

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

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**MINUTES**  
**OF THE MEETING OF THE**  
**NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER**  
**JOINT AUDIT & SCRUTINY PANEL**  
**HELD ON THURSDAY 30 JUNE 2016**  
**FORCE HEADQUARTERS, SHERWOOD LODGE,**  
**ARNOLD, NOTTINGHAMSHIRE NG5 8PP**  
**COMMENCING AT 2.00 PM**

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**MEMBERSHIP**

(A - denotes absent)

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

**OFFICERS PRESENT**

Paddy Tipping	Police and Crime Commissioner
Charlotte Radford	Chief Finance Officer, OPCC
Sue Fish	T/Chief Constable, Notts. Police
Brian Welch	Mazaars
Simon Lacey	KPMG (External Audit)
Jackie Alexander	Notts Police
Natalie Baker	Governance & Business Planning Manager
Mark Kimberley	Head of Finance, Notts Police
Phil Gilbert	Head of Strategy & Assurance. OPCC
Paul Dawkins	ACO, Finance (via video link)
Alison Fawley	Democratic Services, Notts. County Council

**1. Election of Chair**

Stephen Charnock was elected as Chairman of the Panel for 2016/17.

**2. APOLOGIES FOR ABSENCE**

Apologies for absence were received from Andrew Cardoza, KPMG and Mike Clarkson, Mazars.

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

None.

**4) MINUTES OF THE PREVIOUS MEETING**

The minutes of the last meeting held on 11 February 2016, having been circulated to all Members, were taken as read and were confirmed and were signed by the Chair.

**5) IPCC INVESTIGATIONS**

Jackie Alexander introduced the report which informed the Panel of complaint and conduct matters which had been referred by Nottinghamshire Police to the IPCC during the period 1 October 2015 – 31 March 2016 together with the relevant recommendations and actions. The data summarised in the report indicated a drop in the number of referred cases and it was hoped that this positive sign would be sustainable. Nottinghamshire Police maintained a good application of the IPCC statutory guidance regarding compliance with voluntary and mandatory referrals.

There was some disparity in how Forces recorded complaints and it was noted that Nottinghamshire recorded a larger number of low level complaints for local investigation but this was not considered to be a problem.

**RESOLVED 2016/001**

That the Panel had received assurance of the processes in place relating to IPCC investigations as detailed in the report.

**6) FORCE IMPROVEMENT ACTIVITY**

Jackie Alexander introduced the report which informed the Panel of force improvement activity, lessons learned monitoring and the implementation of learning from the IPCC 'lessons learned' bulletins during the period October 2015 – March 2016.

Legally the Force have a duty to respond to learning items from IPCC investigations. In Nottinghamshire all actions are recorded in a database and sent to the relevant departments for feedback on compliance and reasons if they are not compliant. Lessons learned are for individuals rather than the

Force as a whole but if trends emerged the issue would be moved to Force learning.

**RESOLVED 2016/002**

That the report be noted.

7) **PROFESSIONAL STANDARDS CONFIDENTIAL REPORTING PROCEDURE**

Jackie Alexander introduced the report which informed the Panel about the Professional Standards Confidential Reporting Procedure and outlined how the organisation in general and the Professional Standards Directorate (PSD) managed and dealt with members of staff who made reports concerning breaches of Professional Standards and in particular how they would be provided with support and confidentiality when appropriate and necessary.

A piece of work had been commissioned to look at how to ensure a healthy culture of referrals to PSD and to identify and promote other ways of dealing with low level complaints, for example giving staff confidence in approaching their line manager with a problem.

**RESOLVED 2016/003**

That the Panel received assurance for the processes in place relating to confidential reporting as detailed in the report.

8) **ANTI-FRAUD & CORRUPTION POLICY – REVIEW OF COMPLIANCE (OCTOBER 2015 – MARCH 2016)**

Paul Dawkins introduced the report which informed the Panel of the level of compliance against the EMSCU Fraud and Corruption Policy for the period October 2015- March 2016.

During discussion the following points were made:

- It was felt that the report needed to include evidence of where the systems had been tested and challenged and should be across all aspects of fraud and not limited to procurement.
- The Panel discussed the idea of a 'mystery shopper' exercise to test out the validity of the policy.
- There were a number of policies which gave assurance on aspects of fraud & corruption but it would be useful to have a summary report.

## **RESOLVED 2016/004**

- 1) The Panel noted that EMSCU's Commercial Director had received no reports of any fraudulent activity following any audit of procurement activity undertaken by the Force.
- 2) The Panel noted that EMSCU's Head of Supplier Services (to which the Policy directs any individual wishing to report any suspicion of fraudulent activity) had advised that there had been no reports of any fraudulent activity in relation to procurement activity undertaken within Nottinghamshire Police.
- 3) The Panel noted that EMSCU's Head of Supplier Services had written to suppliers to reiterate the Force position in relation to gifts, gratuities and hospitality and that the relevant Force procedure stated that police officers and staff should not accept the offer of any gift, gratuity, favour or hospitality as to do so may compromise their impartiality or give rise to a perception of such compromise.
- 4) The Panel noted that EMSCU's commercial awareness training programme which was launched in December 2013 was being delivered on an ongoing basis and included content on the prevention of fraud and corruption in the procurement process.
- 5) The Panel noted that EMSCU had included reference and guidance to conflict of interests and gifts and hospitality on procurement documents in relation to suppliers notifying us if they have any relationship with any member of the Forces and that links to the Code of Ethics had been included.

### **9) VERBAL UPDATE ON REGIONAL ASSURANCE WORK**

It was agreed to defer this item to the next meeting.

### **10) DRAFT GROUP ANNUAL GOVERNANCE STATEMENT 2015 - 16**

Paul Dawkins introduced the briefing which gave Panel members the opportunity to identify items for inclusion in the annual governance statement from assurances they had received during the year and which had not been included in the draft statement.

During discussions the following points were raised:

- The reports vary across Forces and were difficult to standardise. New guidance would be available in July which may provide a template form.
- High risks should be identified in both statements.

## **RESOLVED 2016/005**

That the draft group annual governance statements for 2016-16 be approved.

### **11) INTERNAL AUDIT – ANNUAL ASSURANCE AND PERFORMANCE REPORT**

Brian Welch introduced the report which was the first annual report from Mazars and provided an adequate assurance rating for the OPCC and the Force.

During discussion the following points were made:

- A limited assurance opinion had been given in six areas and it was noted that part of the opinion reflected areas outside of local control, for example MFSS, but would still need to be addressed. These items had caused concern and work was ongoing to fix the problems. Reports on progress would be brought to each Panel meeting.
- Assurance mapping now has three lines of defence and would be a useful tool for Audit & Scrutiny Panel members. A report on the use of Assurance Mapping would be an agenda item for the September meeting.

## **RESOLVED 2016/006**

That the report be noted.

### **12) UPDATE ON THE CLOSE OF ACCOUNTS**

Charlie Radford introduced the briefing and tabled draft statements of the accounts. The draft statements had been produced using the new accounting system and the hard work of the Finance Team was acknowledged. This was a key year for ensuring that the system could provide the necessary information for the closedown process with a view to the early closure of accounts by 2018. A post closure review would be undertaken to ensure that the process could be brought forward in 2017 in readiness for 2018.

Panel members were asked to provide feedback and or questions directly to Charlie before 31 July 2016.

## **RESOLVED 2016/007**

That Panel members would review the statements of accounts and report back to Charlie Radford by 31 July 2016.

**13) EXTERNAL AUDIT PROGRESS REPORT**

Simon Lacey introduced the report which informed Panel members of the progress made in relation to the External Audit work plan 2016-17.

Interim audit work on the financial statements had progressed well against plan and there were no significant issues at this stage that might impact on future opinion.

**RESOLVED 2016/008**

That the report be noted.

**14) INTERNAL AUDIT PROGRESS REPORT**

Brian Welch introduced the report which provided members with an update on progress against the Internal Audit Annual Plan for 2015-16 and the findings from audits completed to date.

**RESOLVED 2016/009**

That the Panel had received assurance from the audits being undertaken and planned.

**15) AUDIT AND INSPECTION REPORT**

Natalie Baker introduced the report which provided an update to Panel members on the progress against recommendations arising from audits and inspections which had taken place within the Force.

**RESOLVED: 2016/010**

- 1) That the progress made against audit and inspection recommendations be noted.
- 2) That the forthcoming audits and inspections be noted.

**16) RISK REGISTERS – EXTERNAL REVIEW**

Simon Lacey introduced a report which informed Panel members about a review undertaken by KPMG of Local Authority Risk Registers. The report identified the most significant corporate risks nationally and provided assurance that the Chief Constable and Police and Crime Commissioner had included these within the joint risk register to ensure that risks were managed and mitigated against.

During discussion the following points were raised:

- An amended version of the report with links to the identified risks would be circulated to members.
- Simon Lacey agreed to forward the data for Nottinghamshire to the Chair and Chief Finance Officer.

**RESOLVED: 2016/011**

That the contents of the report be noted.

## **17) POLICE & CRIME COMMISSIONER'S UPDATE REPORT**

**The Commissioner introduced the report which provided an overview of current performance, key decisions and his activities to March 2016.**

During discussions the following points were made:

- It had been necessary to use Reserves as anticipated savings were not achieved in 2015-16. Savings would need to be made in the financial year 2016-17 and it was encouraging to see that savings so far this year were ahead of target.
- The Chief Finance Officer was confident that the Force were tackling issues and would be on target this year. Levels of reserves were too low and plans were being put in place to replenish.
- Progress from other PCCs regarding agreement on the way forward for the Strategic Alliance was slower than the Commissioner would like.
- There had been no increase in the level of hate crime reported post Brexit but the Force were using publicity, including using social media, to reassure communities particularly the Polish community.
- There had been changes to the Force leadership since March 2016: Chris Eyre had taken up a new appointment in Cyprus and the Panel expressed thanks for his contributions to meetings. Sue Fish had been appointed as temporary Chief Constable and Simon Torr had been appointed as Deputy Chief Constable. A new Assistant Chief Constable would be in post in the near future.
- The Chair congratulated the Commissioner on his reappointment.

**RESOLVED: 2016/012**

That the report be noted.

**18) PANEL WORK PLAN AND MEETING SCHEDULE**

**RESOLVED: 2016/013**

That the report be noted.

The meeting closed at 4.15pm

CHAIR