The following table details the Internal Audit Service performance for the year to date measured against the key performance indicators that were set out within Audit Charter.

No	Indicator	Criteria	Performance
1	Annual report provided to the JASP	As agreed with the Client Officer	N/A
2	Annual Operational and Strategic Plans to the JASP	As agreed with the Client Officer	Achieved
3	Progress report to the JASP	7 working days prior to meeting.	Achieved
4	Issue of draft report	Within 10 working days of completion of final exit meeting.	100% (5/5)
5	Issue of final report	Within 5 working days of agreement of responses.	100% (2/2)
6	Follow-up of priority one recommendations	90% within four months. 100% within six months.	Achieved
7	Follow-up of other recommendations	100% within 12 months of date of final report.	N/A
8	Audit Brief to auditee	At least 10 working days prior to commencement of fieldwork.	100% (7/7)
9	Customer satisfaction (measured by survey)	85% average satisfactory or above	100% (1/1)

Appendix A1 – Summary of Reports

Below we provide brief outlines of the work carried out, a summary of our key findings raised and the assurance opinions given in respect of the final reports issued since the last progress report in respect of the 2018/19 Internal Audit Plan:

Collaboration: Projected Underspends

Assurance Opinion	Limited

Recommendation Priorities	
Priority 1 (Fundamental)	1
Priority 2 (Significant)	1
Priority 3 (Housekeeping)	1

An audit was undertaken earlier in the year in respect of Strategic Financial Planning. That audit covered the development of financial plans, delivery of efficiency savings, budget management and monitoring, and budget shortfalls. This audit specifically focused on Projected Underspends across a sample of collaboration units agreed by the CFO's and should be read in conjunction with the earlier report. The selected units were East Midlands Operational Support Services (EMOpSS), East Midlands Criminal Justice Service (EMCJS) and East Midlands Special Operations Unit Major Crime Unit (EMSOU MC).

Our audit considered the risks relating to the following areas under review:

- Roles and responsibilities for budget monitoring and financial reporting within the unit are clearly stated.
- Clear timetables are in place for the production of financial performance reports.
- There are effective and robust budget management and monitoring procedures, including the forecasting of budget shortfalls.
- Variances to budget projections are recognised as part of the reporting process and adequate information is provided to explain underspends / overspends during the year.
- Amendments to collaboration budgets have appropriate and robust governance arrangements in place.
- The completion of budget monitoring reports are undertaken consistently with accurate forecasting to enable future positions to be considered.
- Reports on financial performance are submitted in a timely manner to the PCC's Board, including the relevant regional forces.

We raised one priority 1 recommendation of a fundamental nature that require addressing. This is set out below:

Recommendation 1	A clearly defined virement process should be agreed for all in year amendments of collaboration budgets.
Finding	The base budgets for the collaboration units have a defined process in place, with approval given at the PCC Board on an annual basis. During 2018/19 the EMCJS Management Board agreed to carry out a budget virement to reallocate some central staffing costs back to the Forces, therefore reducing the

	overall budget by £127k and therefore this reduced the projected underspend during the 2018/19 financial year. As collaboration budgets are made up of contributions from the Forces that are part of the collaboration, a virement approval process should include authorisation from each Force so that there is a clear rationale behind the in-year adjustment and the impacts of the virement are clearly understood.
Response	Agreed
Timescale	Jon Peatling / 31 December 2019

We raised one significant (priority 2) recommendation where felt that the control environment could be improved. This related to the following:

- The timing of PCC Board meetings should be considered in regard to period end financial reporting.

  The actual figures reported to the PCC Board should be clear on which period they relate to.

  It should be ensured that a finance report is presented for the PCC Board each quarter.

We also raised one priority 3 recommendation of a more housekeeping nature relating to the provision of quarterly finance reports to the PCC Board.

Management have confirmed that agreed actions will be completed by the end of December 2019.

Performance Management

Assurance Opinion	Satisfactory

Recommendation Priorities	
Priority 1 (Fundamental)	-
Priority 2 (Significant)	4
Priority 3 (Housekeeping)	1

Our audit considered the risks relating to the following control objectives:

Performance Management Framework

- There is a robust and formal performance management framework in place.

Targets and Measurement

- Performance targets are relevant, realistic, measurable and are properly communicated to staff.
- The Force's performance management arrangements are effectively aligned with the PCC Plan, HMICFRS and other relevant requirements.

Performance Data

- Performance data is accurate, consistent, timely and reliable, and any errors are identified and corrected in a timely manner.
- Staff have access to adequate policies and procedures relating to input of performance data.

Management Reporting

- There are effective reporting routines in place which provide up to date and accurate information to the relevant forum on the delivery of the service.
- Benchmarking information is available that allows comparative data and learning opportunities.

Performance Oversight

- There is a clear structure of performance oversight across the Force covering both strategic and operational performance.
- There are effective escalation procedures in place to resolve areas of under-performance.

We raised four priority 2 recommendations where we believe there is scope for improvement within the control environment. These are set out below:

- The specific training needs of the Performance & Insight Team should be reviewed / established and a formal training plan produced, monitored and kept up to date.
- The roles and responsibilities of the Performance & Insight Team should be reviewed and communicated to stakeholders. The review should take into account the changing resources of the Team and its alignment with stakeholder expectations. As part of the review, agreement should be reached with stakeholders with regards the following Content of reports., Timeliness of reporting, Attendance at pre-meeting and the relevant forum and The role of the analyst versus that of the researcher.
- A formal plan should be put in place, and monitored, to re-write the remaining Business Objects scripts. As part of the training provision referred to above, the Team should continue to look to means by which greater automation can be achieved in the extract and provision of performance data.
- The content of the Performance & Insight Report, particularly in terms of its reporting on the themes / outcomes in the Police & Crime Plan, should be reviewed and updated where necessary.

We also raised one priority3 recommendation of a more housekeeping nature relating to the attendance at the Data Quality Board.

Management confirmed that all actions would be addressed by December 2019.

Business Continuity & Emergency Planning

Assurance Opinion	Force	Satisfactory
	OPCC	Limited

Recommendation Priorities	
Priority 1 (Fundamental)	1
Priority 2 (Significant)	2
Priority 3 (Housekeeping)	-

Our audit considered the risks relating to the following control objectives:

Roles and Responsibilities

- Roles and responsibilities in respect of Business Continuity and Emergency Planning across the OPCC and Force are clearly defined, with officers and staff having a full understanding and accountability for associated processes.

Policies and Procedures

- Effective policies and procedures are maintained and regularly reviewed to ensure a consistent and effective approach to Business Continuity and Emergency Planning is applied across the OPCC and Force.
- There is clear identification of critical functions across the Force and Departments.

Plans

- There are effective Business Continuity Plans and Emergency Plans to ensure that incidents are effectively escalated and emergency action is mobilised where required.

Business Continuity Test Plans

- The Business Continuity Plans and Emergency Plans are subject to regular testing to ensure they remain fit for purpose.

Continuous Improvement and Lessons Learnt

- The delivery of testing plans, associated outcomes and unplanned events is monitored, with systems embedded to drive continuous improvement and lessons learnt. Where issues are identified, these are appropriately escalated.

Monitoring and Reporting

- There is regular monitoring and reporting of business continuity and emergency planning processes and there is opportunity for effective challenge and scrutiny.

We raised one priority 1 recommendation of a fundamental nature that require addressing. This is set out below:

Recommendation 1	The OPCC should formalise its Business Continuity arrangements, with the implementation of their own Business Continuity Plan.
Finding	The OPCC does not currently have their own BC Policy or individual BC Plan that lists critical functions and the ability to maintain these in an incident or emergency situation. The Force BC Manager has recently met with Chief Executive of the OPCC and have some ongoing actions to review their arrangements.
Response	Agreed. Force will work with OPCC to put together a Business Continuity Plan. Action:- Force to work with OPCC to put together a Business Continuity Plan.
Timescale	Risk and Business Continuity Officer/OPCC - 31 December 2019

We raised two priority 2 recommendations where we believe there is scope for improvement within the control environment. These are set out below:

- The Force should review the training and guidance that is available for key roles within the Business Continuity Management System, roll out the planned cascade of training to all key staff and consider specific training for the departmental SPOC role.
- The Force should report on Emergency Planning processes and issues to the Joint Audit and Scrutiny Panel (JASP) and the Organisational Risk, Learning, Standards & Integrity Board. This should include the plan matrix produced by the LRF Secretariat to provide monitoring and oversight over planned testing.

Appendix A2 Internal Audit Plan 2019/20

Auditable Area	Planned Fieldwork Date	Draft Report Date	Final Report Date	Target JASP	Comments
Core Assurance					
Core Financial Systems	Dec 2019			Feb 2020	Fieldwork dates agreed.
Strategic & Operational Risk					
Data Quality	Sept 2019	October 2019		Nov 2019	Draft Report Issued
Programme Management	Feb 2019			May 2020	Fieldwork dates agreed.
MFSS Contract Management	Sept 2019	Sept 2019		Nov 2019	Draft Report Issued.
Business Continuity & Emergency Planning	May 2019	June 2019	August 2019	Nov 2019	Final Report Issued.
IT Security	Oct 2019			Feb 2020	Fieldwork Completed
General Data Protection Regulation (GDPR)	Oct 2019			Feb 2020	Fieldwork Completed
Health & Safety	Feb 2020			May 2020	
Performance Management	June 2019	June 2019	August 2019	Nov 2019	Final Report Issued
Custody Arrangements	Sep 2019	Oct 2019		Nov 2019	Draft Report Issued.

Auditable Area	Planned Fieldwork Date	Draft Report Date	Final Report Date	Target JASP	Comments
Collaboration					
Performance Management	Oct 2019			Feb 2020	
Business Continuity	Nov 2019			Feb 2020	
Health & Safety	Jan 2020			May 2020	

Appendix A3 – Definition of Assurances and Priorities

Definitions of Assurance Levels		
Assurance Level	**Adequacy of system design**	**Effectiveness of operating controls**
Significant Assurance:	There is a sound system of internal control designed to achieve the Organisation's objectives.	The control processes tested are being consistently applied.
Satisfactory Assurance:	While there is a basically sound system of internal control, there are weaknesses, which put some of the Organisation's objectives at risk.	There is evidence that the level of non-compliance with some of the control processes may put some of the Organisation's objectives at risk.
Limited Assurance:	Weaknesses in the system of internal controls are such as to put the Organisation's objectives at risk.	The level of non-compliance puts the Organisation's objectives at risk.
No Assurance	Control processes are generally weak leaving the processes/systems open to significant error or abuse.	Significant non-compliance with basic control processes leaves the processes/systems open to error or abuse.

Definitions of Recommendations	
Priority	**Description**
Priority 1 (Fundamental)	Recommendations represent fundamental control weaknesses, which expose the organisation to a high degree of unnecessary risk.
Priority 2 (Significant)	Recommendations represent significant control weaknesses which expose the organisation to a moderate degree of unnecessary risk.
Priority 3 (Housekeeping)	Recommendations show areas where we have highlighted opportunities to implement a good or better practice, to improve efficiency or further reduce exposure to risk.

Appendix A4 - Contact Details

Contact Details

David Hoose	07552 007708 David.Hoose@Mazars.co.uk
Mark Lunn	07881 284060 Mark.Lunn@Mazars.co.uk

A5 Statement of Responsibility

Status of our reports

The responsibility for maintaining internal control rests with management, with internal audit providing a service to management to enable them to achieve this objective. Specifically, we assess the adequacy of the internal control arrangements implemented by management and perform testing on those controls to ensure that they are operating for the period under review. We plan our work in order to ensure that we have a reasonable expectation of detecting significant control weaknesses. However, our procedures alone are not a guarantee that fraud, where existing, will be discovered.

The contents of this report are confidential and not for distribution to anyone other than the Office of the Police and Crime Commissioner for Nottinghamshire and Nottinghamshire Police. Disclosure to third parties cannot be made without the prior written consent of Mazars LLP.

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For Consideration	
Public/Non Public*	**Public**
Report to:	**Joint Audit and Scrutiny Panel**
Date of Meeting:	**15 November 2019**
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:	**11**

POLICE AND CRIME COMMISSIONER'S UPDATE REPORT TO AUGUST 2019

1. PURPOSE OF THE REPORT

1.1 This report was presented to the Police and Crime Panel on 23 September 2019 and is presented to the Joint Audit and Scrutiny Panel ("the panel") for information and to provide an update on progress in delivery against the Police and Crime Commissioner's (Commissioner) Police and Crime Plan (2018-21), in compliance with the Commissioner's statutory duties[a].

1.2 This report sets out performance over the 1st April 2019 to 31st July 2019 financial year, including any additional contextual information requested by the panel since June 2019.

2. RECOMMENDATIONS

2.1 The Panel is invited to note the contents of this update report, consider the issues highlighted and seek assurance from the Commissioner on any outstanding issues or concerns.

3. REASONS FOR RECOMMENDATIONS

3.1 The Police and Crime Panel has a statutory duty via the Police Reform and Social Responsibility Act 2011 to provide scrutiny of, and support to, a Commissioner in relation to the Police and crime plan and is empowered to maintain a regular check and balance on the performance of the PCC in that context (Section 14 of the Policing Protocol 2011).

3.2 The information provided as part of the Commissioner's update report is designed to assist the Police and Crime Panel in fulfilling these duties.

[a] *Section 13 of the Police Reform and Social Responsibility (PR&SR) Act 2011 requires the Commissioner to, subject to certain restrictions, provide the Panel with any information which they may reasonably require in order to carry out their functions, and any other information which the Commissioner considers appropriate*

4. Summary of Key Points

POLICE AND CRIME PLAN (2018-21)

4.1 The Commissioner's Police and Crime Plan (2018-21) set 57 performance indicators and 12 sub-measures across four strategic themes. This report details performance against a number of headline measures, in addition to notable performance exceptions – both positive and negative – observed during the 2019/20 financial year. Exceptions include indicators that have seen significant divergence from the level or trend expected.

4.2 The full suite of performance measures across all four themes for the current year can be found in the Performance section of the Commissioner's website[b].

5. Police and Crime Plan Performance Headlines

5.1 Performance in relation to 'protecting people from harm' remains relatively strong with ongoing increases in pro-active adult and child safeguarding referrals (+21%), reductions in child sexual exploitation crimes (-12%) and missing person reports (-8%) and increasing levels of disclosure and identification of domestic abuse (+28%). This has been coupled with ongoing improvements in proactive street triage and early intervention activity.

5.2 HMICRFS's 2018 integrated PEEL assessment (published in May 2019), assessed the force as 'good' at protecting vulnerable people from harm, marking an improvement on the grading received in 2017. The report states that:

'Nottinghamshire Police is good at spotting vulnerable people when they first contact the force. It has got better at responding to them. Officers and staff treat vulnerable people well. The force regularly gets feedback from vulnerable victims to help improve its approach. This includes those who don't support police action. The force makes good use of its powers to protect people. Officers and staff are good at assessing risk at domestic abuse incidents and respond well to people with mental health problems'.

5.3 HMICFRS identify a number of areas for improvement, however, which include completion rates for DASH RIC (Domestic Abuse, Stalking and Harassment Risk Identification Checklist) and the timely response to incidents and appointments assessed 'non-priority'.

5.4 Violent knife crimes recorded by police have reduced by around 3.3% in the last year following a peak in August 2018. This has been coupled with increased police pro-activity over this period which led to a 32.6% increase in recorded possession of weapons offences – predominantly attributable to Operation Reacher. Every

[b] https://www.nottinghamshire.pcc.police.uk/Public-Information/Performance/

possession of weapons offence dealt with by the police is potentially preventing the future use of a weapon in a violent offence, and therefore, the upward trend in the recording of these offences is viewed positively.

5.5 A 2018/19 baseline has been established for 'cope and recover' outcomes set out in the Ministry of Justice monitoring framework for PCC commissioned victim services. Around 73% of victims leaving these services during 2018/19 reported improvements in cope and recover outcomes. It should be noted, however, that improvements in crime recording and victim disclosure alongside increased pressures on local policing services has led to a steady decline in the rate of positive outcomes for victim based crimes (-2% pts), including cases of domestic violence (-8.4%) and rape (-3% pts). This indicator is updated bi-annually.

5.6 HMICRFS's 2018 integrated PEEL Report (published in May 2019), assessed the force as 'requiring improvement' in the way it works to prevent crime and ASB. This marks a deterioration on the assessment given in 2017, with 'minimal progress' having been made in; working with local people to improve understanding of local communities and demonstrate action taken to address their concerns and; prioritising, evaluating and routinely sharing effective practice in crime and ASB prevention. Extensive work is underway to reinvigorate neighbourhood-based problem solving. This includes the introduction of as new problem solving framework informed by quarterly findings from the Commissioner's Police and Crime Survey, and a problem solving conference for community safety partners which is being hosted by the PCC on 12 November.

5.7 The Nottinghamshire Police and Crime Survey indicates that the prevalence of crime has increased marginally over the previous year at force (1.5% pts), city (+2.3%) and county (+1.2%) levels. This has been reflected in the profile of police recorded crime where the volume of victim-based crime has also increased at force (+3.3%), city (+2.5%) and county (+3.7%) levels. The crime survey indicates that the proportion of crime going on to be reported to the police has also increased over the last year from around 46% to 59%.

5.8 249 offenders are currently under active IOM management, either in the community or on short-term prison sentences while 232 offenders have been successfully removed from the scheme since January 2016. Together, these cohorts have achieved an average reduction in reoffending risk of 73.7% - which is over and above the level expected of a high performing scheme (45%). The IOM programme is also managing 44 high risk serial domestic violence perpetrators, 85 MAPPA nominals, 72 knife crime flagged offenders and 40 organised crime group offenders. The programme also commenced management of an additional non-statutory cohort for knife crime early intervention in August 2019 as a result of additional PCC funding for two Probation Support Officers. See 6.5

Nottinghamshire Police and Crime Plan: Headline Indicators

Theme	Measure	Baseline	Current	Trend	Comment
Protecting people from harm	Police Effectiveness: Protecting vulnerable people	Requires Improvement (2017)	Good (2019)	▲	HMICFRS PEEL Assessment - May 2019 Inspection reported improvement in grading – noting improvements in response to and early identification of domestic abuse.
	Adult and child safeguarding referrals	5,067 (Jul 2018)	6,121 (Jul 2019)	⇧ 20.8%	Safeguarding referrals have reached the highest on record largely due to improved identification, referral and recording of safeguarding concerns, 1,054 additional referrals in the year to July 2019.
	Violent knife crime recorded by police	893 (Jul 2018)	866 (Jul 2019)	⇩ 3.0%	Police recorded violent knife displays a sporadic pattern, but has reduced marginally since its peak in August 2018. Tackling knife crime remains a core police and priority for the area.
Helping and supporting victims	Victim Services: Improvement in 'cope and recover' outcomes	73.5% (Mar 2019)	73.5% (Mar 2019)	n/a	PCC Commissioned victim services: Average 73% showing improvement, most notably in being 'better able to cope' (76%) and improved health and wellbeing (75%).
	Repeat victims of domestic abuse presenting to police	32.7% (Jul 18)	33.8% (Jul 19)	⇧ 1.1% pts	While levels of domestic abuse crime captured and reported to the police has increased by 28% over the last year, only a 1.1% point increase in repeat victimisation has been observed over this period.
	Positive outcome rate for serious sexual offences	10.1% (Jul 18)	8.2% (Jul 19)	⇩ 1.9% pts	Positive outcomes rates for SSO continue to show a steadily decline following increases in disclosure and third party reporting. Absolute volume of positive outcomes remains stable.
Tackling Crime and ASB	Police Effectiveness: Preventing / tackling crime and ASB	Good (2017)	Requires Improvement (2019)	▼	HMICFRS PEEL Assessment – May 2019 highlighted 'minimal progress' in improving understanding of communities and prioritising crime prevention. These areas are receiving a renewed focus in 2019.
	Crime prevalence: % residents experiencing crime in last 12 months	17.4% (Jun 2018)	18.9% (Jun 2019)	⇧ 1.5% pts	Police & Crime Survey highlights a rise in crime prevalence in Nottingham (+2.3%pt) and South Notts (+3.5%pt) compared to reductions in Mansfield & Ashfield saw a 2.5%pt reduction in crime prevalence
	Integrated Offender Management – reduction in reoffending risk	-78.7% (Jun 2018)	-73.7% (Jun 2019)	-5.0% pts (>45%)	232 offenders successfully removed from the scheme since January 2016 achieved an average reduction in reoffending risk of 73.7%. IOM continues to be adapted to take account of the changing risk profile
Transformation and quality policing	Police efficiency: Efficiency & sustainability of policing services	Requires Improvement (2017)	Requires Improvement (2019)	◀▶	HMICFRS PEEL Assessment – May 2019 The force 'needs to improve how it meets current demands and uses its resources and how it plans for the future'. See case study detailing current work underway.
	% residents feeling the police 'do a good job'	47.2% (Jun 2018)	46.9% (Jun 2019)	⇧ 0.5% pts	Police & Crime Survey: Marginal improvement in public perceptions. Strongest in the city (55%) and lowest in Bassetlaw, Newark and Sherwood (41%).
	Achieving a balanced budget: Budget vs Spend	+£0.85m rev -£4.18m cap (Mar 2019)	+£0.93m rev -£0.35m cap (Mar 2020)	Stable Reduced	Forecast revenue overspend of £0.935m in 2019/20 largely due to unexpected IS and MFSS costs. Forecast capital underspend of £0.353m and £3.2m programme slippage

5.9 HMICRFS's 2018 integrated PEEL Report (May 2019) concluded that the force 'requires improvement' in how efficiently and sustainably it delivers services. Specific areas for improvement include tracking benefits of new arrangements for managing demand, understanding and addressing gaps in workforce capabilities and improving understanding and analysis of future demand. The PCC has

commissioned targeted work to help address these issues in 2019, which is detailed in the case study at paragraph 8 below.

5.10 Public confidence in the police, as monitored by the Police and Crime Survey, remains relatively stable. As at June 2019, around 53.4% of respondents reported having confidence in the police in their area, while 47.7% agreed that the police in their area 'do a good job'. Confidence remains higher than average in Nottingham (60.0%, 55.3%) and below average in Bassetlaw, Newark and Sherwood (48.0%, 41.4%), although improvements have been observed in both over the last year.

5.11 As at June 2019, the force/OPCC are projecting: a revenue overspend of £935,000 in 2019/20 driven by unexpected costs in information services and estates and overspend on MFSS; a capital budget underspend of £353,000 driven by procurement savings within the command and control project and; capital programme slippage of £3,202,000 partly due to financial profiling issues within the new custody suite project. Further details are provided in section 11.

5.12 Actual spend to the end of June 2019 is £50,736k revenue and £2,168k capital. The budget is continually scrutinised and challenged with budget holders which will result in ongoing revisions throughout the year.

6. Police and Crime Plan Performance – Positive Exception Reporting

6.1 Data as at 31 July 2019 highlights strong and improving performance across the following Police and Crime Plan performance indicators in comparison to performance during the previous year:-

Theme	Measures	Jul 2019
Protecting from harm	Adult and child safeguarding referrals	+20.8%
Supporting victims	Domestic abuse crimes	+28.1%
Tackling crime & ASB	Drug trafficking and supply offences	+27.7%
	Integrated Offender Management – Reduced reoffending	-73.7%
Quality Policing	Abandoned call rates - 101 non-emergency service	-6.8% pts

6.2 Levels of recorded **adult and child safeguarding referrals** have continued to increase during the first quarter of 2019/20 reaching the highest on record (6,121 in the year to July 2019) – around 88 additional safeguarding referrals per month compared to the previous year. This has primarily been driven by improvements in recording, reporting, referral and assessment processes that are helping agencies to provide earlier intervention and ultimately reduce risk of harm. While a positive safeguarding development, these increases continue to place significant additional demand on force public protection teams.

6.3 The force continues to record an increasing number of **domestic abuse crimes**, having risen by 28.1% over the last year to around 14,761. While rising levels of disclosure and identification are considered a positive outcome, these increases continue to place further pressure on local MARAC and victim support services. Police recorded repeat victimisation for domestic abuse (33.8%) has seen a marginal (1.1% pt) increase over the previous year.

6.4 Recorded **drug trafficking and supply offences** have continued to display an increasing trend since March 2019 impacted, in part, by greater use of stop and search (+89%) and pro-active operations such as 'Operation Reacher' to target individuals and gangs involved in drug and weapon possession. The number of drug trafficking and supply offences recorded by police has increased by 27.7% over the previous year. The Nottinghamshire Police and Crime Survey indicates that drug use and dealing remains an escalating concern for local residents (48%), particularly in the Mansfield (57.5%) and Ashfield (61%) areas.

6.5 The **Integrated Offender Management** (IOM) Scheme continues to demonstrate considerable success, with those removed from the scheme since January 2016 having achieved an average reduction in reoffending risk of 73.7%. This is over and above the level expected of a high performing scheme (45%). The Nottinghamshire scheme has been recognised as a model of regional and national good practice, being the first to develop a tool for monitoring its long-term impact at individual offender level. The scheme is set to deliver its Organised Crime Group training pack to other regional IOM schemes in September 2019 and continues to evolve in response to the changing profile of risk. This includes the management of high risk serial domestic violence perpetrators, organised crime group offenders and knife crime flagged offenders. See 5.7

6.6 **Abandoned call rates for the 101 non-emergency number** have fallen steadily over the last year (-6.8%) and now remain stable at around 2.3%. This follows action taken to reduce 101 call volumes (-6.1%) and improve the management of demand and signposting to other services at first point of contact. Abandonment rates for 999 calls have remained low over the previous two years (< 0.05%).

6.7 The force and OPCC now routinely monitor crime trends in terms of both volume and severity. This is done by weighting each offence based on sentencing data over the previous 5 years using the ONS crime severity index. The **crime severity** score provides an indication of the relative harm of recorded offences and the likely demand on the police. Nottinghamshire's overall crime severity score has seen a marginal (+1.1%) increase over the previous year, but has fallen across 13 of the 23 priority neighbourhoods subject to enhanced partnership activity. These include Arboretum (-5.9%), Stapleford (-16%) and Arnold & Woodthorpe (-8.1%). The areas of Worksop North (+12.5%) and South (+6.0%) and Mansfield East (+13.8%) and West (+15.6%), however, have recorded increases in crime severity.

7. Police and Crime Plan Performance – Negative Exception Reporting

7.1 Data to 31 July 2019 highlights marginal deterioration in performance across the following Police and Crime Plan performance indicators in comparison to performance over the previous year:-

Theme	Measures	Jul 2019
Protecting from harm	Domestic abuse - repeat victimisation rate	+1.1%
Supporting victims	Positive outcome rate for victim-based crime	-0.5% pts
	Positive outcome rate for serious sexual offences	-1.9% pts
Tackling crime & ASB	Victim-based crime – including fraud	+3.3%
Quality policing	Budget management – data reporting	n/a

7.2 **Repeat victimisation for domestic abuse** (33.8%) has increased by a marginal 1.1% points in the year to July 2019. It should be noted, however, that levels of domestic abuse recorded by the police over this period has increased by 28%, largely due to greater reporting and improved recording processes. While overall satisfaction with the police among domestic abuse survivors has remained relatively stable over the previous year (90%), there have been some marginal reductions in the proportion satisfied with their treatment (from 96.7% to 94.8%) and extent to which they have been kept informed (from 79.3% to 78.1%).

7.3 **Positive outcome rates for victim-based crimes** have seen a marginal (-0.5% pt) reduction over the previous year falling from 12.6% to 12.1%. Despite this reduction, there have been some improvements over the latest quarter, with positive outcomes having risen from 11.9%, while the proportion of crimes recorded with an identified suspect has increased by +4.7%. This correlates with improvements in compliance with crime recording standards and increases in the number of offences where the victim does not support further action. Criminal justice outcomes remain relatively strong in Nottinghamshire when compared to other regional force areas.

7.4 **Positive outcomes rates for serious sexual offences** have reduced by 1.9% pts over the previous year, from 10.1% to 8.2%. Despite this reduction, positive outcomes, and the volume of adult serious sexual offences recorded by police (+1.1%) now appear to be stabilising, following a peak in July 2018. The force continues to receive a substantial proportion of reports from third parties and survivors that do not support further police action. While the proportion of serious sexual offences resulting in a positive outcome has declined, the absolute number of positive outcomes has remained relatively stable.

7.5 Nottinghamshire Police recorded a 3.3% increase in levels of **victim-based crime** in the year to July 2019, however comparisons based on the April to July period (-2.4%) indicate that this may now be reducing. Within this category, there have been marked increases in recorded violence (+16%) and stalking and harassment (+39%) offences, largely due to changes and improvements in recording practices. Some genuine increases have, however, also been observed and corroborated with calls for service data and findings from the PCC's Police and Crime Survey. These include rises in robbery (+6%) and fraud offences (+21%). Conversely, rates of burglary and violence against the person remain below average in Nottinghamshire when compared to other police forces nationally.

7.6 Managing the increasing demand relating to fraud (+21%) and online crime (+16%) remains a significant challenge to the police, with investigations often being complex and time consuming. Partnership-led education and awareness raising activity plays a critical role in reducing risk of victimisation and the impact that these crimes can have on vulnerable people. The majority of online crimes recorded are harassment offences, specifically malicious communications offences which have taken place in online forums such as Facebook and twitter.

7.7 Reporting of **budget monitoring** information has been exceptionally problematic during Quarter 1 due to on-going issues with the migration to Oracle Cloud Apps. Work is progressing to address proven errors in data recoded on the financial system, with outturn monitoring in relation to pay not being available at this time due to inconsistencies within the data. There is confidence that the budget set is robust and will be sufficient to manage known moves, changes, recruitment and leavers within Quarter 1 and those planned for the remainder of the year at this point in time.

8. Case Study: Understanding and Modelling Police Demand

8.1 Panel Members have requested the presentation of a case study for each meeting. Recent case studies have included: Integrity and Compliance with NCRS; Prosecution File Quality Improvements; Knife Crime; Nottinghamshire Police and Crime Survey; OPCC's Sexual Violence Engagement Manager; the Nottinghamshire Victim CARE Service and; Nottingham Violence Interrupters Pilot. For this meeting, a further case study has been prepared detailing recent activity to improve understanding and management of police demand.

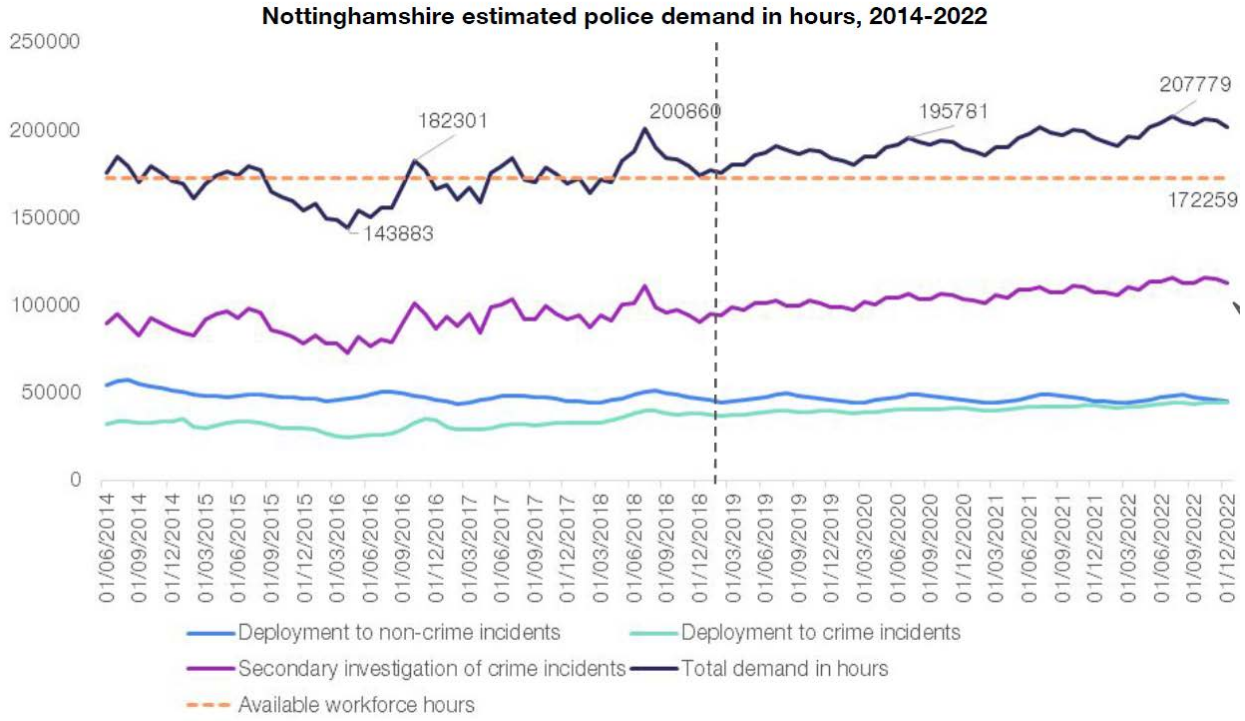
8.2 In Nottinghamshire's 2018 PEEL Assessment, published May 2019, HMICFRS graded the force as 'requiring improvement' in the efficiency and sustainability of the way its delivers services to the public. More specifically, the assessment stated that:-

"The force needs to get a better understanding of demand. It is getting better at assessing future demand, but needs to understand how demand is changing, what

skills it will need in the future and link workforce capabilities to financial plans. It also needs to use more partnership data for this [and] understand the effect that pressures on other organisations have on its own demand. Nottinghamshire Police needs to improve how it meets current demands and uses its resources. It should make sure it understands people's workloads before increasing them".

8.3 In early 2019, the PCC commissioned nationally recognised crime and justice specialists Crest Advisory to develop a comprehensive profile current and future demand on Nottinghamshire Police to inform strategic and operational planning. This led to the development of a bespoke demand model for Nottinghamshire which combines a number of statistical forecasting methods to analyse historic crime, control room, deployment, investigation and crime outcome data in order to project demand over a subsequent four year period. The work was supplemented by focus group to reality test estimates of 'activity-based timings' across a range of policing activities and functions.

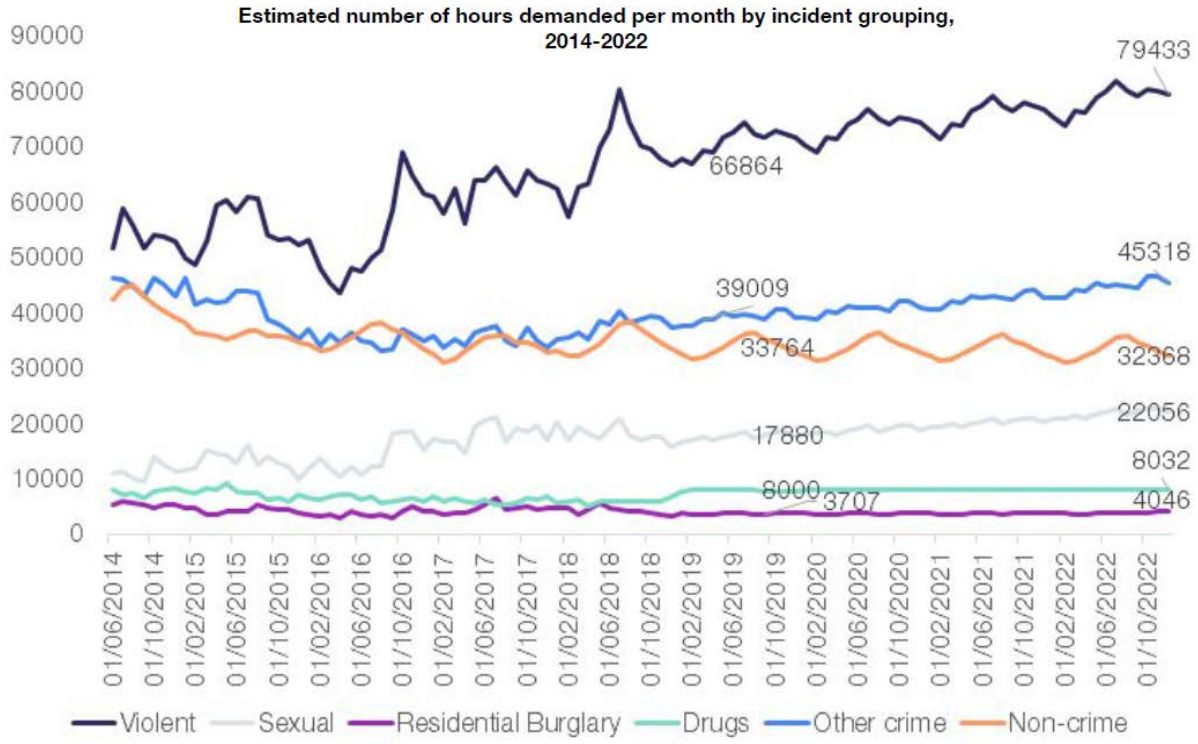
8.4 Findings[c] from the initial independent concluded that available police hours are already being outstripped by demand in Nottinghamshire, having been operating at or over capacity since 2016. Forecasts indicate that by 2023, the service is likely to need at least 260 additional officers to meet reactive demand at an estimated cost of £19.2 million.



8.5 The changing nature of crime demand is likely to mean that the force will need to consider investing in more detectives and more specialist skills e.g. early evidence

[c] https://www.nottinghamshire.pcc.police.uk/Document-Library/Public-Information/Newsletters-and-Publications/Publications/Modelling-Demand-on-Nottinghamshire-Police.pdf

collection for sexual offences and digital investigation skills. Policing hours demanded by high harm offences are predicted to continue to increase over the next four years, whilst non-crime and burglary demand is predicted to remain more stable. Fraud offences will drive up demand from 'other' crime.



8.6 Crest's analysis is helping the force and PCC to challenge common misconceptions about policing demand, highlighting the anticipated growth in required secondary investigation capacity alongside opportunities to deliver greater efficiencies and target resources to secure better value for money. The findings are also being used to support Nottinghamshire's CSR / lobbying position in respect of police funding and inform the annual Force Management Statement and Departmental Assessment process.

8.7 Having developed an intuitive and bespoke demand modelling tool for Nottinghamshire that has been designed to match the force's structure and specification, the PCC and Chief Constable are keen to explore further opportunities for its development and application. This includes the potential to incorporate regional and proactive elements of demand and develop a platform which will enable in-house force analysts to independently profile demand and model 'what if?' scenarios to assess the impact of changes in policing policy.

8.8 The innovative approach has been presented to the Home Office and the National Police Chief's Council and will be further explored as part of a regional roundtable event in Nottinghamshire on 30 September 2019.

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9. Activities of the Commissioner

9.1 The Commissioner is represented at the key thematic, partnership and force local performance boards to obtain assurance that the Force and Partners are aware of the current performance threats and taking appropriate action to address the emerging challenges. Any issues of concern are reported to the Commissioner who holds the Chief Constable to account on a weekly basis. The Commissioner also meets heads of Investigations and Intelligence and Operations on a quarterly basis to gain a deeper understanding of threats, harm and risk to performance.

9.2 The Commissioner continues to take steps to obtain assurances that the Chief Constable has 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. Key activities are reported on the Commissioner's website.[d]

Chief Constable Contract Extension

9.3 The Police and Crime Commissioner undertook a review of the Chief Constable's contract in July 2019 as part of the annual performance and delivery review process. The Commissioner considered challenges and achievements since Mr Guildford's appointment in February 2017. In view of the demonstrable achievements to date and a recognised need to maintain sustainable leadership of the service, the decided to extend the Chief Constable's contract to July 2025 and provide an uplift in the Chief Constable's salary.

9.4 The Commissioner obtained support from the chair and vice chair of Nottinghamshire's Police and Crime Panel in making this decision at a meeting held on 25 July 2019. The Head of East Midlands legal services has confirmed that the Commissioner has the legal powers to extend Mr Guildford's contract until July 2025 and uplift his salary in line with police regulations and flexibilities available to him.

Nottinghamshire Violence Reduction Unit (VRU)

9.5 Nottinghamshire OPCC received confirmation from the Home Office on 9th August 2019 of an £880,000 funding allocation to support the establishment of a Violence Reduction Unit (VRU) in the area. The VRU's core function will be to offer leadership and strategic coordination of a local public health approach to serious violence. The first meeting of the Strategic VRU Board took place on 5th August, Chaired by Paddy Tipping and attended senior colleagues from Public Health, Policing, Children's Services, Education, CCGs and Nottingham University Hospital. A broader governance structure has also been developed alongside this to include a

[d] http://www.nottinghamshire.pcc.police.uk/News-and-Events/Latest-News.aspx

Citizen's Advisory Panel and a VRU Stakeholder Reference Group, which will facilitate meaningful engagement with a network of Community Ambassadors and Senior Practitioners and Managers from partner organisations, respectively.

9.6 Appointments are currently being made to the core VRU team, which will be co-located with partners at Loxley House, led by David Wakelin, as VRU Director. The team is comprised of individuals from a number of agencies and includes a Public Health Consultant, Children's Strategy and Improvement Specialists, a Programme Manager, a Community Engagement Specialist and a Researcher, Analyst and Project Officer to provide the necessary support. Every effort has been made to keep spend on the team and infrastructure as lean as possible to enable funds to be spent on interventions, analysis and evaluation to enable the VRU to build a legacy which will last beyond March 2020, which is the current term that the Home Office have agreed. As well as a programme plan of initiatives which focus on early intervention and a public health approach, the team will deliver a countywide JSNA and a violence reduction strategy.

Independent Inquiry into Child Sexual Abuse – Nottinghamshire Councils

9.7 The IICSA inquiry report[e] into allegations of sexual abuse of children in the care of Nottinghamshire Councils during the 1960's, 70's, 80's and 90's was published on 31 July 2019, receiving significant local and national media attention. The report follows 15 days of public hearings in 2018 with 350 individuals reporting experience of sexual abuse whilst in the care of the Councils.

9.8 The report concludes that most institutions, including elected members, senior managers, frontline social work and residential staff and foster carers and Nottinghamshire Police, failed children who were sexually abused whilst in the care of the Nottinghamshire Councils. Despite successive reviews, more still needs to be done by the Councils and the police to ensure that consistent support and counselling is provided for those who have suffered sexual abuse in care and that agencies are receptive to complainants' needs.

9.9 Despite some recent improvements, Nottinghamshire Police's investigation into the allegations was not adequately resourced or supported. Senior officers should have done more to support the operation and the police did not treat the allegations with sufficient seriousness. The police have had to improve how they communicate with complainants following criticisms from complainants, including the means and regularity of contact, and notifying complainants that an investigation has been closed.

9.10 The report makes recommendations for the Councils to assess potential risks posed by current and former foster carers in relation to sexual abuse, ensure that current

[e] *https://www.iicsa.org.uk/news/inquiry-publishes-report-nottinghamshire-councils*

and former foster carers provided by external agencies are assessed by those agencies, with any concerns being referred to the police and other appropriate bodies. The City Council and child protection partners should also commission an independent external evaluation of their practice concerning harmful sexual behaviour. Both councils and the police have published their initial responses to the report which can be provided to panel members on request.

Stop and Search Annual Report 2018/19

9.11 Nottinghamshire Police published its Annual Report into Stop and Search for the 2018/19 period in August 2019. The report provides statistics on use of stop and search including analysis of disparities in 'find rates' among people from different ethnicities in line with HMICFRS recommendations. The report highlights that:-

- 3,023 searches were undertaken in 2018/19, marking a 58% increase on 2017/18 (1,908), driven largely by greater national acceptance of its use in tackling local emerging threats alongside rises in front-line policing capacity
- Despite this increase, Nottinghamshire maintains one of the lowest search rates per 1,000 population in the country, while arrest (15.4%) and positive outcome (39.5%) rates have continued to increase
- A prohibitive item linked to the purpose of the search was found in 88% of all stops. The percentage of searches conducted to find a weapon fell from 20% to 14.7%, however the actual number rose from 392 to 441
- The number of complaints relating to stop and search remain low despite ongoing work to promote the complaints process. This is believed to be in part affected by more widespread use of Body Worn Video (BWV)
- Disproportionality rates for use of stop and search among BAME / non-BAME communities have reduced from 4.2 to 3.5 and in the City from 1.7 to 1.4

9.12 The review also identifies five risks for further work and scrutiny via the Stop and Search Scrutiny Board. These include developing a more comprehensive understanding of:-

- Stop and searches involving young Asian people aged 18-24 who remain the group most likely to be searched
- Handcuffing rates for BAME individuals, which remain higher than for White
- Arrest rates for Asian or Black people stop and searched – which remain higher than that of White people
- Lower 'find' rates among people from dual heritage backgrounds than for other groups - while items seized were linked to the reason for search in a comparative proportion of cases, fewer prohibited items were recovered
- Outcome rates (including find rates) for those from dual or multiple heritage backgrounds which is lower than that for all other ethnicity defined searches

10. Decisions

10.1 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. The Commissioner's web site provides details of all significant public interest decisions.[f]

10.2 Panel Members have previously requested that the Commissioner provide a list of all forthcoming decisions (Forward Plan) rather than those already made. This Forward Plan of Key Decisions for the OPCC and the Force has been updated and is contained in **Appendix A**.

11. Financial Implications and Budget Provision

11.1 The Commissioner holds the Chief Constable to account formally at his Strategic Resources and Performance meetings (SSRP). At this meeting the Chief Constable submits a number of financial reports for scrutiny.

11.2 Chancellor, Sajid Javid, announced the government's 12-month spending review on 4 September 2019. The review confirmed a £750m increase in Home Office funding for policing as part of the government committed to increase officer numbers by 6,000 by March 2021 and 20,000 by 2023. Further announcements will be made on how officers will be allocated across territorial police forces, counter-terrorism policing and serious and organised crime. The Chancellor also confirmed an additional £30m for technology and law enforcement capabilities to tackle child sexual exploitation and additional funding for the Ministry of Justice (£55m) and CPS (£80m) to support the work of the 20,000 additional police officers and manage the increasing complexity of crime.

11.3 The Commissioner holds the Chief Constable to account formally at his Strategic Resources and Performance meetings (SSRP). At this meeting the Chief Constable submits a number of financial reports for scrutiny. As at 31 August 2019, the force/OPCC are projecting a financial revenue outturn position of £206,886,000 in 2019/20, which represents a projected overspend of £603,000 against the approved net revenue budget of £206,283,000. The over spend is predominately being driven by:-

- Unexpected costs in information services for renewal of the data bundle contract and slow progress on realising the £300k efficiency saving
- An over spend on MFSS relating to the extension of early life support
- An increase on estates costs in recognition that Bingham, Worksop and Holmes House sales may not be realised

[f] http://www.nottinghamshire.pcc.police.uk/Public-Information/Decisions/Decisions.aspx

Nottinghamshire Police Revenue Position as at the end of August 2019, by Department

	Revised Budget £'000	Forecast Outturn £'000	FO-RB Variance £'000
Local Policing			
County	43,095	43,159	64
City	29,450	29,433	(17)
Contact Management	16,353	16,226	(127)
	88,898	**88,818**	**(80)**
Crime & Operational Services			
Public Protection	12,438	12,229	(209)
Operational Support	10,179	10,354	175
Intelligence	9,205	9,135	(70)
Serious & Organised Crime	7,313	7,250	(63)
Archive & Exhibits	1,078	1,086	9
Other	255	280	25
	40,468	**40,334**	**(133)**
Corporate Services			
Technical Accounting	12,449	12,456	6
Information Services	11,324	11,852	528
Estates	6,235	6,724	489
Fleet	3,234	3,346	112
People Services	1,742	1,881	139
PSD	1,633	1,580	(53)
Futures Board	1,083	962	(122)
Command	1,263	1,286	23
Corporate Development	1,080	915	(164)
Corporate Communications	833	642	(191)
Finance	671	794	123
Information Management	503	417	(87)
Other smaller budget departments	215	229	14
	42,267	**43,085**	**818**
Collaboration			
EMSOU Operations	13,534	13,827	293
EMCJS	9,066	9,023	(43)
EMSOU Services	4,169	4,354	185
MFSS	2,567	3,055	488
ESN	186	186	0
EMSCU	153	159	7
	29,675	**30,605**	**930**
Home Office Grants			
Knife Crime	0	(569)	(569)
ARV Uplift	0	(263)	(263)
Cyber Crime	0	(99)	(99)
	0	**(931)**	**(931)**
Force Total	**201,308**	**201,911**	**603**
OPCC	**4,975**	**4,975**	**0**
Group Total	**206,283**	**206,886**	**603**

Overspends shown as positive numbers, under-spends shown as ( ) numbers.
No manual adjustments have been made for rounding

11.4 As at August 2019, the force/OPCC are projecting a Capital budget outturn of £9,742,000 in 2019/20 against an approved capital programme budget of

£12,797,000. The under spend has considerably over the last quarter, largely due to variance within the Command and Control project where it is expected that £183,000 will be required for screens.

Capital Outturn Position as at the end of August 2019, by Project

Project Name	Revised Budget £'000	Forecast Outturn £'000	Underspend £'000	Slippage to 2020/21 £'000
Estates				
New Custody Suite	6,430	3,386	0	(3,044)
Building Improvement, Renovation & Conversion Works	1,172	1,185	0	0
Hucknall EMAS	637	635	(2)	0
Custody Improvements	360	360	(0)	0
New HQ Joint Build	352	352	0	0
Northern Property Store	246	246	0	0
Bunkered Fuel Tanks	76	59	(4)	0
Automatic Gates & Barriers	52	52	0	0
Community Rehabilitation Companies Renovations	25	25	0	0
Estates Total	**9,350**	**6,300**	**(6)**	**(3,044)**
Information Services				
ANPR Camera Project	126	126	0	0
Technology Services Refresh & Upgrades	1,090	1,090	0	0
Command & Control	1,910	1,909	(1)	0
SICCS Upgrade	59	59	0	0
NEP	112	109	(3)	0
IS Total	**3,297**	**3,293**	**(4)**	**0**
Other Projects				
Vehicle & Equipment Replacement	**150**	**150**	**0**	**0**
Overall Total	**12,797**	**9,743**	**(10)**	**(3,044)**

Overspends shown as positive numbers, under-spends shown as ( ) numbers.
No manual adjustments have been made for rounding

11.5 The budget is continually scrutinised and challenged with budget holders which will result in ongoing revisions throughout the year. Monitoring has been exceptionally problematic this year, with proven errors in the data recoded on the financial system. While work is progressing to address these issues, it should be noted that the year to date actual spend is inaccurate at this present time. There is confidence that the budget set is robust and will be sufficient to manage capital plans during 2019/20.

11.6 **Appendices B and C** contain the full finance revenue and capital reports submitted to the Strategic Resources and Performance Board on 4th November 2019 and provide more detail regarding the provisional year end position for each.

12. Human Resources Implications

12.1 None - this is an information report.

13. Equality Implications

13.1 None

14. Risk Management

14.1 Risks to performance are identified in the main body of the report together with information on how risks are being mitigated.

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

15.1 This report provides Members with an update on performance in respect of the Police and Crime Plan.

16. Changes in Legislation or other Legal Considerations

16.1 The Commissioner publishes a horizon scanning document[g] every two weeks and can be downloaded from his website. The horizon scanning undertaken involves reviewing information from a range of sources, including emerging legislation, government publications, audits and inspections, consultation opportunities and key statistics and research findings, in order to inform strategic planning and decision making locally.

17. Details of outcome of consultation

17.1 The Chief Constable has been sent a copy of this report.

18. Appendices

A. Forward Plan of Key Decisions for the OPCC and the Force
B. Finance Revenue Budget Position for 2019/20 as at August 2019
C. Finance Capital Budget Position for 2019/20 as at August 2019

19. Background Papers

- Police and Crime Plan 2018-2021

For any enquiries about this report please contact:

[g] *http://www.nottinghamshire.pcc.police.uk/Public-Information/Horizon-Scanning/Horizon-Scanning.aspx*

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Nottinghamshire
POLICE & CRIME COMMISSIONER

Decisions of Significant Public Interest: Forward Plan

September 2019

1.0 Business cases						
Ref	**Date**	**Subject**	**Summary of Decision**	**Cost (£)** *Where available*	**Contact Officer**	**Report of OPCC / Force**
None to report with the exception of those noted under 2.0 Contracts, 3.0 Estates, ICT and Asset Strategic Planning and 5.0 Strategic Issues including Finance						

2.0 Contracts (above £250k) – further updates pending						
Ref	**Date**	**Subject**	**Summary of Decision**	**Cost (£)** *Where available*	**Contact Officer**	**Report of OPCC / Force**
2.1	Sept 2019	Holmes 2	Regional contract award to Unisys via FW	£302,720	R.Adams EMSCU	Force
2.2	October 2019	Building Condition – P3/4	Procurement and award of contract	>£250K	R.Adams EMSCU	Force
2.3	November 2019	Custody Build main Contractor	Award via Scape FW	£15m		
2.4	November 2019	Fleet Maintenance	Procurement & award of contract	>£250K	R.Adams EMSCU	Force
2.5	December 2019	Airwave Extension		>£250	R.Adams EMSCU	Force
2.6	January 2020	HQ Build Main Contractor	OJEU procurement	£16.5m	R.Adams EMSCU	Force
2.7	TBA	Water Services	Contract	>£250K	R.Adams EMSCU	Force

Nottinghamshire
POLICE & CRIME COMMISSIONER

3.0 Estates, ICT and Asset Strategic Planning – further updates pending						
Ref	**Date**	**Subject**	**Summary of Decision**	**Cost (£)** *Where available*	**Contact Officer**	**Report of OPCC/Force**
3.1	TBC	Replacement SARC	Proposal to replace the existing adult SARC with new, more suitable premises	Business Case in course of preparation	DCI Clare Dean and Tim Wendels, Estates and Facilities	Force/OPCC
3.2	October 2019	Watnall Road Training Centre, Hucknall	Review the future of Watnall Road Training Centre.	TBC	Tim Wendels, Estates and Facilities	Force
3.3	TBC	Neighbourhood Offices	Consider the outcome of consultation on the future of Neighbourhood Offices	TBC	Tim Wendels, Estates and Facilities	Force

4.0 Workforce Plan and Recruitment Strategies						
Ref	**Date**	**Subject**	**Summary of Decision**	**Cost (£)** *Where available*	**Contact Officer**	**Report of OPCC / Force**
Operation Uplift – the national initiative from the government to increase police officer numbers by 20,000. Nottinghamshire Police is in a healthy position with its recruitment pipeline allowing us to move swiftly to accommodate the additional officers allocated in this financial year of 150 over target. The force is seeking to increase transferees and transferred scores and is currently advertising for these candidates. Planning for next year's recruitment is underway with positive action events in place and a planned recruitment before Christmas (date to be confirmed). Additional costs are expected in addition to the recruitment of officers. For example additional assessment centre, OHU and biometric costs. Work is being undertaken at pace to both secure the relevant services and clarify costs required. Increased officer numbers will create opportunities for police staff roles around the Force, particularly PCSO and Control Room roles. PCSO recruitment is open currently.						

5.0 Strategic Issues including Finance						
Ref	**Date**	**Subject**	**Summary of Decision**	**Cost (£)** *Where available*	**Contact Officer**	**Report of OPCC / Force**
5.1	Sept 2019	Routine monthly monitoring reports in re. capital & revenue expenditure		Mark Kimberley	Force	Sept 2019

Nottinghamshire
POLICE & CRIME COMMISSIONER

6.0 Other OPCC Commissioning						
Ref	**Date**	**Subject**	**Summary of Decision**	**Cost (£)** *Where available*	**Contact Officer**	**Report of OPCC / Force**
6.1	September 2019	Victim CARE	Extension of contract into 2020-1	£600k	Nicola Wade	OPCC
6.2	October 2019 (tender award)	County criminal justice substance misuse support	Re co-commissioning of substance misuse support services in the county (County Council is the lead commissioner)	£1.4m	Nicola Wade	OPCC
6.3	September 2019	County domestic abuse support	Re co-commissioning of domestic abuse support services in the county (County Council is the lead commissioner)	£1.4m	Nicola Wade	OPCC
6.4	November 2019	2019-0 Community Safety Fund	Small grants for third sector organisations	Tbc	Nicola Wade	OPCC
6.5	December 2019	Future sexual violence services in city and county	Co-commissioning of new sexual violence support services (partnership approach, lead commissioner to be confirmed)	Tbc	Nicola Wade	OPCC
6.6	January 2020	Community safety partnership grants	Award of grants to community safety partnerships	Tbc	Nicola Wade	OPCC

Appendix B: Revenue Report presented to Strategic Resources and Performance

For Information Only	
Public	
Report to:	**Strategic Resources and Performance**
Date of Meeting:	**6th November 2019**
Report of:	**Chief Constable**
Report Author:	**Tracey Morris**
E-mail:	**tracey.morris@Nottinghamshire.pnn.police.uk**
Other Contacts:	**Mark Kimberley**
Agenda Item:	

Revenue Report for Period 5; Quarter 2 2019/20.

1. Purpose of the Report

1.1 The purpose of this report is to provide an update on the financial outturn position for revenue as at 31st August 2019 (Period 5, Quarter 2).

2. Recommendations

2.1 **Recommendation 1**
It is recommended that the contents of the report and virements approved under delegated arrangements for Period 5 2019 shown in Appendix B are noted.

2.2 **Recommendation 2**
That the Police and Crime Commissioner approve the virements of greater than £100k which have been recommended by the Chief Constable as set out in Appendix C. These virements will be reflected in the outturn position once fully approved.

2.3 **Recommendation 3**
That the Police and Crime Commissioner note the overspend position and consider any action that might be required as set out in Appendix D.

2.4 **Background**
The net revenue budget for 2019/20 is £206,283k. This is split between the Force £201,308k and the Office of the Police and Crime Commissioner (OPCC) £4,975k.

Finance in conjunction with the organisation has continued to review the outturn position. At the end of August 2019 the projected year end outturn is £206,886k, which represents an over spend of £603k against the budget, a reduction of £169k against period 4. Please also refer to section 8 of this report which identifies risk issues in respect of this report.

3. Reasons for Recommendations

3.1 To update the Chief Officer Team and the Office of the PCC on the Force's projected outturn position for 2019/20 and also to comply with good financial management and Financial Regulations.

4. Summary of Key Points

Executive Summary

4.1 The review during period 5 of revenue expenditure is forecasting an over spend in the Force budget of £603k; and an on budget position within the OPCC. Any underspends realised within the OPCC during the year will be transferred to OPCC's commissioning reserve.

In addition to the comments in the Period 4 report the reduction in over spend is mainly due to the monitoring on staff pay with a net in year saving of £305k (actual saving identified £503k, less the reversal of anticipated savings shown in income £225k) this is off-set with a further increase in estates costs, an expected redundancy payment due to recent restructures, overtime costs for Op Scorpion which are now starting to come through and a general increase in costs due to a rise in demand.

There are some mitigating factors that the organisation could consider to bring the force to a balanced outturn position which was reported in P4, however the £140k settlement fee reported last month will now be off-set against the insurance reserve contribution and income now reflects the secondment for Head of People Services. The remaining options total £753k.

Monitoring continues to be problematic and errors in the data continue to be reported. It should be noted that outturn monitoring in relation to staff pay has been attempted this month, however payroll and general ledger continue to be out of balance at the present time, accuracies between departments are also irreconcilable and inconsistent.

There is confidence that further savings could be found within the staff budgets and these are constantly being worked through, however until data in the system has been reconciled this will remain a risk. Officer and PCSO data has not been able to be completed to normal levels of assurance due to inconsistencies within the data.

The table below shows the projected Force (including externally funded and seconded officers/staff) variances against the 2019/20 budget plus approved virements (revised budget) as at the end of August 2019.

Variances greater than £10k are explained in more detail within section 4 of this report, unless there is no movement between last month's variance and this month's variance.

Data explaining the variance between original budget and revised budget can be found in appendix A. Data explaining the virements can be found in appendix B and appendix C.

Nottinghamshire Police Group Position as at the end of August 2019, by Department.

Over spends are shown as + numbers, whilst under spends are shown as ( ) numbers. No adjustments have been made for rounding.

	Revised Budget £'000	Forecast Outturn £'000	FO-RB Variance £'000
Local Policing			
County	43,095	43,159	64
City	29,450	29,433	(17)
Contact Management	16,353	16,226	(127)
	88,898	**88,818**	**(80)**
Crime & Operational Services			
Public Protection	12,438	12,229	(209)
Operational Support	10,179	10,354	175
Intelligence	9,205	9,135	(70)
Serious & Organised Crime	7,313	7,250	(63)
Archive & Exhibits	1,078	1,086	9
Other	255	280	25
	40,468	**40,334**	**(133)**
Corporate Services			
Technical Accounting	12,449	12,456	6
Information Services	11,324	11,852	528
Estates	6,235	6,724	489
Fleet	3,234	3,346	112
People Services	1,742	1,881	139
PSD	1,633	1,580	(53)
Futures Board	1,083	962	(122)
Command	1,263	1,286	23
Corporate Development	1,080	915	(164)
Corporate Communications	833	642	(191)
Finance	671	794	123
Information Management	503	417	(87)
Other smaller budget departments	215	229	14
	42,267	**43,085**	**818**
Collaboration			
EMSOU Operations	13,534	13,827	293
EMCJS	9,066	9,023	(43)
EMSOU Services	4,169	4,354	185
MFSS	2,567	3,055	488
ESN	186	186	0
EMSCU	153	159	7
	29,675	**30,605**	**930**
Home Office Grants			
Knife Crime	0	(569)	(569)
ARV Uplift	0	(263)	(263)
Cyber Crime	0	(99)	(99)
	0	**(931)**	**(931)**
Force Total	**201,308**	**201,911**	**603**
OPCC	**4,975**	**4,975**	**0**
Group Total	**206,283**	**206,886**	**603**

4.2 Local Policing – under spend (£80k) an increase of (£80k) on last month.

The under spend position mainly represents a review of the staff position, along with an increase in overtime and general equipment costs, mainly due to Op Scorpion and an increase in income in Contact Management for recharging of police monitored alarms.

4.3 Crime and Operational Services – under spend (£133k) an increase of (£192k) on last month.

The under spend position mainly represents a review of the staff position, along with an increase in overtime and general equipment costs, mainly due to Op Scorpion. This is slightly off-set by a general increase in specialist equipment, photographic materials and firearms and ammunition in OS.

4.4 Corporate Services – over spend £818k an increase of £109k on last month.

The review of the staff pay position resulted in a net saving of £267k across the area; other areas of variance are detailed below, Over establishment in People Services £130k some of which will relate to additional support in respect of MFSS.

4.4.1 Technical Accounting – over spend £6k a reduction of £136k.
An assessment of recent restructures has resulted in an expected increase for redundancies. The increase in income of £225k in respect of anticipated staff savings have now been reversed as these are now correctly shown against the respective department's vacancy reserves. The £140k settlement fee reported last month will now be off-set against the insurance reserve contribution.

4.4.2 Information Services – over spend £528k an increase of £30k
IS have realised £158k of savings over a number of contracts. £244k has been spent on NEP; £122k of this is off-set by the futures board.

4.4.3 Estates – Over spend £489k an increase of £256k.
£150k reflects a review of spend on planned and reactive maintenance. £15k reflects an increase in decontamination costs in custody, £50k an increase in uniform costs and a £20k reduction in fuel income (from solar panels).

4.4.4 Fleet – over spend £112k an increase of £17k
This increase reflects the purchase of a van for the NSART team and an increase in vehicle cleaning charges.

4.4.5 People Services – over spend £139k an increase of £145k
There has been an increase in the contract for Police Firearms Officers Association counselling service £11k.

4.5 Collaboration and Partnerships – over spend £930k a reduction of £6k

4.5.1 EMSOU Operations – over spend £293k an increase of £31k

This increase in overspend reflects an increase in the RART (Regional Asset Recovery Team) pension costs identified by region and an increase in the NABIS (National Ballistics Intelligence Service) charge for 2019-20.

4.5.2 EMCJS – under spend (£43k) a reduction of (£56k)

This reflects £86k staff pay saving due to the monitoring off-set by an increase in custody and laundry costs.

4.5.3 EMSOU Services (Legal, OHU, L&D) – over spend £185k an increase of £13k

This reflects an increase in the L&D staffing costs.

4.6 OPCC – on budget

The OPCC is projecting an on budget position, any underspends within the OPCC during the year will be transferred to the OPCC's reserve and OPCC's Grant and Commissioning reserve.

4.7 Grant Funding

This section of the reports shows grant funded projects for 2019/20. The use of grant to match expenditure in the outturn figures are shown as income in the tables reported under item 4.1 the detail of which is shown below. The Force has plans to spend the entire grant within the areas identified for each project. The tables now show the grant allocated against the forces core budget, see item 4.1. The tables also show actual year to date spend and committed spend.

4.7.1 Op Scorpion – Grant £1,540k

£569k has been allocated against spend included in the forces outturn position.

Home Office Knife Crime Surge Grant	Core	New/ un-committed	Total Grant	Actual spend YTD + Committed Spend	Balance
	£'000	£'000	£'000	£'000	£'000
Increased Resources	358	197	554	358	196
Surge Activity	212	447	658	400	258
Increased Capability	0	289	289	200	89
Preventative / Diversionary Initiatives	0	39	39	56	(17)
	569	971	1,540	1,014	526

4.7.2 ARV Uplift – Grant £263k

£263k has been allocated against spend included in the forces outturn position, this was set in place before the plans below were identified. Therefore, there would need to be a reduction in overtime spends of £181k to facilitate funds being available to purchase the remaining 5 items.

Home Office ARV Uplift Funding Grant	Core	New/ un-committed	Total Grant	Actual spend YTD + Committed Spend	Balance
	£'000	£'000	£'000	£'000	£'000
RAPT, TST, TAPT related overtime & staffing	236	(181)	55	55	0
Armoury Improvement	0	52	52	0	(52)
Armed team support vehicle	0	50	50	0	(50)
X2 Tasers for initial firearms courses	0	33	33	0	(33)
1 x duty planning staff	27	0	27	27	0
Targetry proposals	0	26	26	0	(26)
Method of entry rig and shelter	0	20	20	20	0
	263	0	263	102	(161)

4.7.3 Cyber Crime – Grant £111k

£99k has been allocated against spend included in the forces outturn position. There is a risk that the costs will over spend by £12k as requests are being made for IS to provide technology equipment. We have received verbal confirmation that this over spend will be met from additional grant, however as this isn't certain no provision for the additional income has been made.

Home Office Cyber Crime Grant	Core	New/ un-committed	Total Grant	Actual spend YTD + Committed Spend	Balance
	£'000	£'000	£'000	£'000	£'000
Employee costs	99	0	99	99	0
Crypto currency equipment	0	2	2	2	0
Technology Equipment	0	0	0	12	12
Travel & accommodation for Cyber Team	0	10	10	10	0
	99	12	111	123	12

4.8 **Efficiencies**

The 2019/20 efficiency target in order to achieve a balanced budget is £3,300k as per the table below:

Efficiencies Target for 2019/20	**Target £'000**	**Outturn* RAG Assessment**
Pay & Expenses		
Ongoing staff pay savings	1,500	Green
Overtime	500	Amber
	2,000	
Non Pay		
Procurement	300	Amber
Comms & Computing	300	Amber
Capital Financing	300	Amber
Supplies & Services	200	Red
Income	200	Green
	1,300	
Total Savings	**3,300**	(2,300) Amber

*Unable to assess due to MFSS quality issues.

The procurement saving was included within the Technical Accounting area for budget purposes and has been reversed out in the June forecast on the basis that the savings will be delivered across numerous lines of expenditure. All other savings targets/achievements are captured in the outturn summary at 4.1.

Finance is constantly reviewing all efficiency targets with the organisation to identify any possible risks or opportunities to delivering the yearend target.

5 Financial Implications and Budget Provision

5.1 The financial information relating to this item is contained within item 4.1 and Appendix A.

6 Human Resources Implications

6.1 There are no immediate Human Resource implications arising from this report.

7 Equality Implications

7.1 There are no equality implications arising from this report.

8 Risk Management

8.1 Monitoring continues to be problematic and errors in the data continue to be reported. It should be noted that outturn monitoring in relation to staff pay has been attempted this month, however payroll and general ledger continue to be out of balance at the present time, accuracies between departments are also irreconcilable and inconsistent. From the monitoring that has been completed a reduction in outturn of £530k has been recognised, however this carries an element of risk due to the errors in the data.

8.2 Recent information relating to pay awards is not reflected in the outturn figures in this report in relation to officer and PCSO pay. An increase of 2% was identified in the budget. It is expected that the additional cost to the Force will be circa £343k assuming that staff will follow officers with a 2.5% approved increase in September 2019.

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

9.1 There are no policy implications arising from this report.

10 Changes in Legislation or other Legal Considerations

10.1 There are no changes in legislation or other legal considerations that are relevant to this report.

11 Details of outcome of consultation

11.1 The figures included in this report are presented to the Force Executive Board on a monthly basis.

12. Appendices

12.1 Appendix A - Revenue Report to August 2019 CIPFA format.

12.2 Appendix B - Virements approved under delegated arrangements.

12.3 Appendix C – Virements greater than £100k requiring PCC approval.

12.4 Appendix D - Outturn movements.

13. Background Papers (relevant for Police and Crime Panel Only)

NB
See guidance on public access to meetings and information about meetings for guidance on non-public information and confidential information.

Nottinghamshire Police Group Position as at the end of August 2019, by CIPFA format.

The table shows the original budget and approved virements to represent the revised budget. Over spends are shown as + numbers, whilst under spends are shown as () numbers. No manual adjustments have been made for rounding.

	Budget £'000	Virements £'000	Revised Budget (RB) £'000	Forecast Outturn (FO) £'000	FO-RB Variance £'000
Pay & Allowances					
Police Officer	107,907	0	107,907	107,907	0
Police Staff	43,151	0	43,151	42,620	(530)
PCSO	5,723	0	5,723	5,723	0
	156,781	**0**	**156,781**	**156,251**	**(530)**
Overtime					
Police Officer	4,016	0	4,016	4,076	60
Police Staff	743	(3)	740	760	20
PCSO	60	0	60	60	0
	4,819	**(3)**	**4,816**	**4,896**	**80**
Other Employee Expenses					
Medical Retirements	4,929	0	4,929	4,929	0
Other Employee Expenses	2,156	19	2,175	2,227	52
	7,085	**19**	**7,104**	**7,156**	**52**
Total Pay & Allowances	**168,685**	**16**	**168,701**	**168,302**	**(399)**
Non Pay					
Collaboration Contributions	10,246	265	10,511	11,307	797
Comms & Computing	8,683	8	8,691	9,172	482
Other Supplies & Services	5,853	(76)	5,777	6,157	380
Premises	5,767	0	5,767	6,156	389
Transport	5,652	39	5,691	5,786	95
Capital Financing	4,335	0	4,335	4,528	193
Forensic & Investigative costs	2,090	0	2,090	2,144	54
Custody costs & Police Doctor	1,483	0	1,483	1,502	18
Partnership Payments	1,312	(251)	1,061	1,089	28
Clothing, Uniform & Laundry	527	0	527	597	70
Income	(13,325)	(1)	(13,326)	(14,830)	(1,504)
Total Non-Pay	**32,623**	**(16)**	**32,607**	**33,609**	**1,002**
OPCC	**4,975**	**0**	**4,975**	**4,975**	**0**
TOTAL GROUP POSITION	**206,283**	**(0)**	**206,283**	**206,886**	**603**

Nottinghamshire Police Group Position as at the end of August 2019, by Department.

The table shows the original budget and approved virements to represent the revised budget. Over spends are shown as + numbers, whilst under spends are shown as () numbers. No manual adjustments have been made for rounding.

	Budget £'000	Virements £'000	Revised Budget £'000	Forecast Outturn £'000	FO-RB Variance £'000
Local Policing					
County	43,081	15	43,095	43,159	64
City	29,450	0	29,450	29,433	(17)
Contact Management	16,479	(126)	16,353	16,226	(127)
	89,010	**(111)**	**88,898**	**88,818**	**(80)**
Crime & Operational Services					
Public Protection	12,438	0	12,438	12,229	(209)
Operational Support	10,156	23	10,179	10,354	175
Intelligence	9,191	14	9,205	9,135	(70)
Serious & Organised Crime	7,313	0	7,313	7,250	(63)
Archive & Exhibits	1,078	0	1,078	1,086	9
Other	(47)	302	255	280	25
	40,129	**339**	**40,468**	**40,334**	**(133)**
Corporate Services					
Technical Accounting	12,776	(327)	12,449	12,456	6
Information Services	11,272	53	11,324	11,852	528
Estates	6,235	0	6,235	6,724	489
Fleet	2,876	358	3,234	3,346	112
People Services	1,715	27	1,742	1,881	139
PSD	1,635	(2)	1,633	1,580	(53)
Futures Board	1,280	(197)	1,083	962	(122)
Command	1,235	28	1,263	1,286	23
Corporate Development	1,628	(548)	1,080	915	(164)
Corporate Communications	833	0	833	642	(191)
Finance	671	0	671	794	123
Information Management	0	503	503	417	(87)
Other smaller budget departments	215	0	215	229	14
	42,372	**(105)**	**42,267**	**43,085**	**818**
Collaboration					
EMSOU Operations	13,781	(246)	13,534	13,827	293
EMCJS	9,066	0	9,066	9,023	(43)
EMSOU Services	4,195	(27)	4,169	4,354	185
MFSS	2,418	150	2,567	3,055	488
ESN	186	0	186	186	0
EMSCU	153	0	153	159	7
	29,798	**(123)**	**29,675**	**30,605**	**930**
Home Office Grants					
Knife Crime	0	0	0	(569)	(569)
ARV Uplift	0	0	0	(263)	(263)
Cyber Crime	0	0	0	(99)	(99)
	0	**0**	**0**	**(931)**	**(931)**
Force Total	**201,308**	**0**	**201,308**	**201,911**	**603**
OPCC	**4,975**	**0**	**4,975**	**4,975**	**0**
Group Total	**206,283**	**0**	**206,283**	**206,886**	**603**

Appendix B

Virements Period 5 - Approved under delegated arrangements

Expenditure Type	Description	Amount £
Supplies & Services	Purchase of van for NSART Team	(6,000.00)
Transport Related	Purchase of van for NSART Team	6,000.00
	OVERALL MOVEMENT	-

Appendix C

Virements Period 5 - Requiring PCC approval.

Expenditure Type	Description	Amount £
Custody & Police Doctor	General Increase in demand	**13,432.00**
Forensic & Investigation Costs	General Increase in demand	**31,570.00**
Other Employee Costs	Contract changes for PFOA counselling	11,000.00
	Potential for additional redundancies due to restructures	55,880.00
	TOTAL	**66,880.00**
Other Income	Reversal of anticipated staff pay income to off-set revised monitoring	**225,000.00**
Pay & Employment Costs	Review of staff outturn position	(530,162.48)
	Increase in overtime mainly due to Op Scorpion	79,900.00
	TOTAL	**(450,262.48)**
Property Related	Increase in demand (incl. DBS)	**170,320.00**
Seconded Officers & Staff Income	Additional DBS Income	**(101,711.96)**
Supplies & Services	Increases in demand DBS and MFSS	**44,772.44**
	TOTAL	-

Appendix D

Outturn Movements Period 5- 2019/20

Expenditure Type	Description	Amount £
Clothing & Uniform	Increase in demand, laundry in custody and general uniform costs	**60,000**
Collaboration	RART Pension costs and Op Advenus reflection in latest figures from region	**30,260**
Comms & Computing	Savings due to reduction in demand of some lines / systems	(33,328.00)
	Contract changes, Vuleio to PR Gloo (Corp Comms)	7,929.00
	TOTAL	**(25,399.00)**
Other Income	Increase in Income for monitored alarms, EMSCU Income generation & fingerprint income	**(54,500.00)**
Partnership Payments & Grants to external organisations	Mainly minor contract savings	**4,144.00**
Supplies & Services	Reduction in contribution to Insurance Reserves	(140,000.00)
	Changes in demand across several areas	(45,433.64)
	TOTAL	**(185,433.64)**
Transport Related	Increase in demand	**2,100.00**
	OVERALL OUTTURN MOVEMENT IN P5	**(168,828.64)**
	PREVIOUS OUTTURN MOVEMENT IN Q1 & P4	772,051.36
	TOTAL OUTTURN MOVEMENT	603,222.72

Appendix C: Capital Report presented to Strategic Resources and Performance

For Information Only	
Public	**Public**
Report to:	**Strategic Resources and Performance**
Date of Meeting:	**6th November 2019**
Report of:	**Chief Constable**
Report Author:	**Tracey Morris**
E-mail:	**Tracey.morris@nottinghamshire.pnn.police.uk**
Other Contacts:	
Agenda Item:	

Capital Report for Period 5; Quarter 2 2019/20

1. Purpose of the Report

1.1 The purpose of this report is to provide an update on the financial outturn position for capital as at 31st August 2019 (Period 5, Quarter 2).

2. Recommendations

2.1 Recommendation 1 Outturn Position
That the Police and Crime Commissioner note the outturn position as set out in Appendix A.

Recommendation 2 Virement
That the Police and Crime Commissioner note the virement approved by the Chief Constable under delegated powers, being below £100,000, as set out in Appendix B.

2.2 **Background**

The Capital Programme for 2019/20 to 2023/24 was presented and approved at the Police and Crime Panel Meeting on 7th February 2019.

The capital budget for 2019/20 is £12,797k. This is calculated as slippage from 2018/19 of £1,470k and new allocations in 2019/20 of £11,327k.

Finance in conjunction with project leads and budget holders have continued to review the outturn position (Appendix A). At the end of August 2019 the projected year end outturn is £9,742k which is an increase of £182k on P4.

Actual spend to the end of August 2019 is £2,242k which is an increase of £742k on P4. Please also refer to section 8 of this report.

3. Reasons for Recommendations

3.1 To update the Chief Officer Team and the Office of the PCC on the Force's projected outturn position for 2019/20 and also to comply with good financial management and Financial Regulations.

4. Summary of Key Points

4.1 Executive Summary

The review during period 5 of the capital expenditure is forecasting an under spend of £10k, a reduction of £251k against the last report and anticipated slippage of £3,044k an increase of £67k against the last report.

The under spend has considerably reduced since last month. The majority of the variance is within the Command and Control project where it is expected that £183k will be required for screens.

Monitoring has been exceptionally problematic so far this year, with proven errors in the data recoded on the financial system. Work is progressing to address these issues, it should be noted that the year to date actual spend has reversed the anomaly from last month, but is still considered inaccurate at this present time. There is confidence that the budget set is robust and will be sufficient to manage capital plans during 2019/20.

The table below shows the projected Force under spends and slippage against the 2019/20 budget plus virements (revised budget) as at the end of August 2019.

Variances greater than £50k are explained in more detail within section 4 of this report.

Data explaining the variance between original budget and revised budget can be found in Appendix A. Data explaining the virements can be found in Appendix B.

Capital Outturn Position as at the end of August 2019, by Project.

Over spends are shown as + numbers, whilst under spends are shown as ( ) numbers. No manual adjustments have been made for rounding.

Project Name	Revised Budget £'000	Forecast Outturn £'000	Underspend £'000	Slippage to 2020/21 £'000
Estates				
New Custody Suite	6,430	3,386	0	(3,044)
Building Improvement, Renovation & Conversion Works	1,172	1,185	0	0
Hucknall EMAS	637	635	(2)	0
Custody Improvements	360	360	(0)	0
New HQ Joint Build	352	352	0	0
Northern Property Store	246	246	0	0
Bunkered Fuel Tanks	76	59	(4)	0
Automatic Gates & Barriers	52	52	0	0
Community Rehabilitation Companies Renovations	25	25	0	0
Estates Total	**9,350**	**6,300**	**(6)**	**(3,044)**
Information Services				
ANPR Camera Project	126	126	0	0
Technology Services Refresh & Upgrades	1,090	1,090	0	0
Command & Control	1,910	1,909	(1)	0
SICCS Upgrade	59	59	0	0
NEP	112	109	(3)	0
IS Total	**3,297**	**3,293**	**(4)**	**0**
Other Projects				
Vehicle & Equipment Replacement	**150**	**150**	**0**	**0**
Overall Total	**12,797**	**9,743**	**(10)**	**(3,044)**

4.2 Estates – Under spend (£6k) and Slippage (£3,044k)

4.2.1 New Custody Suite – slippage (£3,044k)

The projected slippage figure is likely to change by the end of the year. The increase in slippage reflects the latest information from the project lead and Gleeds. This is a multi-year project and overall the project is expected to be delivered on target.

4.3 Information Services – Under spend (£4k)

4.3.1 Command & Control – under spend (£1k)

The reduction in underspend reflects a recognition that replacement screens will be required and also reflects some transactional anomalies in the system that have been rectified.

4.4 Other Projects – on budget

5. Financial Implications and Budget Provision

5.1 The financial information relating to this item is contained within item 4.1 and Appendix A.

6. Human Resources Implications

6.1 There are no immediate Human Resource implications arising from this report.

7. Equality Implications

7.1 There are no equality implications arising from this report.

8. Risk Management

8.1 It should be noted that the actual year to date figures shown within this report are not considered to be accurate at this point in time, work is progressing with our outsourced service to rectify current issues.

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

9.1 There are no policy implications arising from this report.

10. Changes in Legislation or other Legal Considerations

10.1 There are no changes in legislation or other legal considerations that are relevant to this report.

11. Details of outcome of consultation

11.1 The figures included in this report are presented to the Force Executive Board on a monthly basis.

12. Appendices

12.1 Appendix A – Detailed Report to August 2019.

12.2 Appendix B – Virements requiring approval.

13. Background Papers (relevant for Police and Crime Panel Only)

NB
See guidance on public access to meetings and information about meetings for guidance on non-public information and confidential information.

Appendix A

Capital Position as at the end of August 2019.

The table shows the original budget, approved slippage, requested virements and outturn position. Overspends are shown as + numbers, whilst under spends are shown as () numbers. No manual adjustments have been made for rounding.

Project Name	Slippage From 2018/19	New Budget 2019/20	In Year Virements	Total Available for Project	Total Actual Spend YTD	Out-turn	Under Spend	Slippage to 2020/21
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
Estates								
New Custody Suite	0	6,430	0	6,430	532	3,386	0	(3,044)
Building Improvement, Renovation & Conversion Works	0	1,250	(78)	1,172	139	1,185	0	0
Hucknall EMAS	637	0	0	637	162	635	(2)	0
Custody Improvements	260	100	0	360	176	360	(0)	0
New HQ Joint Build	0	352	0	352	285	352	0	0
Northern Property Store	168	0	78	246	145	246	0	0
Bunkered Fuel Tanks	76	0	0	76	31	59	(4)	0
Automatic Gates & Barriers	52	0	0	52	0	52	0	0
Community Rehabilitation Companies Renovations	0	25	0	25	0	25	0	0
	1,193	**8,157**	**0**	**9,350**	**1,470**	**6,300**	**(6)**	**(3,044)**
Information Services								
Command & Control	0	2,000	(90)	1,910	426	1,909	(1)	0
Technology Services Refresh & Upgrades	0	1,090	0	1,090	243	1,090	0	0
ANPR Camera Project	106	20	0	126	(0)	126	0	0
NEP	112	0	0	112	0	109	(3)	0
SICCS Upgrade	59	0	0	59	0	59	0	0
	277	**3,110**	**(90)**	**3,297**	**668**	**3,293**	**(4)**	**0**
Other Projects								
Vehicle & Equipment Replacement	0	60	90	150	104	150	0	0
	0	**60**	**90**	**150**	**104**	**150**	**0**	**0**
Total	**1,470**	**11,327**	**0**	**12,797**	**2,242**	**9,743**	**(10)**	**(3,044)**

Appendix B

Virements Period 5 – 2019/20

Project	Description	Amount £
Total		**0**

There are no virements to report this month.

For Information	
Public	
Report to:	**Joint Audit and Scrutiny Panel**
Date of Meeting:	**15th November 2019**
Report of:	**Deputy Chief Constable**
Report Author:	**Detective Superintendent Leona Scurr Professional Standards Department (PSD)**
E-mail:	**Leona.scurr@nottinghamshire.pnn.police.uk**
Other Contacts:	
Agenda Item:	**12**

*If Non Public, please state under which category number from the guidance in the space provided.

Complaint and Misconduct Investigations

1. Purpose of the Report

1.1 The purpose of this report is to update the Joint Audit and Scrutiny Panel (JASP) about new and open cases relating to complaints and misconduct investigations over the previous 12 months. It seeks to reassure the Panel that the force is committed to learning from complaints to inform how it delivers a service to the public.

2. Recommendations

2.1 It is recommended that the Joint Audit and Scrutiny Panel note the contents of this update report.

3. Reasons for Recommendations

3.2 To ensure that the JASP receives assurance that the Force is compliant in its duty to record and investigate complaints and misconduct matters.

4. Summary of Key Points

4.1 In order to improve community and victim satisfaction the Force must continue to transform its services and deliver quality policing. A performance measure within the the Police and Crime Plan is to monitor the volume of complaints received and the timeliness of resolving those complaints.

4.2 Complaints can be separated into two categories:

- Those amounting to service recovery where no misconduct is identified. The complaint is resolved by local resolution by a dedicated Complaints and Learning Sergeant.

- Those complaints where there may be an indication that a person serving with the police has breached the Standards of Professional Behaviour. Complaints

of this nature are dealt with by specialist investigators within the Professional Standards Directorate (PSD) by way of local investigation.

4.3 'Local resolution' and 'local investigation' are the terms used in legislation governing how police complaints are dealt with.

4.4 The table below and subsequent information outlines the performance headlines for the 12 months to August 2019 compared with the 12 months to August 2018.

4.5 **Table 1: Performance Headlines Complaint Cases Recorded**

	Sep 17 - Aug 18	Sep 18 - Aug 19	Change	% Change
Complaint Cases Recorded	940	1001	**61**	**6.5%**
Complaint cases recorded within 10 working days	92.6%	86.2%	**-6.3pp**	**-**
Timeliness of Local Resolutions	49.0	58.6	**9.7**	**19.7%**
Timeliness of Local Investigations	119.5	160.7	**41.2**	**34.4%**

4.6 The number of complaint cases recorded in the last 12 months has increased by 6.5% compared to the previous 12 months. This increase is within normal bounds and has reduced from 16.5 % in the last reporting period. Complaints categorised as 'neglect or failure in duty' represent 46.1% of all complaints. This is consistent with national statistics and the last reporting period. Closer inspection shows an increase in complaints where matters are not found in favour of the person calling for service. The Complaints and Learning Sergeants are quickly engaging with members of the public affected. Issues are resolved by providing more comprehensive updates on cases and fuller rationales as to why particular decisions have been made. This category of complaint has reduced by nearly 10 % over the last 12 months.

4.7 The timeliness of local resolutions is still ahead of the national average however the average time to finalise complaints has increased in the past 12 months from an average of 56.7 days to an average of 58.6 days. This is due to a number of complaints being pended while they are in sub-judice due to on-going criminal investigations. When that data is removed a complaint is resolved by the Complaints and Learning Sergeant in an average of 28 days.

4.8 The timeliness of local investigations is still above of the national average. It currently takes a PSD investigator 144 days to finalise a case however this statistic is impacted by a small number of lengthy cases that are reliant on the conclusion of misconduct proceedings.

4.9 The Head of Professional Standards provides a quarterly report for the Organisational Risk, Learning, Standards and Integrity Board. Personal and organisational learning is identified from upheld complaints. Where necessary,

policies and procedures are amended. Individual officer performance is addressed ranging from reflective practice and performance review to formal misconduct proceeding in the most serious of cases.

5. Financial Implications and Budget Provision

5.1 There are no financial implications arising from this report.

6. Human Resources Implications

6.1 There are no Human Resources implications arising from this report.

7. Equality Implications

7.1 Equality data is recorded in relation to recording, compliance and monitoring of complaints and misconduct matters.

8. Risk Management

8.1 Any risks associated with the recording and compliance of complaints and misconduct are reported on an exception basis to the Force Organisational, Risk, and Learning Board chaired by the Deputy Chief Constable.

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

9.1 The recording and monitoring of complaints and misconduct matters is linked with the Police and Crime Plan Priority, Transforming Services and Delivering Quality Policing.

10. Changes in Legislation or other Legal Considerations

10.1 There are no changes in legislation in relation to this report.

11. Details of outcome of consultation

11.1 There has been no consultation in relation to this report as it is an update for the JASP.

12. Appendices

12.1 There are no appendices attached to this report.

For Information / Consideration / Comment (delete as appropriate)	
Public/Non Public*	**Public**
Report to:	**Joint Audit and Scrutiny Panel**
Date of Meeting:	**15th November 2019**
Report of:	**Deputy Chief Constable Barber**
Report Author:	**Superintendent Leona Scurr**
E-mail:	**Leona.scurr@nottinghamshire.pnn.police.uk**
Other Contacts:	
Agenda Item:	**13**

*If Non Public, please state under which category number from the guidance in the space provided.

IOPC Investigations, Recommendations & Actions

1. Purpose of the Report

1.1 To inform the PCC in respect of the complaint and conduct matters which have been referred by Nottinghamshire Police to the Independent Office for Police Conduct (IOPC) during the relevant period 1st April 2019 to 31st August 2019, together with relevant recommendations and actions

2. Recommendations

2.1 That the panel receive assurance that Nottinghamshire Police is transparent in referring itself to the IOPC in relation to all instances which meet the criteria defined at 4.1 and 4.2 of this report.

2.2 That the panel receive reassurance that Nottinghamshire Police consider and respond to IOPC recommendations.

3. Reasons for Recommendations

3.1 Law enforcement in the UK has significantly increased the amount of coordinated activity to address the threat of harm posed from child sexual exploitation and abuse. Consequently in the last two reporting periods Nottinghamshire Police recorded suicides committed by offenders post law enforcement intervention. The data contained within this report shows no instances of this. This may be due to the risk assessment process changing for those under investigation for producing indecent images of children. The deaths related to sexual offences in this reporting period relate to historic sexual offences against children.

3.2 This reporting period shows four instances of injury being caused as a result of police pursuits. Two of these matters are still under investigation by the IOPC however no immediate learning or action has been identified which would indicate a departure from the 'Policy on Police Pursuits' or 'Driving Standards Policy'.

4. Summary of Key Points (this should include background information and options appraisal if applicable)

4.1 Death or serious injury matters (DSI) are not necessarily linked to a public complaint or any identified misconduct. The full definition of a DSI can be found in section 29 Police Reform Act 2002; in brief it is where there is/may be a causal link between a member of the public having contact with the police and death or serious injury occurring to that person. On receipt of a DSI referral the IOPC will determine the mode of investigation; usually an independent IOPC investigation or referred back to Force to investigate. The data summary below outlines those DSI matters referred to the IOPC during the period 1st April 2019 to 31st August 2019. In total 14 referrals were made compared to 17 in the last reporting period.

Attempt suicide following arrest	Force deal
Injury following a collision during police pursuit	Local
Suicide while classified missing from home	Force deal
Suicide having reported a sexual offence	Local
Injury from a collision during police pursuit	Local
Suicide following investigation for sexual offence	Local
Injury during arrest	Local
Injury from a collision during police pursuit	Independent
Death following police contact	Local
Injury from a collision during police pursuit	Independent
Suicide while classified missing from home	Local
Death following police contact	Force deal
Suicide following investigation for sexual offence	Force deal
Injury during arrest	Local

*Independent investigations are carried out by the IOPC's own investigators.
*Local investigations are carried out by police officers in the force area.
*Force deal – these are cases for the force to decide on.

4.2 In addition to DSI's the Police must refer to the IOPC complaints and recordable conduct matters that include allegations of conduct which constitute:

- Serious assaults
- Serious sexual offences
- Serious corruption (includes Abuse of Position Trust for Sexual Gain)
- Criminal offence or behaviour aggravated by discrimination
- Relevant offence (where the sentence is fixed by law or 7yrs on first conviction)

The table below shows the number in each category recorded by Nottinghamshire Police in the reporting period 1st April 2019 to 31st August 2019.

Type of Conduct	Total

Serious assault	1
Serious sexual offences	1
Serious corruption	1
Offence aggravated by discrimination	1

5. Financial Implications and Budget Provision

5.1 There are no specific financial implications in respect of this report.

6. Human Resources Implications

6.1 PSD resources are under constant review, ensuring that the department has both the capacity and capability to meet demand.

7. Equality Implications

7.1 No specific implications

8. Risk Management

8.1 It is essential the public have confidence in the service Nottinghamshire Police provide. There have been two specific organisational learning recommendations issued by the IOPC necessitating a change in policy, procedure, training or resourcing. These have been reported to the Organisational Risk and Learning Board. Individual learning has been addressed where required.

8.2 Organisational learning is a whole organisation responsibility which helps to mitigate risk. Professional Standards Directorate contributes to risk management through the sharing of learning and encouragement of change across the organisation where appropriate.

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

9.1 IOPC investigations ensure that the public can have confidence in the independence, accountability and integrity, of the most serious of cases, most notably Death or Serious Injury.

9.2 It is the responsibility of the force to ensure mandatory and voluntary referrals are made in a timely fashion and that appropriate support is given to IOPC investigators.

10. Changes in Legislation or other Legal Considerations

10.1 None

11. Details of outcome of consultation

11.1 None

12. Appendices

12.1 None

For Information	
Public/Non Public*	**Public**
Report to:	**Joint Audit and Scrutiny Panel**
Date of Meeting:	**15th November 2019**
Report of:	**Deputy Chief Constable Barber**
Report Author:	**Detective Superintendent Leona Scurr**
E-mail:	**Leona.scurr@nottinghamshire.pnn.police.uk**
Other Contacts:	
Agenda Item:	**14**

PROFESSIONAL STANDARDS CONFIDENTIAL REPORTING PROCEDURE (Whistle Blowing)

1. Purpose of the Report

1.1 The purpose of this report is to update the Joint Audit and Scrutiny Panel (JASP) regarding the above area of business.

1.2 Specifically, the update will outline how the organisation and the Professional Standards Directorate (PSD) and deals with those members of the organisation who make reports concerning breaches of professional standards. In particular, how they can be provided with support and confidentiality, when appropriate and necessary.

2. Recommendations

2.1 It is recommended that the Panel receive assurance from the processes in place relating to confidential reporting as detailed within the report.

2.2 It is recommended that the panel receives assurance that Nottinghamshire Police Professional Standards Directorate actively seeks information and intelligence from a variety of sources in order to prevent corruption.

3. Reasons for Recommendations

3.1 The number of confidential referrals has reduced year-on-year from 2017 to 2019. This is a trend experienced across all five regional forces. In July 2018 Nottinghamshire Police identified the counter corruption strategic priorities for the following 12 months, these being:

- Infiltration and corrupted individuals
- Abuse of position of trust for sexual gain
- Disclosure of information

The strategic threat assessment is being refreshed for December 2019.

4. Summary of Key Points

4.1 Police officers, staff and volunteers, must be honest and act with integrity at all times. This is a principal and absolute standard of professional behaviour from

which there can never be any departure. Without personnel possessing such attributes, public trust and confidence would be eroded, the Police would lack legitimacy and the service provided would become ineffective.

4.2 The reporting procedure for referring potential breaches in standards of professional behaviour, aims to create a climate where staff feel a genuine commitment to openness and transparency when reporting breaches of Professional Standards. Police personnel should be motivated with a desire to maintain the integrity of the Police service and feel assured that reporting misconduct and criminal transgression will be universally acknowledged as 'doing the right thing.'

4.3 The Force's 'Professional Standards Reporting Procedure' (PD462) defines how Nottinghamshire Police will protect and support its officers, staff and volunteers, by both (a) providing a broad range of options for reporting breaches and (b) providing consistent and meaningful support to colleagues who report concerns.

4.4 The Code of Ethics as set by the College of Policing places a positive obligation on Police personnel to report suspected breaches in the standards of professional behaviour by their colleagues. Officers, staff and volunteers must be able to report such breaches openly, with the support of their peers and line managers and have the utmost confidence that in doing so, they will never be subject of victimisation, discrimination or disadvantage.

4.5 The reporting procedure identifies guiding principles and some examples of what activity or conduct should be reported, before outlining the different mechanisms and gateways for making such reports, which can be done anonymously, confidentially or in an open report.

4.6 The PSD have a key part to play in this procedure once a referral is made to the Directorate. Where open reports have been made, appropriate support will be given to the informant from the outset and proactive central and / or local management support and action will continue throughout the lifetime of the investigation and where necessary beyond that.

4.7 Confidentiality, when requested, will be given the highest priority. Nevertheless, relevant information will be subject of statutory rules governing disclosure. For misconduct cases that fall outside the scope of a criminal investigation, confidential information will be handled in a similar way to criminal intelligence. Where there can be no adverse effect on the person accused and a fair hearing can be guaranteed, immunity as to the disclosure of confidential information will always be sought.

4.8 For any officers, staff or volunteers who are concerned in coming forward to report any suspicion of corruption or misconduct the Force provides an anonymous and confidential digital reporting platform called 'Integrity Messenger.' This system allows two-way communication with the PSD Counter Corruption Unit (CCU) whilst still preserving the anonymity of the person reporting for as long as they feel the need. Two way digital dialogue allows for rapport and confidence building, which in turn can lead to the person reporting

providing their personal details. This affords any linked investigation with an opportunity to pursue further lines of enquiry.

4.9 A confidential telephone reporting system, maintained by the CCU, is also available to all Officers and Staff. Telephone calls are taken in person between the hours of 8am and 4pm and outside of these times, there is a voicemail facility. This facility operates on both an external and internal telephone number.

In the reporting period 1st April 2019 to 31st August 2019 a total of 12 confidential referrals were received by the CCU. These are listed in accordance with National Counter Corruption categories as set by the National Crime Agency (NCA):

- Misuse of Force systems x 1
- Controlled drug use x1
- The following are those that fall outside of the NCA corruption categories:
- Other x 1
- Information security x1
- Sickness x 2
- Division/line manager/performance issue x 6

As a comparison there were 19 referrals in the previous reporting period 1st October 2018 to 31st March 2019:

- Misuse of Force systems x 1
- Inappropriate association x 1
- Commit/assist an offender in commission of crime x 3
- The following are those that fall outside of the NCA corruption categories:
- Business interest x 3
- Vetting Information x 2
- Social media/Open Source x 1
- Bullying/grievance x 1
- Division/line manager/performance issue x 7

Of those falling outside the NCA corruption categories, the majority of referrals relate to performance issues. The number of referrals in this category has more than halved since early 2018 which has contributed to the reduction in referrals year on year overall. This is seen as a positive reduction as this was never the purpose of the Integrity Messenger platform. This also demonstrates a change in culture towards learning and development and not punishment where performance and dispute resolution issues are concerned. The Force has recently revised the processes for dealing with dispute and grievance and wherever possible informal resolution will be considered first.

4.10 No information exists within the Force to suggest that there has been a reduction in the confidence of the confidential reporting gateways provided to police officers, police staff and volunteers. The organisation appear comfortable reporting issues openly in person to PSD. The department still receive overt queries and give regular advice on how to deal with unsatisfactory performance. The Force achieved 'good' for its HMICFRS (Her Majesty's Inspectorate of Constabulary and Fire and Rescue Service) inspection rating in relation to how well it maintains and ethical culture and lawful workforce behaviour.

4.11 The Force has an effective counter-corruption strategic assessment and control strategy. The Force makes good use of the integrity registers regarding notifiable associations and business interests.

5. Financial Implications and Budget Provision

5.1 No specific financial implications are noted.

6. Human Resources Implications

6.1 No specific HR implications are noted.

7. Equality Implications

7.1 This document has been drafted to comply with the general and specific duties in the Equality Act 2010; Data Protection Act; Freedom of Information Act; ECHR; Employment Act 2002; Employment Relations Act 1999 and other legislation relevant to policing.

7.2 This procedure is robust and the evidence shows there is no potential for discrimination and that all opportunities to promote equality have been taken.

8. Risk Management

8.1 It is essential the public have confidence in the service that Nottinghamshire Police provide.

8.2 The overwhelming majority of individual members of Police personnel including police officers, staff and volunteers within Nottinghamshire Police are

dedicated, hard working, compassionate, and deliver policing services with a high degree of integrity. Regrettably, there are a small number of Police personnel that are guilty of and vulnerable to, unethical behaviour, dishonesty and corruption. The harm they do far outweighs the numbers they represent.

8.3 We all have a part to play in enhancing the integrity and reputation of the Force. This process starts with recognition that we are all individually accountable for our actions and responsible for our behaviour.

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

9.1 By having a Professional Standards Reporting Procedure we are able to set out ways that staff can make reports concerning breaches of Professional Standards and ensure we support the Force vision and values.

10. Changes in Legislation or other Legal Considerations

10.1 There are no changes in legislation or other legal considerations relating to this report.

11. Details of outcome of consultation

11.1 No consultation has been undertaken in relation to this report as the purpose is to provide an update to JASP only.

12. Appendices

12.1 There are no appendices attached to this report.

For Information	
Public/Non Public	**Public**
Report to:	**Joint Audit and Scrutiny Panel (JASP)**
Date of Meeting:	**15th November 2019**
Report of:	**DCC Barber** **Charlie Radford, Chief Finance Officer OPCC**
Report Author:	**Amanda Froggatt, Strategic Support Officer**
E-mail:	**amanda.froggatt@nottinghamshire.pnn.police.uk**
Other Contacts:	
Agenda Item:	**15**

Joint Audit and Scrutiny Panel Proposed Work Plan 2020

1. Purpose of the Report

1.1 The purpose of this report is to present the proposed work plan for the Joint Audit and Scrutiny Panel for 2020.

2. Recommendations

2.1 That Joint Audit and Scrutiny Panel members note the report and attached appendix, and agree the contents.

2.2 That members of the Joint Audit and Scrutiny Panel note the key themes identified to accompany each of the Force Audit and Inspection reports.

3. Reasons for Recommendations

3.1 To enable the Panel to fulfil its scrutiny obligations with regard to Force activity.

4. Summary of Key Points

4.1 The proposed workplan has been discussed with members and prepared based on the business planning cycle for both the OPCC and Nottinghamshire Police.

4.3 The proposed Joint Audit and Scrutiny work plan has been prepared in consultation with the Chief Finance Officer in order to fulfil our statutory obligations with regards to reporting in these areas of business.

5. Financial Implications and Budget Provision

5.1 There are no financial / budget implications arising from this report.

6. Human Resources Implications

6.1 There are no direct HR implications as a result of this report.

7. Equality Implications

7.1 There are no direct HR implications as a result of this report. HR implications resulting from specific actions will be managed on a case by case basis.

8. Risk Management

8.1 There are no risk management issues arising from this report.

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

9.1 Any policy implications will be subject to current policy development process.

10. Changes in Legislation or other Legal Considerations

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

11. Details of outcome of consultation

11.2 The proposed work plan has been produced in partnership between the Force and the OPCC.

12. Appendices

12.1 Appendix 1: Proposed Joint Audit and Scrutiny Panel Work Plan 2020.

PROPOSED JOINT AUDIT AND SCRUTINY PANEL WORK PLAN 2020

24 FEBRUARY 2020 AUDIT PLANNING MEETING			
	Force Assurance Mapping Report	Annually	Force – Amanda Froggatt
	New Internal Audit Plan 2019/20	Annually	Mazars – Brian Welch
	PCC Update Report	Each Meeting	OPCC – Phil Gilbert
	Budget Reports (for information) • Treasury Management Strategy • Reserves Strategy • Capital Report • MTFS • Budget Report	Annually	OPCC – Charlie Radford
	External Audit Plan (if available)	Annually	Ernst and Young
	Internal Audit Progress Report	Each Meeting	Mazars – Brian Welch
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMIC, AGS improvements) **Key theme for Force Audit Report – Change Programme Outcomes (including new Force Model), summary of completed and future ADA proposals**	Each meeting	OPCC - where appropriate Force – Amanda Froggatt
	Use of Force Update		
	OPCC Report on Compliance with Freedom of Information Requests and the Specified Information Order	6-Monthly	OPCC – Lisa Gilmour
	Force Assurance Report on Compliance with Freedom of Information and Data Protection Requests	6-Monthly	OPCC – Pat Stocker
	Force Report on Monitoring, Review and Assurance of the Publication Scheme	6-Monthly	Force – Pat Stocker

DRAFT

29 MAY 2020 YEAR END MEETING			
	Annual Internal Audit Assurance Report (including review of past year and audit schedule for 2018/19)	Annually	Mazars – Brian Welch
	New Internal Audit Plan 2019/20	Annually	Mazars – Brian Welch
	Draft CC's Statement of Accounts 17/18 Draft Group Statement of Accounts 17/18	Annually	OPCC – Charlie Radford Force – Mark Kimberley
	Draft Annual OPCC Governance Statement 2017/18 Draft Annual Force Governance Statement 2017/18	Annually	OPCC – Charlie Radford Force – Amanda Froggatt
	External Audit Plan	Annually	Ernst and Young
	Review of OPCC Risk Management arrangements Review of Force Risk Management arrangements **Key Theme for Risk – GDPR**	6-Monthly	OPCC – Kevin Dennis Force – Amanda Froggatt
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMIC, AGS improvements) **Key theme for Force Audit Report – Wellbeing, PDR's and Talent Management**	Each meeting	OPCC - as required Force – Amanda Froggatt
	PCC Update Report	Each Meeting	OPCC – Phil Gilbert
	Force Report on Complaints and Misconduct, Investigations, New and Open Cases	6-Monthly	Force – Supt PSD
	Force Report on IPCC Investigations, Recommendations and Actions	6-Monthly	Force – Supt PSD
	Force Report of Whistle Blowing and Anti-Fraud and Corruption Policies and Review of Compliance	6-Monthly	Force – Supt PSD
	Force Report on Business Continuity Compliance and Assurance Testing and Exercising	Annually	Force – Amanda Froggatt

DRAFT

31 JULY 2020 FINAL ACCOUNTS MEETING			
	External Audit ISA260 Government Report	Annually	
	Final Force Statement of Accounts 17/18 Final Group Statement of Accounts 17/18 (OPCC and Force AGS to be incorporated)	Annually	OPCC – Charlie Radford Force – Mark Kimberley
	Summary set of Accounts for Publication	Annually	OPCC – Charlie Radford
	Internal Audit Progress Report	Each Meeting	Mazars – Brian Welch
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMIC, AGS improvements) **Key theme for Force Audit Report – IT Strategy and Demand**	Each meeting	OPCC - as required Force – Amanda Froggatt
	Review Working Together Agreement incorporating SoD, Fin Regs and SOs	Annually	OPCC – Kevin Dennis
	Force Treasury Update Report to show compliance with Treasury Management Strategy	Annually	OPCC – Charlie Radford
	OPCC Report on Compliance with Freedom of Information Requests and the Specified Information Order	6-Monthly	OPCC – Lisa Gilmour
	Force Assurance Report on Compliance with Freedom of Information and Data Protection Requests	6-Monthly	Force – Pat Stocker
	Force Report on Monitoring, Review and Assurance of the Publication Scheme	6-Monthly	Force – Pat Stocker
	PCC Update Report	Each Meeting	OPCC – Phil Gilbert

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27 NOVEMBER 2020 CHAIR TOPIC			
	Internal Audit Progress Report	Each Meeting	Mazars – Brian Welch
	Review of OPCC Risk Management arrangements Review of Force Risk Management arrangements **Key Theme for Risk – To be Advised**	6-Monthly	OPCC – Kevin Dennis Force – Amanda Froggatt
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMIC, AGS improvements) **Key theme for Force Audit Report – Neighbourhoods**	Each meeting	OPCC - Where appropriate Force – Amanda Froggatt
	Annual Audit Letter – External Audit	Annually	Ernst and Young
	PCC Update Report	Each Meeting	OPCC – Phil Gilbert
	Force Report on Complaints and Misconduct, Investigations, New and Open Cases	6-Monthly	Force – Supt PSD
	Force Report on IPCC Investigations, Recommendations and Actions	6-Monthly	Force – Supt PSD
	Force Report of Whistle Blowing and Anti-Fraud and Corruption Policies and Review of Compliance.	6-Monthly	Force – Supt PSD

Review of key areas to support Corporate Governance arrangements*: (review of requirements to be finalised and then prioritised. Areas to be identified for reports or internal audits and will be informed by assurance mapping)*

Sources of assurance to include:

- Effectiveness of partnerships
- Monitor the application of the pension schemes
- Review of delegated powers
- Review Register of Interests
- Financial Management/Financial Systems
- Legislative change

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- Scheme of delegation
- Annual report from PSD on their activity - i.e. no of dismissals final letters and nature of the event
- By exception report on Insurance Claims covering Public Liability, Employer's Liability, Motor Liabilities including Costing and Lessons Learned
- By exception report on Outcomes of Public Finance Initiative Contracts

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