



Nottinghamshire

POLICE & CRIME COMMISSIONER

JOINT AUDIT AND SCRUTINY PANEL

Tuesday 18 February 2014 at 2.00 pm

COUNTY HALL
WEST BRIDGFORD
NOTTINGHAM

Membership

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

A G E N D A

1. Apologies for absence
2. Declarations of Interest by Panel Members and Officers (see notes below)
3. To agree the minutes of the previous meeting held on 12 December 2013
4. Police and Crime Commissioner - Update Report
5. Financial Reports of the Police and Crime Commissioner 2014-15
6. Internal Audit Progress Report
7. Audit and Inspection
8. Risk, Assurance and Audit Plan 2014/15 (2013/14 Q4)
9. Business Continuity Management Report
10. Freedom of Information monitoring, review and assurance

11. Force Report on Information Management Freedom of Information and Data Protection Update
12. Anti-Fraud & Corruption Policy – Review of Compliance (April – September)
13. a) Verbal update on the Audit and Scrutiny Panel Workshop
b) External Audit Progress Report
14. Review of Joint Audit & Scrutiny Panel Terms of Reference
15. Panel Work Plan and Meeting Schedule

NOTES

- Members of the **public are welcome to attend** to observe this meeting
- For **further information** on this agenda, please contact the Office of the Police and Crime Commissioner on 0115 9670999 extension 801 2005 or email nopcc@nottinghamshire.pnn.police.uk
- A **declaration of interest** could involve a private or financial matter which could be seen as having an influence on the decision being taken, such as having a family member who would be directly affected by the decision being taken, or being involved with the organisation the decision relates to. Contact the Democratic Services Officer: sara.allmond@nottscc.gov.uk for clarification or advice prior to the meeting.

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

MINUTES
OF THE MEETING OF THE
NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER
JOINT AUDIT & SCRUTINY PANEL
HELD ON THURSDAY 12 DECEMBER 2013
AT COUNTY HALL, WEST BRIDGFORD
NOTTINGHAM
COMMENCING AT 10.00 AM

MEMBERSHIP

(A - denotes absent)

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

OFFICERS PRESENT

Jackie Alexander	Head of PSD, Notts. Police
Sara Allmond	Democratic Services Notts County Council
Adrian Benselin	KPMG (External Audit)
Chris Eyre	Chief Constable, Notts. Police
Margaret Monckton	ACO Resources, Notts. Police
Paddy Tipping	Police and Crime Commissioner
Charlie Radford	Chief Finance Officer, OPCC
Angela Ward	Baker Tilly (Internal Audit)

1. APOLOGIES FOR ABSENCE

An apology for absence was received from Phil Hodgson

2. DECLARATIONS OF INTERESTS BY MEMBERS AND OFFICERS

None

3. MINUTES OF THE PREVIOUS MEETING

The minutes of the previous meeting held on 24th September 2013 were agreed as an accurate record and signed by the Chairman.

4. POLICE AND CRIME COMMISSIONER – UPDATE REPORT

Paddy Tipping introduced his report which provided an overview of current performance, key decisions made and his activities since October 2013.

The Panel were advised that a slight overspend was anticipated at the end of the year and tighter management reflected the tighter budget. The budget included the provision for an extra 90 police officers and 60 PCSOs

The future outlook was for reduced spending over the next three years, although the actual figures were not yet know. The budget for 2014/15 was currently being prepared and required further work before it would be brought to the Panel.

The reduction in budgets required different thinking and regional collaboration would become more important to enable the budget for local policing to be protected. Discussions were ongoing in the region and it was hoped that at least some forces would agree that further collaboration was the way forward.

During discussions, the following points were raised:-

- Some of the large targets were not on track. The target to reduce crime by 10% was no longer achievable. A reduction in crime was still anticipated by the end of the year but it would not be a 10% reduction. Crime was going up in the whole country so Nottinghamshire was not unique. The targets would be reviewed for 2014/15 to ensure they were realistic, whilst still challenging.
- The validity of the crime figures was questioned as in some crime types the numbers of crimes were small so a small increase in crimes could have a huge impact on the figures. There was also an issue regarding what different forces classed as crime and recorded, meaning that comparisons between forces could be difficult.
- The Home Secretary had said that the only target was to reduce crime, but this meant that the protection of the vulnerable could be adversely affected, so the Force was also keeping this as a priority.
- In relation to the recruitment of officers and PCSOs from BME backgrounds, 7.6% of applicants to the Police Officer posts were from BME backgrounds and nearly 10% were for PCSOs. The cadets scheme had an intake of 18% from BME backgrounds, which would hopefully translate into officers in future years. The National College of Policing was doing some work in this area and Nottinghamshire were making more progress in this area than most other Forces. Some more detailed figures

would be provided at a future meeting. The national part of the recruitment process was presently a barrier to BME applicants being shortlisted and this was being investigated by the College.

RESOLVED 2013/035

To note the report

5. IPCC INVESTIGATIONS

Jackie Alexander introduced the report which set out the number of cases referred to the Independent Police Complaints Commission (IPCC) and how the Force took the learning from these cases forward.

During discussions, the following points were raised:-

- If the IPCC chose not to investigate a matter themselves they would refer it back quite quickly as they had a dedicated assessment team.
- The IPCC budget was being reduced, meaning more cases were being investigated locally. There had been a big increase in referrals in the last 12 months nationally. The Force had a good relationship with the IPCC and were trusted to carry out a thorough investigation internally. The Force was required to feed back to the IPCC on the outcome of these investigations.
- The Police Regulations meant that if a case was being investigated as a criminal case as well as a misconduct case then the criminal case must be concluded first, which could delay the misconduct proceedings for a long period of time.
- The Force had developed a training DVD and it was being used by Forces across the country. A contract had been developed which made the standards expected of officers and staff absolutely clear.
- Data comparing with other Forces was not yet available following changes to legislation. Information would be brought to a future meeting when available.

RESOLVED 2013/036

That the Panel had received assurance on the process for referrals of investigations to the Independent Police Complaints Commission and lessons learned from these and other cases around the country.

6. INTERNAL AUDIT PROGRESS REPORT

Angela Ward introduced the report which provided an update on progress against the Internal Audit Plan and the findings from audits completed.

During discussions, the following points were made:-

- The signed memorandum of understanding would be brought to the next meeting
- The question of six monthly reporting by internal auditors was raised, which would be investigated.

RESOLVED 2013/037

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

7. AUDIT & INSPECTION

Margaret Monckton introduced the report which provided the Panel with an update on the status of audits and inspections taking place in Force as well as identifying any future audits and inspections expected.

During discussions the following points and actions were raised:-

- The information provided in the document would be improved to help the Panel have a clearer understanding of the process and receive assurance that all actions had been completed satisfactorily.
- Internal Audit looked at the documents has part of their follow up assessment and would raise any issues if they were not satisfied that actions had been completed fully

RESOLVED 2013/038

That the Panel had received assurance that recommendations from past audits, inspections and reviews were being taken forward and implemented.

8. VERBAL UPDATE ON PEOPLE PROGRAMME

Margaret Monckton advised the Panel that the People Programme was currently being developed and a report would be brought to a future meeting. The main work on the Programme would be complete by the end of January and the aim of the programme was to ensure the Force got the best out of its people and that the wellbeing and morale of employees was as good as it could be.

When recruiting, the Force were now ensuring that the people recruited had the right attitude and behaviours and a new talent management and succession planning programmes were being developed. There was also a programme of activity planned to develop line managers.

A staff survey would be carried out before the end of March. A People Board had been set up with people from across the organisation which was chaired

by Capital one who had been voted the best organisation for staff morale in the country. They chaired the Board so it remained independent of the Chief Officer Team.

The staff survey results from 2012/13 were being used as the base line. In that survey 22.7% of staff felt valued, which was in line with other forces in the country. The aim was to get this figure much higher

The whole estate would be looked at to improve the working environment for employees and also new cars were being provided which meant that employees could take pride in where they worked.

The use of mobile devices was being developed including an iPad pilot, with the intention to reduce the amount of paper used by the Force.

RESOLVED 2013/039

To note the update and to receive a report on the People Programme at a future meeting.

9. SUMMARY STATEMENT OF ACCOUNTS

Charlie Radford introduced the report which provided a Summary Statement of Accounts for the financial year 2012-13 for publication on the internet. This document was much clearer than the full statement of accounts and enabled the public to see how the budget had been spent for 2012-13.

During discussions, the following point was clarified:-

- Comparable data for staffing would be included and income and expenditure comparable figures.

RESOLVED 2013/040

That the format of the Summary of Accounts be agreed, with the additional information listed above being included.

10. EXTERNAL AUDIT ANNUAL AUDIT LETTER

Adrian Benselin presented the report which provided the Panel with the Annual Audit Letter which was the final stage in the Statement of Accounts 2012-13 process.

RESOLVED 2013/041

That the Panel accepted the Annual Audit Letter and referred it to the Police and Crime Commissioner and Chief Constable for approval.

11. BASE BUDGET REVIEW

Paddy Tipping introduced the report which provided the executive summary for the review carried out by Deloitte into the force revenue budget.

During discussions, the following points were clarified:-

- £2.4m savings needed to be made from the estate. There had been delays and slippages in this area as closures were always highly controversial and had to be managed properly. The intention was to match the estate to the target operating model so that the estate worked effectively with how the Force delivered services. It was anticipated that this would result in some large police stations being closed and smaller local bases being created instead. The future vision for the estate was very different to the current offering and it would take time to change.
- There had been slippage in the IT capital programme as this was tied into a regional collaboration which was now coming to fruition, although not as positively as hoped.
- HR were very expensive but they were doing a lot of work as part of the change programme, so were currently needed. There was a plan to drive down the costs in this area. The long term plan was to bring Corporate Services down to 10% of the budget.
- Each planned change in relation to the estate would have a business case prepared which would only be approved if it was in line with the strategy, didn't have any negative impact on local policing and generated savings.
- It was planned that in future years the budget would be better aligned with the priorities set out in the Police and Crime Plan and each department head would have their own budget ensuring ownership.
- An update report would be provided at a future meeting.

RESOLVED 2013/042

That the Panel had received assurance from the Base Budget Review and would receive future reports to receive assurance that the opportunities identified in the report were being implemented.

12. ALCOHOL STRATEGY AND ACTION PLAN UPDATE

Paddy Tipping introduced the report which provided an overview on progress made on the Alcohol Strategy and Action Plan.

Local Councils with responsibility for licensing were all asked whether they would be interested in implementing a Night Time Levy, however only Nottingham City Council expressed an interest.

The report set out proposals for a more joined up and focussed approach to ensure closer working with partners. The Strategy and Action Plan was currently out for comment with partners. Overall the response had been positive so far.

During discussions, the following point was clarified:-

- Discussion were currently taking place regarding prevention work with 13 to 18 year olds as many schools were self governed so work needed to be undertaken on how to engage with schools.

RESOLVED 2013/043

That the Alcohol Strategy Plan and Action Plan be noted.

13. WORK PLAN AND SCHEDULE OF MEETINGS

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

RESOLVED 2013/044

That the work plan and schedule of meetings be noted.

The meeting closed at 12.15 pm

CHAIR

For Consideration	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	18th February 2014
Report of:	Paddy Tipping Police Commissioner
Report Author:	Kevin Dennis
E-mail:	kevin.dennis@nottinghamshire.pnn.police.uk
Other Contacts:	Kevin Dennis
Agenda Item:	4

POLICE AND CRIME COMMISSIONER'S UPDATE REPORT

1. PURPOSE OF THE REPORT

1.1 The Panel to note the contents of this update report.

2. RECOMMENDATIONS

2.1 The Panel to note the content of this update report, consider and discuss any issues or concerns and provide the Commissioner with advice as appropriate.

3. REASONS FOR RECOMMENDATIONS

3.1 To provide the Panel with sufficient information about performance so that they can review progress and provide the Commissioner with appropriate advice in support of achieving his Police and Crime Plan targets.

4. Summary of Key Points

POLICING AND CRIME PLAN – (2013-18)

4.1 Performance against targets across all themes is contained in the tables at **Appendix A** up to November 2013. Data for December 2013 is still being finalised and is currently not available for this report.

4.2 It should be emphasised that some of the performance data is only readily available on a quarterly basis (especially partnership and other national data) and therefore not available for this report. However, some data is now reported on to show comparative City and County performance.

4.3 The Performance data contained in this report has been taken from the Force's detailed and validated unrestricted monthly Performance and Insight Reports and

Commissioner's weekly performance reports in respect of key Policing Plan priorities.

- 4.4 The Commissioner has a statutory duty to ensure that the Force is efficient, effective and provides value for money. A range of performance indicators relating to the 7 strategic themes contained within the current Police and Crime Plan are monitored by the Office of Commissioner and where performance is identified as a risk the Commissioner holds the Chief Constable to account to seek assurances that action is being taken to address the performance concerns.
- 4.5 The Commissioner will do this through bilateral weekly meetings with the Chief Constable and through an extended bimonthly Resource and Performance meeting with the wider Chief Officer Team. In addition, the Commissioner his Deputy and various members of his office attend a number of Force and Divisional performance meetings where necessary assurances are sought and obtained.
- 4.6 The following performance indicators identify areas which are currently off target. Further explanation is given in the respective theme and also **Appendix A**:
- 60% of people agree that the Police and Council are dealing with local Anti-Social Behaviour and other crime issues – Currently 51.2%
 - Improve the current timeliness and quality of files – quality and timeliness still an issue at Magistrates Court
 - Reduce % of ineffective trials in the Magistrates' and Crown Courts – still an issue in both Crown and Magistrates Courts
 - 10% reduction in All Crime across the Force - +1.4% in November 2013
 - 37% detection rate (including Positive Outcomes) for recorded offences – 31% in November 2013
 - 10% increase (year on year) in the numbers of confiscation and forfeiture orders compared to 2012-13: -4.7% compared to previous year
 - Total number of days lost due to sickness (3.7%) – Officers only 4.05%
 - BME representation (to close the gap) - Current BME representation in Force stands at 4.1% for Officers, and 4.6% for staff (November 2013) and BME community representation is 11.2%.
- 4.7 The Commissioner is satisfied that the Chief Constable is aware of these issues and is taking appropriate action to address them all.

Theme 1 Protect, support and respond to victims, witnesses and vulnerable people

Performance

- 4.8 As of September 2013, it will be seen that 87.1% of victims of crime are completely, very or fairly satisfied with the service they have received from Nottinghamshire Police which is just 2.9% away from the 90% target. The County is 87.8% and the City is 86.2%.

4.9 In November, 98.5% of victims and witnesses were extremely or very satisfied with the services provided in Court and the 90% target has been achieved in each of the last 11 months. Year-to-date figures (April - Nov 2013) show an average satisfaction level of 94.2%, while 88.0% felt confident to give evidence.

4.10 No further updates have been received since June 2013, so currently over the past 12 months 51.2% of people agreed that the Police and Council are dealing with local anti-social behaviour and other crime issues. This is an improvement since March this year and now 8.8% short of the 60% target to be achieved by 2015-16.

4.11 The Force has been set a target (5% year on year compared to 2012-13) to reduce the number of repeat victims of:

- Domestic Violence (DV)
- Hate Crime (HC)
- Anti-Social Behaviour (ASB)

4.12 During the year repeat victimisation^a has decreased by 10.2% which is driven by ASB (-11.5%). The Table below also shows the current performance for Domestic Violence (+13.0%) and Hate Crime (+34.1%):

Domestic Violence	Year-to-date performance				Target Position		
	2013/14	2012/13	Volume Change	Percentage Change	Current Target	Difference from Target	Percentage Difference from Target
City	547	469	78	16.6%	446	101	18.5%
County	750	718	32	4.5%	682	68	9.1%
Force	1297	1187	110	9.3%	1128	169	13.0%

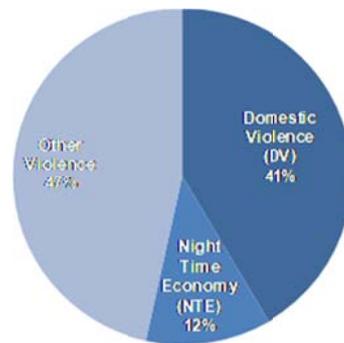
Hate Crime	Year-to-date performance				Target Position		
	2013/14	2012/13	Volume Change	Percentage Change	Current Target	Difference from Target	Percentage Difference from Target
City	21	11	10	90.9%	10	11	52.4%
County	20	17	3	17.6%	16	4	20.0%
Force	41	28	13	46.4%	27	14	34.1%

Anti-Social Behaviour	Year-to-date performance				Target Position		
	2013/14	2012/13	Volume Change	Percentage Change	Current Target	Difference from Target	Percentage Difference from Target
City	2,050	2,243	-193	-8.6%	2,131	-81	-4.0%
County	2,522	3,125	-603	-19.3%	2,969	-447	-17.7%
Force	4,572	5,368	-796	-14.8%	5,100	-528	-11.5%

^a A repeat victim is defined as an individual that has been a victim of that crime, or incident in terms of ASB, in both the current month and at least once in the preceding twelve months. So, for example, a repeat victim of Domestic Violence in June 2013 will have been a victim of Domestic Violence in June and at least once in the period between June 2012 and May 2013.

4.13 The numbers for Hate Crime are low which makes the percentage change more pronounced. The City has greater repeat victimisation in both crime types (+18.5% DV, +52.4% HC).

4.14 The pie chart below identifies that Domestic Violence equates to 41% of all violence and clearly exceeds Night Time Economy violent crime (12%). However, a large proportion of DV crimes are repeats and emphasises the importance of reducing repeat victimisation through positive Police action and partnership support.



4.15 There is no new data since the last report for the number of people killed or seriously injured (KSI). Currently, Quarter 1 and 2 figures reveal that between January and June 2013, the Force recorded a 23.5% reduction in KSIs when compared to the same period of 2012. This equates to 64 fewer people Killed or Seriously Injured on Nottinghamshire's roads, and means that the Force is currently on course to meet the long term target reduction for this measure. While all user groups are showing a reduction, the vulnerable road user groups (motorcyclists, pedal cyclists and pedestrians) show the greatest reductions in percentage terms.

4.16 However, Panel members may be aware through media coverage of the number of fatal road accidents during December 2013. The figures for December will be reported to the next meeting of the Panel once finalised.

Activity:

4.17 The Force recognises that Hate Crime and Domestic Violence repeat victimisation is a concern and continues to take positive action. The Force continues with its '**Alliance Against Violence**' campaign which will address all aspects of violence.

4.18 The Force is aware that placing greater emphasise on taking swift action to tackle repeat offending for DV will help reduce violent crime overall but most importantly reduce the misery for many repeat DV victims. However, in order to prevent further repeat victimisation the Police need swift help from partners also.

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

- 4.19 Performance on this measure remains stable in the short-term, however it is not possible to make accurate long-term judgments regarding trend due to a lack of data.
- 4.20 The Crown Court continues to show the stronger performance this month, with improvements in both file quality and timeliness meaning that the target has been achieved (year-to-date to October 2013). It should be noted, however, that performance in both September and October was below the average for the year so far, which is positive, however this should be taken in context with a high average error rate due to previous poor performance, and also that lack of substantial information for this indicator does mean that no robust conclusions can be derived from the information. The position compared to target for timeliness has deteriorated when compared to that reported at the end of August.
- 4.21 The Magistrates Court is experiencing an improvement in performance in terms of the quality of files submitted this month, with the error rate in October being the lowest recorded this year, meaning that the target improvement has been achieved. In contrast to this, the late rate was at its highest this year (30.8% of 13 files submitted), and the year-to-date timeliness target has not been met.
- 4.22 Year-to-date figures to November 2013 show that the current effective trial rate is 43.8% for the Crown Court and 41.4% for the Magistrates Court, meaning that neither court is achieving the target 50% effective trial rate.
- 4.23 Performance across both courts has been fairly static over the last 14 months, and there is little change in the effective trial rate for either court this month. The proportion of cracked trials (where the defendant offers an acceptable plea or the prosecution offers no evidence) and ineffective trials (where no final outcome is reached) also remain unchanged this year.
- 4.24 Current trends suggest that the 50% target will be a challenging one to achieve this year. Improvements in file quality and timeliness may help to support the Criminal Justice Service in improving the effective trial rate for the courts.

Activity:

- 4.25 The Force continues to work with its local criminal justice partners to take action to increase the quality and timeliness of the evidence submitted by officers. Key issues have been identified and a Force working group has been established to tackle the range of issues.

Theme 3: Focus on those local areas that are most affected by Crime and anti-social behaviour (ASB)

- 4.26 The Force continues to record a year-to-date increase in All Crime, and is therefore not achieving the 10% reduction target. On a positive note, performance improvements have continued into **November**, with a 4.1% reduction in the month compared to November 2012. This means that the year-to-date increase is the smallest it has been this year, at **1.4%** (637 offences).

- 4.27 In terms of divisional performance, both City and County are recording increases year-to-date, and similarly to the Force level picture, these increases are notably smaller than those reported previously this year (**City +1.0%** or 212 offences, **County +1.7%** or 425 offences).
- 4.28 As discussed in the previous report, Theft & Handling and Violence Against the Person offences account for a large proportion of the Force's All Crime, and these groups continue to record year-to-date increases. However, there remain signs of improvement in VAP, with the Force recording its second consecutive month-to-date reduction in VAP offences this month.
- 4.29 Both Burglary Dwelling and Robbery remain a concern, with large percentage increases recorded in both of these offence types year-to-date. Although, it should be noted, that Robbery offences decreased in the month of **November**, and as this is a low volume offence, the effect of this month-to-date reduction is apparent in the year-to-date performance.
- 4.30 The Force is currently recording a detection rate of 31.0% year-to-date, a 5.4 percentage point (pp) drop compared to same period of last year and 6.0pp below the Police & Crime Plan target. Despite the low rate the Force has around 392 offences which are still 'Awaiting Detection Approval'.
- 4.31 Once these are finalised the Force detection rate for the year so far will rise to 33.1%, still a considerable distance away from target. Reviewing detection performance as a whole, the Force has recorded a reduction in detection volume of 10.2% or 1,706 less detections than last year, and this is compared to an increase in overall offence volume of 1.3% (605 more offences than last year).
- 4.32 The table below shows the Force's Priority Areas which have a mixed performance, with the majority now recording increases in crime. One area which is highlighted as showing strong performance is Aspley in the City, where a reduction of over 60 offences in the month of **November** has had a noticeable effect on year-to-date performance.

Partnership Plus Area	Year-to-date performance				Target Position		
	2013/14	2012/13	Volume Change	Percentage Change	Current Stretch Target	Difference from Stretch Target	Percentage Difference from Stretch Target
Arboretum	1,006	860	146	17.0%	654	352	35.0%
Aspley	1,066	1,174	-108	-9.2%	892	174	16.3%
Bridge	577	681	-104	-15.3%	518	59	10.2%
Bulwell	1,300	1,288	12	0.9%	979	321	24.7%
St Ann's	849	736	113	15.4%	559	290	34.2%
Carr Bank	220	197	23	11.7%	162	58	26.4%
Portland	573	543	30	5.5%	445	128	22.3%
Woodlands	557	508	49	9.6%	417	140	25.1%
Hucknall Central	250	299	-49	-16.4%	245	5	2.0%
Hucknall East	448	339	109	32.2%	278	170	37.9%
Kirkby East	399	414	-15	-3.6%	339	60	15.0%
Sutton Central/East	774	710	64	9.0%	582	192	24.8%
Castle/Magnus	870	877	-7	-0.8%	737	133	15.3%
Worksop	1,768	1,602	166	10.4%	1346	422	23.9%
Eastwood South	507	366	141	38.5%	300	207	40.8%
Netherfield And Colwick	394	437	-43	-9.8%	358	36	9.1%

Activity:

4.33 This Force's proactive work to reduce violence, such as the '**Alliance Against Violence**' campaign, is having a positive effect on performance.

4.34 The Commissioner has completed his plan of activity visiting all key crime areas with the Deputy Commissioner during October and November 2013 and has a better understanding of the issues at grass roots levels. He has been assured that what can be done is being done. However, these visits have provided valuable insight into key issues which he will address as part of the Police and Crime Plan and Delivery Plan refresh.

4.35 The Force will continue to use Converter Teams to maximise detection opportunities, with a review process undertaken to ensure that the resources put into the programme are equal to the benefits received.

4.36 A Review of Converter Teams has now been completed and recommendations put forward to senior management for consideration.

4.37 The Force continues to promote the use of Community Resolution disposals^b where appropriate and all officers are currently offered the opportunity to attend a

^b *Community Resolution is an innovative approach to dealing with minor offences, such as trivial thefts, public disorder, criminal damage (such as vandalism), and inconsequential assaults. It is also an alternative to a Reprimand, which is the regular legal consequence imposed on young offenders.*

workshop which provides information and guidance on the use of Community Resolution as a method of detection.

4.38 The Commissioner continues to obtain assurance that the Chief Constable is firstly aware of the issues and is taking appropriate action to tackle them. In support of this, officers from the Commissioner's Office continue to attend Force and Divisional Performance meetings and the Commissioner and Deputy Commissioner are subsequently briefed on any emerging risks to performance.

4.39 The three Partnership Gold Groups continue to meet and implement their action plans.

4.40 The Commissioner reported previously that that he had commissioned Professor Simon Holdaway to undertake academic research to better understand why so many offenders continue to commit shop theft even after being dealt with numerous times at Court. The Force are still working on collating the data.

4.41 In addition to activities undertaken by Gold Groups and Community Safety Partnerships (CSPs), key actions being taken by the Force on other key performance risks include:

Crime Type	Location	Current Actions
All Crime	County	The County's Partnership Plus Areas are subject to costed delivery plans which are funded through the Safer Nottinghamshire Board. These plans are monitored and delivered through the Community Safety Partnerships for each of the County Operational Areas. The Partnership Plus areas are subject to an inflated All Crime reduction target of 18% (16% in Bassetlaw/Newark & Sherwood) due to the increased funding available to these areas to tackle Crime and Anti-Social Behaviour.
All Crime	City	The City's Priority Wards are monitored through the City Crime and Disorder Partnership and are subject to additional activity in order to tackle the high volume issues in these areas.
VAP	Hotspot areas	A micro-beat technique is being used to identify sub-beat level areas within hotspot locations for VAP offences, such as those areas in town and city centres where violence offences are likely to occur. It is intended that this technique will allow officers to prevent or diffuse potentially violent situations before they can escalate.

Crime Type	Location	Current Actions
VAP	Force-wide	The Force has recently established a Violence Against the Person gold group, which is directing targeted activity across the Force.
Theft and Handling	City	Operation Dormice has commenced in the City, working to reduce shop thefts in the top retail premises by identifying and managing prolific offenders through the Integrated Offender Management team.
Theft and Handling	Force	Operation Chasible continues to run on both City and County. This is an ongoing operation to tackle shop theft in those retail premises with the highest levels of shoplifting. The operation involves liaising with retail premises to introduce a prevent and deter strategy, and introducing specific action plans for each affected store. CCTV and undercover officers are also being utilised in hotspot locations.
Theft and Handling	City	Ongoing engagement between the licensing team and the City's licensed premises in order to reduce theft from person offences in nightclubs and bars, particularly of mobile phones. This includes the use of ID scanners in the City's licensed premises, which was initially piloted in Rock City.
Student-related Crime	City	Operation Graduate began in September with the aim to reduce student-related offences which are known to increase when student residents, particularly first-year university students, return to the City for the start of the academic year. Planned activity will target areas with a high concentration of student residences, and will also use a preventative strategy by educating students on personal safety and home security.
Burglary Dwelling	Force-wide	The Force has a Burglary gold group, which is directing targeted activity across the Force.
Burglary Dwelling	Force	Operation Graphite launched a period of intensive activity in October in an effort to effectively manage the Force's most prolific burglary offenders.

Crime Type	Location	Current Actions
Burglary Dwelling	Force	Operation Optimal Forager commenced in September and features cocooning of households who are direct neighbours of burgled houses, and dedicated patrols in identified hotspot areas. This focuses on face to face contact with householders offering bespoke crime prevention advice, and in the case of vulnerable victims in particular, support to secure their property.

Theme 4: Reduce the impact of drugs and alcohol on levels of crime and anti-social behaviour

4.42 In respect of alcohol related hospital admissions, Nottinghamshire Police Force data is broken down by the two Local Authorities; Nottingham and Nottinghamshire. The volume of admissions in quarter four (Q4) of 2012/13 was; 1,405 for Nottingham, 4,150 for Nottinghamshire.

4.43 These totals represent decreases for both Nottingham (-18.5% or 319 fewer admissions) and Nottinghamshire (-8.3% or 374 fewer admissions), compared to the same quarter the previous year, in the previous quarter (Q3). Both local authorities recorded increases compared to the same quarter the previous year.

4.44 Year-to-date figures reveal that 15.5% of All Crime in Force was alcohol related, compared to 17.3% last year. (Year-to-date: City 17.1%, County 14.2%). Over the same time periods, 27.7% of Violent Crime (All VAP, Robberies and Sexual Offences) was alcohol related in 2013/14, compared to 32.2% in 2012/13.

4.45 However, due to current recording limitations there is no target for this measure and the current results should be treated with some caution during the monitoring phase. Improvements in recording practices will be monitored this year with a view to setting a target in later years.

Activity:

4.46 The Alcohol Strategy is now in the implementation phase and the Commissioner is hopeful that at some point in the future he will have positive news about the results.

4.47 This strategy is the product of his first Alcohol Conference which took place in the summer and brought together a multitude of people involved in responding to alcohol abuse. Partnership work is now thoroughly embedded in all aspects of his crime prevention work and nowhere is this more evident than in this document, which sets out each partner will jointly support each other to lessen the impact of alcohol addiction on the health service, public safety, individuals, families and local taxpayers – while also protecting the prosperity of the night-time economy.

- 4.48 Part of his ambitious plans include increasing information-sharing between various agencies to sign post people to support quickly as well as tougher enforcement through expanding the number of proactive licensing visits to check compliance. The key theme is early intervention to stop a chain of events which could include a hospital admission, a crime being committed or a vulnerable person becoming a victim of crime.
- 4.49 This strategy has been heavily influenced by local opinion, gathered via our consultation survey between May and September. It is known that alcohol use is a problem in many local neighbourhoods, regardless of whether they are sited close to pubs and clubs, and that there is widespread support for tougher controls on alcohol sales, marketing and promotion. As a result, partners have agreed to trial fresh approaches which have found success elsewhere in the country to make it more difficult to drink to excess without it leading to severe and possibly criminal consequences.

Theme 5: Reduce the threat from organised crime

- 4.50 The activities of Organised Crime Groups present one of the priority external threats to policing in Nottinghamshire. They have a direct and indirect involvement in a wide range of serious criminality including Murder, Serious Violence, the Criminal Use of Firearms, Drugs Supply, Serious Acquisitive Crime, Fraud and Sexual Exploitation. They impact upon confidence and satisfaction, community cohesion and police endeavours to reduce crime and keep people safe from the risk of harm.
- 4.51 In terms of criminal intent and capability, the current threat from Serious, Organised Crime in Nottinghamshire remains significant and consistent despite evidence of successful disruption within the last 12 month period as a result of various Nottinghamshire Police and regional operations.
- 4.52 The current intelligence picture relating to organised criminality, coupled with the upcoming prison release of key individuals linked to organised crime, suggests that the medium term threat from Serious, Organised Crime in Nottinghamshire will not change from its current threat status of significant and consistent.
- 4.53 The Force has a target to increase the number of confiscation and forfeiture orders and is currently recording a slight decrease in the number of orders, with 121 orders this year compared to 127 last year (a reduction of 4.7%).
- 4.54 This reduction in the number of orders means that the Force has not achieved the target volume of orders year-to-date, with 121 orders compared to a target of 140 orders, meaning that the Force has fallen short of target by 19 orders or 15.5% based on year-to-date figures. It is worth noting that this year-on-year picture appears to be deteriorating with the current gap to the target and comparison to last year both worsening compared to last month.
- 4.55 So far this year the Force has recorded a total order value of £680,372.60 (down £589,353.86 compared to last year) which equates to an average order value of

£5,622.91, a decrease of 43.8% compared to the average order value recorded during the same period of last year (£9,997.85). It should be noted again, that this position has also deteriorated compared to last month .

Activity:

4.56 The activities reported to the Panel in October 2013 continue to be implemented.

Theme 6: Prevention, early intervention and reduction in re-offending

4.57 There have been 313 First-Time Entrants (FTEs) into the Youth Justice System this year (April – November 2013). This is a reduction of 19.9% (78 FTEs) compared to last year. The current year-to-date target has been achieved and is currently 12.4% or 39 FTEs better than target.

4.58 The largest reduction this year is seen on the County, where a 33.7% reduction was recorded, while the City recorded a reduction of 4.4%.

4.59 The use of Restorative Justice Disposals and Community Resolutions came into Force at the beginning of 2012-13 and it is expected that as it gathers momentum there will be less FTEs year on year.

4.60 National data published by the Ministry of Justice covering the 12 months to December 2011 (although dated is the latest available) suggests that Nottinghamshire had a 'proven' re-offending rate of 37.6%, 3.0 percentage points above the national average of 34.1%, placing the Force 31st out of 36 areas.

4.61 When considering the Force's Acquisitive Crime cohort (data to end of November 2013), there are currently 310 IOM nominals managed by the Force with 24 of these (7.7%) classed as juvenile offenders, and 57 (18.4%) as young adult offenders. Three offenders are classed as 'high risk of harm' offenders.

Activity:

4.62 Last month the Commissioner hosted a conference, in partnership with a community interest company called 'No Offence', on Restorative Justice (RJ) which saw national and local figures sharing their views on best practice, with personal experiences provided by both victims and perpetrators.

4.63 Overall around 50 people attended and the feedback was more than positive. The Commissioner can see the benefits of RJ for everyone concerned and it certainly seems to reduce the number of first time offenders who go on to reoffend. The Commissioner is aware that it's not the sanction for all types of crime, but used effectively it is a powerful tool. Restorative justice has the potential to make savings and improve outcomes if used properly. A win, win, win for victim, offender and society.

4.64 The flexibility of how and where it can be used is a benefit, but the Commissioner is concerned that there needs to be a clear strategy to ensure restorative justice

approaches are applied consistently and are effective in not only meeting victim needs but also preventing recidivism with other victims.

4.65 REMEDI a leading RJ Charity have been commissioned to undertake a mapping exercise and hold local practitioner events which will inform any future strategy.

Theme 7: Spending your money wisely

4.66 The Government's grant has reduced significantly and in order to balance the budget, savings of £8.6m need to be made in 2013-14. Detailed plans are in place to ensure the savings target is met. However, detailed data remains unavailable as to progress against these targets.

4.67 Confirmed efficiencies are currently being made through staff savings and savings from Fleet, Estates and Collaboration.

4.68 The full year net revenue budget for 2013-14 is £196.998m. During September the Quarter Two forecast was undertaken which resulted in an agreed restated full year budget of £198.375m.

4.69 Actual net expenditure for the eight months to November 2013 was £132.284m against a restated budget of £131.932m. The resulting position against the restated budget was an over spend of £0.352m.

4.70 Based on 12 month rolling sickness data, officer sickness for the Force reduced to 4.05% in November 2013 from 4.59% in November 2012. The reduction appears to coincide with the implementation of the updated Attendance Management policy in October 2012, and HR is continuing to work closely with line managers to deal with outstanding sickness issues to enable the Force to meet target on this measure.

4.71 Officer sickness absence in the 12 months to November 2013 amounted to an approximate cost to the Force of £4.1m. This has reduced from £4.8m as at the end of October 2012 when the revised policy was introduced.

4.72 Staff sickness is currently better than target, with 12 month rolling figure of 3.66% against the 3.7% target. This represents a notable improvement in performance, with the equivalent figure at the end of November 2012 being 4.42%.

4.73 Current BME representation in Force stands at 4.1% for Officers, and 4.6% for staff (November 2013). This shows little change from the proportion recorded in March last year, however the Force is in the process of recruiting new officers following a positive action campaign and therefore a change may be seen in the representation statistics in the coming months.

4.74 The representation figures are lower than the BME population of Nottinghamshire, which stands at 11.2% (Source: 2011 Census Data).

Activity:

- 4.75 The Absence Management Policy, Procedure and Management Guide were launched in October 2012 and continue to be implemented. This policy appears to be achieving the desired results of reducing levels of sickness.
- 4.76 The Base Budget Review commissioned by the Commissioner has been reviewed in conjunction with the recent value for money profile produced by the HMIC and a list of areas where further efficiencies could be made have been discussed and are being considered by the Commissioner. A meeting took place on 10th January 2014 to review the Force's progress in implementing the Deloitte's report recommendations. The Panel was represented by Cllr Gylfoyle at the meeting.
- 4.77 The BME Project Steering and Joint Working Group continue to meet with meetings planned for January 2014.
- 4.78 The Commissioner and his staff have been working hard over recent weeks with Nottinghamshire Police to develop a budget for 2014-15 and medium term financial plan. These are separate agenda items.

DECISIONS

- 4.79 The Commissioner has the sole legal authority to make a decision as the result of a discussion or based on information provided to him by the public, partner organisations, members of staff from the Nottinghamshire Office of the Police and Crime Commissioner (NOPCC) or Chief Constable.

Significant Public Interest Decisions

- 4.80 The Commissioner's web site provides details of all significant public interest decisions. Since the last report a number of decisions have been in respect of:
- **Sale of Former Roundabout Youth Centre:** Southchurch, Southchurch Drive, Clifton. Revised offer of £180k accepted.
 - **Approval for Mobile Device Pilot:** Decision made to purchase 50 Ipads which will cut down the requirement to print out and carry around meeting documentation and provide a more suitable device for senior managers who have a requirement to attend meetings in which numerous supporting documents are discussed.
 - **Victims and Domestic Abuse Survivors Consultation:** Research Tender approved to enable consultation with victims, and the people who support them, in order to gather views on the future shape of victim support services.
 - **Pensions Forfeiture Policy and Procedure:** This policy was approved.
 - **Replacement of Oil-fired Heating at Sherwood Lodge:** This will provide annual reductions in energy bills and reduce the carbon dioxide emissions in relation to the Sherwood Lodge Site.

- **Section 22 Agreement - Regional Crash Investigation Team:** In 2011, Nottinghamshire, Derbyshire and Leicestershire Police Forces agreed to enter into collaboration around their crash investigation teams. The trial is considered successful and this decision is made to formalise the collaboration.
- **Sale of Central Police Station:** The Nottinghamshire Police and Crime Commissioner and the Nottinghamshire Fire & Rescue Authority have agreed to enter into a joint marketing exercise to sell the combined site of the Central Police and Fire Stations in Nottingham.
- Following a full tender exercise, it is proposed to accept the tender from Nottingham City Council, subject to agreement of detailed heads of terms and the terms set out in the Tender Acceptance Report.
- It is proposed that contracts will be exchanged with Nottingham City Council for the sale, conditional upon vacant possession (anticipated mid 2015)
- **Delegation to Legal Services:** The Regional PCC's have already agreed the purchase of Titan House (Decision Record 2013/029). In order to complete this purchase within very tight and specific time frames it would be operationally beneficial for a delegation to be made to Legal Services.
- **Regional Purchase of Titan House:** The PCC's have been provided with a business case (which is commercially sensitive) and ongoing updates on the progression of this purchase. This decision record is to provide a public document of the purchase now being completed.
- **CitySafe CCTV Taxi Scheme:** This scheme was listed as a priority action in the Commissioner's Police and Crime Plan 2013-18 under Priority Theme 3: To focus on those local areas that are most affected by crime and anti-social behaviour and C3.4: Improve public transport safety and introduce with partners a safer Cab Scheme.
- Since February 2013 the use and benefits of CCTV in Taxis has been extensively reviewed by a Working Group led by the Nottingham City Crime and Drugs Partnership. A number of options have been considered and other national schemes reviewed.
- Based on the reviews, the Commissioner has decided to provide £95k to fund a Nottingham City Hackney Carriage CCTV Safer Cab Voluntary scheme initially as a pilot (year 1) with a view to running for three years with estimated costs of (Year 2 £31k, and Year 3 £57.3k).

ACTIVITIES OF COMMISSIONER

- 4.81 Since the last report, the Commissioner and Deputy Commissioner have been engaged in a number of activities and meetings in relation to strategic matters, media activities, conducted numerous walkabouts and engaged with partners and various communities. These extensive activities reflect the Commissioner's commitment and pledge to be the People's Commissioner.
- 4.82 As detailed in section 2 above, the Commissioner and Deputy Commissioner continue to take steps to obtain assurances that the Chief Constable has not only identified the key threats to performance but more importantly that swift remedial

and appropriate action is being taken to tackle the problems especially in the top 15 Priority Wards in the County and High Impact Wards in the City.

- 4.83 The Commissioner continues to invite partners to raise their game by working even closer together in partnership with the Police to tackle the emerging issues currently adversely impacting overall performance.
- 4.84 The Commissioner is currently consulting the people of Nottinghamshire to ensure that the refreshed Police and Crime Plan and the budget to deliver it reflect their views and expectations.
- 4.85 The Commissioner is consulting citizens and key stakeholders over Police Station closure plans. The Force is continuing its work to examine areas of business where services can become more efficient and savings made as a means of navigating the current financial challenges. Part of this work has been to review the Force estate to identify opportunities for reducing expenditure. The outcome so far has been a proposal to close Mansfield Woodhouse Police Station to release significant capital and reduce operating costs by around £50,000 per year.
- 4.86 Nottinghamshire Police has endorsed the closure plans but the decision is yet to be finalised and as the Commissioner is keen to gain the public's perspective before any action is taken. The consultation exercise ran until December 31 and feedback is currently being analysed.
- 4.87 Over the past few weeks The Commissioner and Deputy have been visiting community organisations and voluntary bodies. One such visit was carried out by the Deputy who met the volunteers working at the Jericho Road Project to see how the money is being invested to help support vulnerable sex workers in Nottingham.
- 4.88 The Commissioner provided further support to the White Ribbon Campaign last month. This very worthy initiative encourages men to take a greater level of responsibility for reducing violence against women by signing up to a pledge to never commit, condone or remain silent about men's violence against women. Protecting vulnerable women – particularly those who have been a victim of domestic abuse – is a strong theme in his Police and Crime Plan.
- 4.89 **Appendix B** contains the Commissioner's newsletter for December 2013 and provides more detail of his and his Deputy's activities since the last Panel report.

5. Financial Implications and Budget Provision

- 5.1 None - this is an information report. Although the report does contain some information on budget variance.

6. Human Resources Implications

6.1 None - this is an information report. However, the report does provide some information about BME representation.

7. Equality Implications

7.1 None – although it should be noted that high levels of crime occur predominately in areas of high social deprivation.

8. Risk Management

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

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

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

10. Changes in Legislation or other Legal Considerations

10.1 None which affects the content of this report.

11. Details of outcome of consultation

11.1 The Deputy Chief Constable is been consulted on this report and feedback will be taken into account.

12. Appendices

- A. Performance Tables
- B. Commissioner's Newsletter for December 2013

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

- Police and Crime Plan 2013-2017 (published)
- Force Performance and Insight Reports – November 2013

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APPENDIX A

Performance & Insight Report

Themes 1 - 7

Performance to November 2013

Strategic Priority Theme 1: Protect, support and respond to victims, witnesses and vulnerable people

Measure	Target Profile	Current Performance – 12 months to September 2013 ¹		
		Target	Trend	Summary
1 % of victims of crime that are completely, very or fairly satisfied with the service they have received from the police	<ul style="list-style-type: none"> 90% To be in the top five Forces nationally 	-2.9 pp ² ●	-0.2 pp ↔	<p>Performance is stable when considering the long term trend, with the Force remaining below the 90% target.</p> <p>Satisfaction for incidents in the 12 months to September is 87.1%. It was 87.4% for the comparative period in the previous year.</p> <p>The Force is in line with peers nationally and is above the Most Similar Group (MSG) average (based on 12 months of interviews ending September 2013).</p> <p>While there is no underlying difference between the divisions in terms of the headline figure (City 86.6%, County 87.5%), theft from vehicle crime satisfaction remains a differentiating factor, with deterioration in the City. A gap in violent crime satisfaction is apparent, with a positive and negative direction of travel for the City and County respectively.</p>
2 % of victims and witnesses satisfied with the services provided in court	<ul style="list-style-type: none"> 90% satisfied with service received 85% feel confident to give evidence in court Improved satisfaction levels compared to 2012-13 	+4.2 pp ●	↔ ³	<p>In November, 98.5% of victims and witnesses were satisfied or very satisfied with the services provided in court and the 90% target has been achieved in eleven of the twelve months.</p> <p>Year-to-date figures show an average satisfaction level of 94.2% (April - November 2013), while 88.0% felt confident to give evidence (April - June 2013).</p>

¹ Unless otherwise stated. Where different date parameters apply, this will be detailed in the summary for the measure

² Percentage points

³ Should be treated with caution due to limited amount of data available

Strategic Priority Theme 1: Protect, support and respond to victims, witnesses and vulnerable people

Measure		Target Profile	Current Performance – 12 months to September 2013 ¹		
			Target	Trend	Summary
3	% of people who agree that the Police and Council are dealing with local Anti-Social Behaviour and other crime issues	▪ 60% by 2015-16	-8.8 pp ●	-8.0 pp ↓	<p>There is no new data for this measure.</p> <p>The agreement level is 51.2% for 12 months interviews ending June 2013. Performance is below target although there has been positive movement since the previous quarterly results.</p> <p>The Force remains below peers and there is a statistically significant disparity to the national average. Further details on this measure are available in last month's report, the Performance and Insight Report for performance to October 2013.</p>

Strategic Priority Theme 1: Protect, support and respond to victims, witnesses and vulnerable people

Measure	Target Profile	Current Performance – 12 months to September 2013 ¹		
		Target	Trend	Summary
4 % reduction of people that have been repeat victims within the previous 12 months	<ul style="list-style-type: none"> Reduce the number of repeat victims of Domestic Abuse, Hate Crime & Anti-Social Behaviour by 5% year on year compared to 2012-13 	-5.8% ●	-10.2% ↓	<p>This measure relates to all victims of Domestic Violence, ASB and Hate crime. The main objective is to reduce repeat victimisation (RV) in all three areas. Since the number of ASB incidents is many more than the other two categories improved RV in ASB masks the increases in the other two areas. For example, it will be seen that whilst RV has reduced overall, actually the number of DV and Hate crime repeat victims has increased.</p> <p>Year-to-date (April to November 2013) there has been a 10.2% reduction in the number of people that have been repeat victims of the above three categories within the previous 12 months when compared to the same period of last year. This equates to 673 fewer repeat victims but most of these relate to ASB.</p> <p>So the Force is currently achieving target on this measure overall due fewer ASB repeat victims (14.8%) when compared with the same period last year.</p> <p>However, RVs of Domestic Violence has increased by 9.3% (110 victims) when compared to last year. This increase is linked to an overall increase in Domestic Violence in Force.</p> <p>There is little change in terms of the areas of most concern. City Central, North and South all continue to record year-to-date increases in Domestic Violence repeat victims. The picture is more positive on the County, with Ashfield, Bassetlaw and Gedling currently recording reductions; however it should be noted that the reductions are small and represent a total of only 8 less repeat victims between them.</p> <p>Through working with partners the Force aims to reduce the number of repeat victims by providing effective intervention at the time of the first incident. An increase in repeat victims of Domestic Violence is a concern and suggests that positive action to tackle repeat victimisation in this area is not proving effective. This situation continues to be monitored and a detailed report will be included in the January Performance and Insight report.</p>

Strategic Priority Theme 1: Protect, support and respond to victims, witnesses and vulnerable people

Measure	Target Profile	Current Performance – 12 months to September 2013 ¹		
		Target	Trend	Summary
5 The number of people Killed or Seriously Injured (KSIs) on Nottinghamshire's roads	<ul style="list-style-type: none"> 40% reduction in all Killed and Seriously Injured (KSIs) by 2020 (from 2005-2009 average) 	-18.8% ●	-23.5% ↓	<p>There is no new data for this measure⁴. Quarter 1 and 2 figures reveal that between January and June 2013, the Force recorded a 23.5% reduction in KSIs when compared to the same period of 2012. This equates to 64 fewer people Killed or Seriously Injured on Nottinghamshire's roads, and means that the Force is currently on course to meet the long term target reduction for this measure. While all user groups are showing a reduction, the vulnerable road user groups (motorcyclists, pedal cyclists and pedestrians), show the greatest reductions in percentage terms.</p> <p>The current reduction is attributed to the success of proactive operations such as Op Drosometer, with the second phase of this operation concluding recently. During the course of the operation more than 6,000 individuals were caught for driving offences, with the majority of these for not wearing a seatbelt or for using a mobile phone whilst driving.</p> <p>Provisional figures suggest a continuation of the current trend into quarter 3, allowing confidence that Nottinghamshire is experiencing a consistent reduction in the number of persons Killed or Seriously Injured on the roads.</p>

⁴ It is anticipated that the quarter 3 KSI statistics will be published in January 2014

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

Measure		Target Profile	Current Performance – Year-to-date to November 2013 ⁵		
			Target	Trend	Summary
1	% of Crown Court files to be submitted by the police to the CPS on time and without deficiencies	<ul style="list-style-type: none"> To improve the current timeliness and quality of files 	CC Error Rate -0.6pp ●	↔ ⁶	<p>Performance on this measure remains stable in the short-term, however it is not possible to make accurate long-term judgments regarding trend due to a lack of data⁷.</p> <p>The Crown Court continues to show the stronger performance this month, with improvements in both file quality and timeliness meaning that the target has been achieved (year-to-date to October 2013). It should be noted, however, that performance in both September and October was below the average for the year so far. The position compared to target for timeliness has deteriorated when compared to that reported at the end of August.</p> <p>The Magistrates Court is experiencing an improvement in performance in terms of the quality of files submitted this month, with the error rate in October being the lowest recorded this year, meaning that the target improvement has been achieved. In contrast to this, the late rate was at its highest this year (30.8% of 13 files submitted), and the year-to-date timeliness target has not been met.</p>
			CC Timeliness -1.9pp ●		
			MC Quality -0.1pp ●		
			MC Timeliness +0.6pp ●		
1	Crown Court and Magistrates Court conviction rates	<ul style="list-style-type: none"> To be better than the national average To be consistently in line with CPS national averages 	CC +3.6pp ●	↔	<p>There is no new data for this measure. Nottinghamshire Criminal Justice Area is showing a conviction rate for the month of September 2013 of 84.6% for cases prosecuted through the Magistrates' Courts (MC) and 85.0% for cases prosecuted through the Crown Court (CC).</p> <p>Of particular note is performance for the Crown Court in September, with a rate of 87.0%, its second highest monthly conviction rate so far this year. The Crown Court continues to meet target having achieved a year-to-date conviction rate of 85.0% against a national average of 81.4%. The Magistrates Court is also on target, having recorded a year-to-date rate which is 0.1pp better than the national average.</p>

⁵ Unless otherwise stated. Where different date parameters apply, this will be detailed in the summary for the measure

⁶ Performance on all of the criminal justice measures remains stable in the short-term, however it is not possible to make accurate long-term judgments regarding trend due to a lack of available data

⁷ Where information on direction of travel is provided for this measure, it will reflect the current month's position compared to last month's position.

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

Measure		Target Profile	Current Performance – Year-to-date to November 2013 ⁵		
			Target	Trend	Summary
2	% of effective trials in the Magistrates' and Crown Courts	<ul style="list-style-type: none"> Reduce % of ineffective trials compared to 2012-13 Achieve an effective trial rate of 50% for Crown Court and 50% for Magistrates Court 	<p>CC -6.2pp ●</p> <p>MC -8.6pp ●</p>	<p>↔</p>	<p>Year-to-date figures to November 2013 show that the current effective trial rate is 43.8% for the Crown Court and 41.4% for the Magistrates Court, meaning that neither court is achieving the target 50% effective trial rate.</p> <p>Performance across both courts has been fairly static over the last 14 months, and there is little change in the effective trial rate for either court this month. The proportion of cracked trials (where the defendant offers on acceptable plea or the prosecution offers no evidence) and ineffective trials (where no final outcome is reached) also remain unchanged this year.</p> <p>Current trends suggest that the 50% target will be a challenging one to achieve this year. Improvements in file quality and timeliness may help to support the Criminal Justice Service in improving the effective trial rate for the courts.</p>

Strategic Priority Theme 3: Focus on those local areas that are most affected by Crime and Anti-Social Behaviour

Measure		Target Profile	Current Performance – Year-to-date to November 2013		
			Target	Trend	Summary
1	Reduction in All Crime across the Force	<ul style="list-style-type: none"> 10% reduction compared to 2012-13 	+9.3% ●	+1.4% ↑	<p>The Force continues to record a year-to-date increase in All Crime, and is therefore not achieving the 10% reduction target. On a positive note, performance improvements have continued into November, with a 4.1% reduction in the month compared to November 2012. This means that the year-to-date increase is the smallest it has been this year, at 1.4% (637 offences).</p> <p>In terms of divisional performance, both City and County are recording increases year-to-date, and similarly to the Force level picture, these increases are notably smaller than those reported previously this year (City +1.0% or 212 offences, County +1.7% or 425 offences).</p> <p>As discussed in the previous report, Theft & Handling and Violence Against the Person offences account for a large proportion of the Force's All Crime, and these groups continue to record year-to-date increases. As discussed in the previous report however, there remain signs of improvement in VAP, with the Force recording its second consecutive month-to-date reduction in VAP offences this month.</p> <p>Both Burglary Dwelling and Robbery remain a concern, with large percentage increases recorded in both of these offence types year-to-date. Although, it should be noted, that Robbery offences decreased in the month of November, and as this is a low volume offence, the effect of this month-to-date reduction is apparent in the year-to-date performance.</p> <p>The Force's Priority Areas show mixed performance, with the majority now recording increases in crime. One area which is highlighted as showing strong performance is Aspley in the City, where a reduction of over 60 offences in the month of November has had a noticeable effect on year-to-date performance.</p>

Strategic Priority Theme 3: Focus on those local areas that are most affected by Crime and Anti-Social Behaviour

Measure	Target Profile	Current Performance – Year-to-date to November 2013		
		Target	Trend	Summary
2 Reduction in Anti-Social Behaviour incidents across the Force	<ul style="list-style-type: none"> 8% reduction year on year, from 2013-14 to 2015-16 A 50% reduction in ASB incidents across the Force by 2015-16 compared to 2011-12 	-1.2% ●	-9.1% ↓	<p>The Force is currently recording a reduction in Anti-Social Behaviour (ASB) incidents, with 2,538 fewer incidents recorded this year compared to last.</p> <p>Reductions remain in line with the 8% target, however as noted last month, the Forces position against target is not as strong as it has been previously. Recent reductions have been notably smaller than the 34% reduction recorded at the end of the 2012/13 performance year and this change is apparent in the rolling average performance which has been levelling out since the start of the year.</p> <p>Should the Force continue on its current trajectory then it is possible that the target reduction will not be achieved at the end of the performance year. It is therefore essential that reducing ASB incidents remains an area of focus for the Force.</p>
3 The detection rate (including Positive Outcomes) for recorded offences	<ul style="list-style-type: none"> A rate of 37% (including positive outcomes) for All Crime To monitor Home Office disposals as follows; Charge/Summons, Caution/Reprimand/Warning Taken into consideration, Penalty Notice for Disorder, Cannabis Warning, Community Resolution. 	-6.0pp ●	-5.4pp ↓	<p>The overall year-to-date detection rate of 31.0% is considerably lower than the current target of 37.0%, and is also below the 36.4% rate recorded last year. When considering detections awaiting approval the rate increases to around 33%, still below the 37% target set.</p> <p>Detection rates on the BCUs are similar to those seen at Force level (32.9% on the City, 31.7% on the County).</p> <p>Examination of the long term trend reveals that following a period of static performance, detection rates have been deteriorating this year, with monthly rates notably low in quarter two.</p> <p>A reduction in offences Taken Into Consideration (TICs) disposals is believed to be the main driver behind a reduction in overall detections, although it should be noted that all disposal types with the exception of Community Resolutions, have reduced in volume this year.</p> <p>As performance on this measure is notably off target.</p>

Strategic Priority Theme 4: Reduce the impact of drugs and alcohol on levels of Crime and Anti-Social Behaviour

Measure		Target Profile	Current Performance – Year-to-date to November 2013		
			Target	Trend	Summary
1	Number of alcohol related admissions to hospital	<ul style="list-style-type: none"> A reduction in the number of alcohol related admissions to hospital compared to 2012-13 	-11.1% ●	-11.1% ↓	<p>There is no new data available for this measure. Nottinghamshire police Force data is broken down by the two Local Authorities; Nottingham and Nottinghamshire. The volume of admissions in quarter four (Q4) of 2012/13 was; 1,405 for Nottingham, 4,150 for Nottinghamshire.</p> <p>These totals represent decreases for both Nottingham (-18.5% or 319 fewer admissions) and Nottinghamshire (-8.3% or 374 fewer admissions), compared to the same quarter the previous year, in the previous quarter (Q3). Both local authorities recorded increases compared to the same quarter the previous year.</p> <p>Assessing 2012/13 as a whole, both the local authorities and the overall Force area have recorded an increase compared to 2011/12, (Force +0.2% or 50 admissions, Nottingham +0.2% or 16 admissions and Nottinghamshire +0.2% or 34 admissions). These low level increases appear in line with a general reduction in percentage increases year-on-year over the last four years.</p>
1	The number of alcohol related crimes (proxy measure)	<ul style="list-style-type: none"> Monitor the number of crimes which appear alcohol related 	N/A	N/A	<p>Year-to-date figures reveal that 15.5% of All Crime in Force was alcohol related, compared to 17.3% last year. (Year-to-date: City 17.1%, County 14.2%). Over the same time periods, 27.7% of Violent Crime (All VAP, Robberies and Sexual Offences) was alcohol related in 2013/14, compared to 32.2% in 2012/13.</p> <p>Due to current recording limitations there is no target for this measure and the current results should be treated with some caution during the monitoring phase. Improvements in recording practices will be monitored this year with a view to setting a target in later years.</p>

Strategic Priority Theme 4: Reduce the impact of drugs and alcohol on levels of Crime and Anti-Social Behaviour

Measure	Target Profile	Current Performance – Year-to-date to November 2013		
		Target	Trend	Summary
2 % of successful completions of OCU and non OCU (Opiate and Crack Cocaine Users)	<ul style="list-style-type: none"> 1% increase compared to 2012-13 	OCU -1.8pp ●	-0.8pp ↓	<p>There is no new data for this measure. This measure is based on the proportion of Opiate and Cocaine Users (OCU) and Non-Opiate and Cocaine Users (Non-OCU) who have successfully completed drug treatment programmes.</p> <p>In the 12 months to September 2013 the successful completion rate for OCUs was 10.7%. This is a slight deterioration on the rate recorded during 2012/13, meaning that the target has not been achieved, although the Force is close to target at only 1.8pp away (a slight improvement on last month).</p> <p>During the same period the success rate for non-OCUs was 47.4%, also a deterioration in comparison with the previous year and has declined compared to last month.</p> <p>In terms of City and County performance, both show signs of deterioration for non-OCU, with current completion rates lower than in the previous period. For OCU, the City has recorded a lower rate whilst the County has recorded an increase. Both BCUs are in the top quartile range for successful completions, a success for both partnerships.</p>
		Non-OCU -4.8pp ●	-3.8pp ↓	

Strategic Priority Theme 5: Reduce the threat from organised crime

Measure		Target Profile	Current Performance – Year-to-date to November 2013		
			Target	Trend	Summary
1	The number of Proceeds of Crime Act (POCA) confiscation and forfeiture orders	<ul style="list-style-type: none"> 10% increase (year on year) in the numbers of confiscation and forfeiture orders compared to 2012-13 	-15.5% ●	-4.7% ↓	<p>The target for this measure is to increase the number of confiscation and forfeiture orders. The Force is currently recording a slight decrease in the number of orders, with 121 orders this year compared to 127 last year (a reduction of 4.7%).</p> <p>This reduction in the number of orders means that the Force has not achieved the target volume of orders year-to-date, with 121 orders compared to a target of 140 orders, meaning that the Force has fallen short of target by 19 orders or 15.5% based on year-to-date figures. It is worth noting that this year-on-year picture appears to be deteriorating with the current gap to the target and comparison to last year both worsening compared to last month.</p> <p>So far this year the Force has recorded a total order value of £680,372.60 (down £589,353.86 compared to last year) which equates to an average order value of £5,622.91, a decrease of 43.8% compared to the average order value recorded during the same period of last year (£9,997.85). It should be noted again, that this position has also deteriorated compared to last month⁸.</p>

⁸ Data has been taken from the national JARD system which is a live system and may be subject to change. Data downloaded on 9th December 2013

Strategic Priority Theme 5: Reduce the threat from organised crime

Measure		Target Profile	Current Performance – Year-to-date to November 2013		
			Target	Trend	Summary
2	Force threat, harm and risk (THR) assessment level	<ul style="list-style-type: none"> To reduce THR to below the 2012-13 level 	●	↓	<p>The activities of Organised Crime Groups present one of the priority external threats to policing in Nottinghamshire. They have a direct and indirect involvement in a wide range of serious criminality including Murder, Serious Violence, the Criminal Use of Firearms, Drugs Supply, Serious Acquisitive Crime, Fraud and Sexual Exploitation. They impact upon confidence and satisfaction, community cohesion and police endeavours to reduce crime and keep people safe from the risk of harm. In terms of the management of each active Organised Crime Group by the police, each group has a specific management plan and Lead Responsible Officer, with progress monitored through the Level I and Level II Force Tasking and Coordination process in line with NIM guidelines.</p> <p>In terms of criminal intent and capability, the current threat from Serious, Organised Crime in Nottinghamshire remains significant and consistent despite evidence of successful disruption within the last 12 month period as a result of various Nottinghamshire Police and EMSOU operations.</p> <p>The current intelligence picture relating to organised criminality, coupled with the upcoming prison release of key individuals linked to organised crime, suggests that the medium term threat from Serious, Organised Crime in Nottinghamshire will not change from its current threat status of significant and consistent.”</p>

Strategic Priority Theme 6: Prevention, early intervention and reduction in re-offending

Measure		Target Profile	Current Performance – Year-to-date to November 2013		
			Target	Trend	Summary
1	First-Time Entrants (FTEs) into the Youth Justice System	<ul style="list-style-type: none"> 10% reduction (year on year) compared to 2012-13 	-12.4% ●	-19.9% ↓	<p>There have been 313 First-Time Entrants (FTEs) into the Youth Justice System this year (April – November 2013). This is a reduction of 19.9% (78 FTEs) compared to last year. The current year-to-date target has been achieved. Currently 12.4% or 39 FTEs better than target.</p> <p>The largest reduction this year is seen on the County, where a 33.7% reduction was recorded, while the City recorded a reduction of 4.4%.</p> <p>The use of Restorative Justice disposals and Community Resolutions came into force at the beginning of 2012-13 and it is expected that as it gathers momentum there will be less FTEs year on year.</p>
2	<p>National – reduce the offending of offenders managed and supervised by Integrated Offender Management (IOM) that cause significant harm</p> <p>Local - Acquisitive Crime Cohort, high risk of harm offenders and young adult offenders (18-21years)</p>	<ul style="list-style-type: none"> 10% reduction (year on year) compared to 2012-13 Reduce (proven) reoffending to be below the national average To monitor the Acquisitive Crime Cohort, high risk of harm offenders and young adult offenders (18-21years) 	+3.5pp ●	N/A	<p>National data published by the Ministry of Justice covering the 12 months to December 2011 suggests that Nottinghamshire had a 'proven' re-offending rate of 37.6%, 3.0 percentage points above the national average of 34.1%, placing the Force 31st out of 36 areas.</p> <p>When considering the Force's Acquisitive Crime cohort (data to end of November 2013), there are currently 310 IOM nominals managed by the Force with 24 of these (7.7%) classed as juvenile offenders, and 57 (18.4%) as young adult offenders. Three offenders are classed as 'high risk of harm' offenders.</p> <p>Of the 310 nominals, 45.5% are named as an offender in an offence which took place in Force this year. In addition to this, 40.6% are named as a suspect in an offence (please note – this could include offences where the nominal has gone on to be named as the offender in the offence). Of the young adult IOM's, 55.5% have been named as an offender in an offence. One nominal identified as being 'high risk of harm' has been identified as the offender in five offences and a suspect in one further offence, with the other two named as a suspect in more than one offence this year but have not been named as an offender.</p>

Strategic Priority Theme 7: Spending your money wisely

Measure		Target Profile	Current Performance – Year-to-date to November 2013 ⁹		
			Target	Trend	Summary
1	Make efficiency savings	<ul style="list-style-type: none"> Save £8.6m by March 2014 	N/A	N/A	<p>The Government's grant has reduced significantly and in order to balance the budget, savings of £8.6m need to be made in 2013-14.</p> <p>Detailed plans are in place to ensure the savings target is met. However, detailed data remains unavailable as to progress against these targets.</p> <p>Confirmed efficiencies are currently being made through staff savings and savings from Fleet, Estates and Collaboration.</p>
2	Ensure balanced budget	<ul style="list-style-type: none"> Overall spend v budget 	-0.3% ●	N/A	<p>The full year net revenue budget for 2013-14 is £196.998m. During September the Quarter Two forecast was undertaken which resulted in an agreed restated full year budget of £198.375m.</p> <p>Actual net expenditure for the eight months to November 2013 was £132.284m against a restated budget of £131.932m. The resulting position against the restated budget was an over spend of £0.352m.</p>
3	Total number of days lost due to sickness (Officer)	<ul style="list-style-type: none"> 3.7% for Officers and Staff (8.2 days) 	+0.35pp ●	-12% ↓	<p>Based on 12 month rolling sickness data, officer sickness for the Force reduced to 4.05% in November 2013 from 4.59% in November 2012. The reduction appears to coincide with the implementation of the updated Attendance Management policy in October 2012, and HR is continuing to work closely with line managers to deal with outstanding sickness issues to enable to the Force to meet target on this measure.</p> <p>Officer sickness absence in the 12 months to November 2013 amounted to an approximate cost to the Force of £4.1m. This has reduced from £4.8m as at the end of October 2012 when the revised policy was introduced.</p>
3	Total number of days lost due to sickness (Staff)	<ul style="list-style-type: none"> 3.7% for Officers and Staff (8.2 days) 	-0.04pp ●	-17% ↓	<p>Staff sickness is currently below target, with 12 month rolling figure of 3.66% against the 3.7% target. This represents a notable improvement in performance, with the equivalent figure at the end of November 2012 being 4.42%.</p>

⁹ Unless otherwise stated. Where different date parameters apply, this will be detailed in the summary for the measure

Strategic Priority Theme 7: Spending your money wisely

Measure		Target Profile	Current Performance – Year-to-date to November 2013 ⁹		
			Target	Trend	Summary
4	BME representation	<ul style="list-style-type: none"> To reduce the gap in current Black Minority Ethnic (BME) representation within the Force and local BME community representation in respect of: Recruitment for officers and staff to reflect the local community 	●	+0.1% ↔	<p>Current BME representation in Force stands at 4.1% for Officers, and 4.6% for staff (November 2013). This shows little change from the proportion recorded in March last year, however the Force is in the process of recruiting new officers following a positive action campaign and therefore a change may be seen in the representation statistics in the coming months.</p> <p>The representation figures are lower than the BME population of Nottinghamshire, which stands at 11.2% (Source: 2011 Census Data).</p>
Proxy measures:					
5	Overtime Budget	<ul style="list-style-type: none"> Maintain overtime spend below budget 	+0.9% ●	-17% ↑	<p>The Force's Officer overtime expenditure during November was £0.316m, which is an over spend of £0.067m against a restated budget of £0.249m.</p> <p>The main operations were: Op Sponsor (£0.105m, rechargeable), Op Accelerate (£0.100m), Op Embolite (£0.036m), Op Enamelled (£0.025m), Op Solentina (£0.022m, rechargeable). The main reason for favourable trend vs last year is Olympic overtime worked in 2012 (£0.160m, rechargeable) not repeated in 2013.</p>
6	Establishment	<ul style="list-style-type: none"> Officer establishment 2,109 Staff establishment 1,645 	● ●	N/A	<p>Targets quoted are for March 2014. Officer and PCSO recruitment is in process which will help get levels up to target.</p>



THE BEAT

It's been a challenging year, but from expanding Neighbourhood Watch throughout the county to launching our first Alcohol Strategy, we've achieved a lot.



Across Nottinghamshire, people are working together to promote positive social changes that will ultimately reduce offending. In this newsletter you'll see just how far we've embedded joint working into our crime prevention strategies and as we approach 2014 there is much to look forward to by way of progress.

From myself and everyone involved in protecting the public of Nottinghamshire, we wish you a safe and peaceful Christmas and a safe New Year. I thank you for your continued support and look forward to working with you in the coming year.

Seeking YOUR views on our priorities and budget plans

We are one year into the four year Police and Crime Plan, and we have decided to consult the people of Nottinghamshire to ensure that both my plan and the budget to deliver it reflect their views and expectations.

Questions being asked include the rate of importance respondents give to the Police and Crime Plan's seven priorities; whether they would be prepared to continue their support by paying a little more towards policing; and where they feel further savings should be made.

Please take a few minutes to access the online survey, which will close at the end of January, click on this link: <http://goo.gl/3TvAAZ> or visit the website at www.nottinghamshire.pcc.police.uk. Hard copies can be obtained by contacting my office using the details at the end of this newsletter.

Neighbourhood Watch amalgamates spreading the 'people power' message

Volunteering is a theme close to my heart and I was delighted to be able to support one of the original police volunteering schemes this month in its plans to expand and increase membership.

We've set aside £21,000 from my Community Safety Partnership Fund to facilitate the amalgamation of the City of Nottingham Neighbourhood Watch Council and NottsWatch to form a county-wide Nottinghamshire Neighbourhood Watch organisation.

The funding will help to fund the employment of an operations manager to oversee the work of volunteers across the county and to encourage more residents to launch their own scheme. Nottinghamshire will become a much safer place to live if everyone plays their part in making the county a hostile environment for criminals. Intelligence gathered by local people helps to improve police detection rates and ensures those who live within the neighbourhood feel safer and less threatened.

The new charitable organisation has ambitious plans for membership recruitment including working with housing associations to create new schemes in the areas most needed and engaging with young people and I very much look forward to hearing about the results next year.



Consultation launched over police station closure plans

The Force is continuing its work to examine areas of business where services can become more efficient and savings made as a means of navigating the current financial challenges. Part of this work has been to review the Force estate to identify opportunities for reducing expenditure. The outcome so far has been a proposal to close Mansfield Woodhouse Police Station to release significant capital and reduce operating costs by around £50,000 per year.

Nottinghamshire Police has endorsed the closure plans but the decision is yet to be finalised and as always I'm keen to gain the public's perspective before any action is taken. Listening to the public is my chief responsibility as Commissioner and in this context I've launched a consultation exercise which will run until December 31 inviting people to give feedback.

Like all the efficiency work which has taken place to date, these plans have been drawn up in the interests of local

taxpayers and making the best use of the limited funds available for the Force. We know that underused and empty buildings are placing a big strain on the Force's finances and people are always telling me they value bobbies' over buildings.

While all options are on the table, we need to be realistic and accept that tough choices need to be made to protect our capacity. Under the proposals, the current Safer Neighbourhood Team and CID would relocate to Mansfield Police Station – just two miles away – while a drop-in facility would be established in the centre of the community to enable officers to write statements, access Force systems and take rest breaks. This would maximise the time officers could spend out on patrol.

I would urge anyone who has an interest in these plans to take part in the consultation so we can explore every potential impact in detail.



Protecting vulnerable women from violence and exploitation

Over the past few weeks we've been on the road again visiting community organisations and voluntary bodies who've already benefitted from my Community Safety Partnership Fund. One such visit was carried out by my deputy, Chris Cutland, who met the volunteers working at the Jericho Road Project to see how the money is being invested to help support vulnerable sex workers in Nottingham.

The charity was recently awarded a grant worth £8,500 from my fund to expand the services it provides to women affected by the sex industry which includes an outreach service where volunteers meet with women working in the City's red light district to signpost them to other agencies which can help and a drop-in centre offering food, clothing, toiletries and the opportunity to get involved in craft activities. More recently the charity has developed a befriending service which aims to help these women make positive lifestyle choices and gain employment skills.

The hope is that by taking a more holistic approach to the problem, we can build self-esteem and confidence among these women and ultimately break the cycle of destruction.

Living Wage Accreditation

Social problems such as poverty and unemployment are often at the heart of offending patterns and it's important that we remain conscious of this and lead by example. It is for this reason that Nottinghamshire Police became the first police force in England and Wales last month to sign up to a national campaign calling for all workers to be paid an hourly rate that matches the cost of living. This simple accreditation means all employees of the force and my own staff will receive at least the Living Wage or higher and any contractors working indirectly for the organisation will also be asked to adopt the same policy.

The 'Living Wage' is an hourly rate set annually (outside London) which takes greater account of the cost of living and allows families to live above the poverty line. The new Living Wage was revealed in Nottingham last month and has risen from £7.45 to £7.65 per hour, which is significantly higher than the Minimum Wage, which is £6.31.

Committing to the Living Wage is purely voluntary but it sends out an important message that we care about our staff and their families and remain committed to promoting a culture of fairness in the wider society.



Male population urged to get behind domestic violence awareness campaign

Protecting vulnerable women – particularly those who have been a victim of domestic abuse – is a strong theme in my Police and Crime Plan so it was with pleasure I was able to support the White Ribbon Campaign last month. This very worthy initiative encourages men to take a greater level of responsibility for reducing violence against women by signing up to a pledge to never commit, condone or remain silent about men's violence against women.

As a man I am proud to support the White Ribbon Campaign and am delighted that Nottingham's Man Enough Campaign is still active and urge the male population to sign up and show their solidarity in the fight against domestic abuse. One in four women will experience domestic abuse at some stage of their lives and it's crucial that prevention work gains the support of men so we can have a real impact on the safety of women in future.

Calls for rethink over Probation plans

Police and Crime Commissioners across the country have been united in their fears over proposals to reform the Probation Service which could in our view pose risks to public safety. Together we have jointly written to the Justice Secretary Chris Grayling to outline our grave concerns over plans to outsource the bulk of probation's work and the speed at which the move is seemingly being pushed through.

Under the plans, Probation Trusts will be abolished - despite the strong relationships they have built with the police and other organisations within the voluntary and private sector. Instead, responsibility for the management of 200,000 offenders who have been released back into the community will fall to private companies.

Of course I'm in favour of innovation and efforts to cut crime but there needs to be more evidence that these changes will result in improvement. I sincerely hope Mr Grayling heeds our warning and considers alternative ways of lowering offending in the future.

Hate crime reporting service re-commissioned to help more victims come forward

Victims of hate crime in Nottinghamshire will find it easier to report offences thanks to a decision by Nottinghamshire Police and partners Nottinghamshire County Council, Nottingham City Council and Nottingham City Homes to re-commission the Stop Hate UK 24-hour reporting line.

This service has operated throughout Nottinghamshire since November 2010, providing an independent and

confidential means of victims and witnesses reporting incidents of hate and accessing advice and support. I'm really pleased to support this highly valuable service which ensures that victims always have somewhere to turn, even out of office hours, and most importantly can do so anonymously. Hate crime is unacceptable and we need to expose those who are driven by hate and ignorance. The only way we are going to be able to address it is if more people come forward to report their experiences and to achieve this we need to ensure we are doing everything in our power to make them feel supported.



Tough new plans to reduce alcohol abuse unveiled

It's involved many months of work and numerous discussions but finally we've pulled together the county's first Alcohol Strategy which sets out a clear course of action for tackling alcohol abuse in Nottinghamshire in the future.

This strategy is the product of my first Alcohol Conference which took place in the summer and brought together a multitude of people involved in responding to alcohol abuse. As I mentioned before, partnership work is now thoroughly embedded in all aspects of my crime prevention work and nowhere is this more evident than in this document, which sets out how we will all jointly support each other to lessen the impact of alcohol addiction on the health service, public safety, individuals, families and local taxpayers – while also protecting the prosperity of the night-time economy.

.Part of our ambitious plans include increasing information-sharing between various agencies to sign post people to support quickly as well as tougher enforcement through expanding the number of proactive licensing visits to check compliance. The key theme is early intervention to stop a chain of events which could include a hospital admission, a crime being committed or a vulnerable person becoming a victim of crime.

This strategy has been heavily influenced by local opinion, gathered via our consultation survey between May and September. We know that alcohol use is a problem in many local neighbourhoods, regardless of whether they are sited close to pubs and clubs, and that there is widespread support for tougher controls on alcohol sales, marketing and promotion. As a result, we've agreed to trial fresh approaches which have found success elsewhere in the country to make it more difficult to drink to excess without it leading to severe and possibly criminal consequences.

I'm very excited that we're now in the implementation phase and I hope that at some time in the future I will have positive news about the results.

Police dog pensions secure future healthcare

From committing to Living Wage rates for Force employees through to protecting the future of retired police dogs, everyone who serves in the name of Nottinghamshire Police is respected and valued by the Force. The latter scheme is something I was only too keen to support last month in recognition of the sterling work undertaken by Nottinghamshire's retired police dogs over the years.

The Police Dog Pension Scheme will provide ongoing costs relating to medical injuries or illnesses arising from their hard work on the frontline for three years following their service. It's only right that these dogs are compensated for the long hours, tired legs and aches and pains of a life fighting crime and I'm sure everyone living in Nottinghamshire shares my appreciation of their commitment to making our county safer.





The Power of Restorative Justice

Earlier this month I hosted a conference, in partnership with a community interest company called 'No Offence', on Restorative Justice (RJ) which saw national and local figures sharing their views on best practice, with personal experiences provided by both victims and perpetrators.

Overall around 50 people attended and the feedback was more than positive.

I can see the benefits of RJ for everyone concerned and it certainly seems to reduce the number of first time offenders who go on to reoffend. It's not the sanction for all types of crime, but used effectively it is a powerful tool.

Restorative justice has the potential to make savings and improve outcomes if used properly. A win, win, win for victim, offender and society. The flexibility of how and where it can be used is a benefit, but there still lacks a clear strategy to



ensure restorative justice approaches are applied consistently. Hopefully, the day enabled us to make some progress and establish a way forward.

KEEP ON TALKING

I'm delighted that so many people contact me, with problems, compliments and comments. This is particularly important as I need to be able to listen to your views and learn from them and also know that you can keep up to date with what my Deputy, my team and I are doing.

Whatever I do, I am answerable to you, the electorate. You can contact me at any time to ask questions or put your views across.

You can visit:

www.nottinghamshire.pcc.police.uk.

You can follow me

@PaddyTipping and @NottsPCC
or Facebook PaddyTipping or NottsPCC.

You can write to me at:

Nottinghamshire Office of the Police and
Crime Commissioner, County Hall, West Bridgford,
Nottingham NG2 7QP

E-mail me at:

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Telephone me on:

0115 967 0999 ext 801 2005.

For Information / Consideration	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	18th February 2014
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
E-mail:	
Other Contacts:	ACO Monckton and Paul Steeples
Agenda Item:	5

FINANCIAL REPORTS FOR 2014-15

1. Purpose of the Report

1.1 As part of the annual financial cycle the following reports are produced to ensure financial probity:

- Precept Report
- Revenue Budget
- Medium Term Financial Plan
- 4 year Capital Programme
- Treasury Management Strategy
- Reserves Strategy

These reports are approved by the Commissioner (with feedback from the Police & Crime Panel in relation to the proposed change in precept).

1.2 The reports are brought to this panel as items for noting. However, below demonstrates the assurance that members can obtain from these reports.

2. Recommendations

2.1 Members are requested to note the financial reports provided and the explanation within this covering report relating to the assurance that can be obtained from the reports.

3. Reasons for Recommendations

3.1 This complies with good financial governance.

4. Summary of Key Points

FUNDING

4.1 The Commissioner received on the 18th December 2013 the provisional settlement of grants for the 2014-15 year. This form of funding accounts for 75% of total funding with the precept making up the remaining 25%.

- 4.2 The amount of police & crime grant received reduced by 4.8% compared with 2013-14. There is no action that can be taken to change this. However, the Commissioner did write to the Policing Minister and Home Secretary providing feedback on the proposed settlement. A copy of this letter is attached at **Appendix A**.
- 4.3 The amount of precept increase has a referendum limit of 2%. The commissioner could have considered going above this limit, but to do so would have incurred the cost of holding a referendum and if that failed also the cost of re-billing very household in Nottinghamshire. This was not considered viable option.
- 4.4 The Government has made the offer of a freeze grant for 2014-15. The Commissioner in considering this offer has had to consider the ability and willingness of the people of Nottinghamshire in being able to pay an increase on their Council Tax (which has a long term benefit to the financial position of the OPCC and Force), with that of accepting the freeze grant offer (which will increase the funding gap in 2016-17, when it expires).
- 4.5 The Commissioner has decided to increase the precept by 1.96% and decline the offer of the freeze grant. The longer term financial stability of the OPCC and Force was the main consideration behind this decision. This was also supported by the public views obtained in the consultation events and on-line survey.
- 4.6 This was reported to the Police & Crime Panel (3rd February 2014), which has the power to reject a change to the precept by saying it is too high or too low. The Panel supported the change and therefore no further deliberation by the Commissioner was required.
- 4.7 Members should therefore be assured that whilst all options are considered they are considered very carefully with the advantages and disadvantages being fully explored. The results of this process are made open and transparent in the meetings held and reports published.

REVENUE EXPENDITURE

- 4.8 Having calculated the total amount of funding available this has to be matched to the Commissioners and Force plans and revenue pressures for 2014-15. The gap identified for 2014-15 was a shortfall on funding of £12.7m.
- 4.9 During the year the Commissioner had an Independent Base Budget Review undertaken This confirmed that the Force were working on the appropriate areas to deliver efficiencies and all of the potential areas for savings were being incorporated into the Target Operating Model (TOM) – change programme.
- 4.10 It is a legal requirement to set a balanced budget for the next financial year.

- 4.11 The final budget proposed was a balanced budget, totalling £193.8m. Savings of £12.7m have been identified and a request to use reserves of £2m was granted in relation to one-off expenditure that did not make any future commitments on the revenue budget.
- 4.12 Members should be assured that the budget complies with the legal requirements of the Commissioner.

MEDIUM TERM FINANCIAL PLANNING (MTFP)

- 4.13 Having balanced the revenue budget for one financial year the Commissioner must have regard to the medium term and the pressures and commitments that are becoming known. For example the impact of the Governments Single Rate Pension Scheme on employers national insurance contributions - from 2016-17 this will cost the Commissioner and Force an additional £3.7m.
- 4.14 The Chief Finance Officer to the PCC builds in known pressures as they are understood and can be valued, together with assumptions in relation to funding available. This is then built into the pressures that the Force calculates in relation to pay awards, increments and inflation.
- 4.15 Over a four year period a financial picture as accurate as possible is developed and reported. This clearly identifies the future gaps in funding that will need to be met through the TOM (change programme) or collaboration with other forces and or partners.
- 4.16 The MTFP is also directly aligned with the workforce plan to provide and affordable workforce that can sustain performance levels and deliver a local policing model that the Commissioner approves.
- 4.17 Members should be able to obtain assurance that the Commissioner, through the Chief Finance Officer and the Force, takes a detailed account of the risks and opportunities available now and emerging over the medium term.

CAPITAL EXPENDITURE

- 4.18 Capital expenditure is required to ensure the appropriate assets are available for use by the Force in the achievement of the Police & Crime Plan priorities. This usually includes all assets of £10,000 or more.
- 4.19 The four year plan will include a very detailed plan of expenditure proposed for 2014-15 with outline plans for the following three years. This is now aligned with capital planning on a regional level, particularly in relation to IT investment.

- 4.20 Capital expenditure is financed from: a small amount of capital grant from the Home Office, capital receipts and prudential borrowing. The latter having revenue implications in relation to repayment of the debt. Revenue implications relating to the Minimum Revenue Provision (MRP) are also taken into consideration when planning capital expenditure. These revenue implications are included in the revenue expenditure budgets.
- 4.21 There are stringent rules relating to capital expenditure, capital financing and affordability.
- 4.22 Members should be assured that despite the economic climate the capital programme that is proposed ensures that the force will have the appropriate assets to fulfil their responsibilities.

TREASURY MANAGEMENT STRATEGY

- 4.23 This strategy underpins the capital expenditure and its proposed financing. It demonstrates over the medium term what financing is available and sets the parameters in which borrowing can be used.
- 4.24 There are indicators relating to treasury management and in relation to prudential indicators. These indicators define the levels in which the Chief Finance Officer can operate and which are affordable for the Commissioner.
- 4.25 Performance in relation to these indicators is provided in the autumn (half year report) and again as part of the year end outturn reporting.
- 4.26 The strategy itself also sets the parameters in assessing viability of financial organisations on the approved counter party list. Capita are the external advisors for Treasury Management and provide regular updates on counter parties and where they meet or do not meet the standards to be included on the Commissioners counter party list. Any variation from the levels and parameters set requires approval by the Commissioner in advance.
- 4.27 Members should be assured that there is a robust strategy and process in place that sets parameters to protect the financial assets of the Commissioner.

RESERVES STRATEGY

- 4.28 As with all public sector organisations there is a requirement to hold an appropriate level of reserves to ensure longer term financial viability.
- 4.29 The reserves strategy details the reserves that are held and how they can be used. There is a risk assessment in relation to the general reserve and details on the earmarked reserves and their use.

- 4.30 The level of reserves is kept under constant review and any request to use reserves has to be approved in advance by the Commissioner.
- 4.31 The current levels of reserves whilst healthy are not excessive in relation to other local bodies and the Chief Finance Officer makes a statement to that effect.
- 4.32 Reserves can only be used once and the possibility of replacing reserves becomes unlikely as revenue budgets continue to be squeezed. The best way to utilise reserves is to use it in providing pump priming financial resource to a project that once operational will deliver further savings. This is what is looked for in approving the use of reserves.
- 4.33 Members should be assured that an adequate level of reserves is in place and that there is guidance on how and when these reserves can be used.

5. Financial Implications and Budget Provision

- 5.1 None as a direct result of this report.

6. Human Resources Implications

- 6.1 None as a direct result of this report.

7. Equality Implications

- 7.1 None as a direct result of this report.

8. Risk Management

- 8.1 None as a direct result of this report.

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

- 9.1 This report complies with good governance and financial regulations.

10. Changes in Legislation or other Legal Considerations

- 10.1 None

11. Details of outcome of consultation

- 11.1 Not applicable

12. Appendices

- 12.1 Appendix A - Letter of Representation on funding 2014-15

The Rt. Hon. Theresa May MP
House of Commons
London
SW1A 0AA

c.c. Policing Minister
policeresourcespolicy@homeoffice.gsi.gov.uk
simon.efford@apccs.pnn.police.uk

6th January 2014

Dear Rt Hon. Teresa May

Provisional Settlement 2014/15

In response to consultation on the settlement for 2014-15.

The settlement announced is broadly in line with our estimates. However, only providing one years settlement impedes our ability for medium term financial planning. The lack of information for 2015-16 is especially frustrating. With the resources available in the Home Office it should have been possible to calculate how the impact of Autumn Statement on budgets on time for the settlement announcement.

As OPCC's we are able to work through such scenarios working from the assumptions we have already modelled. Why then is the Home Office unable to do this? But more importantly when will we know provisional figures for 2015-16?

This settlement also sees a significant amount of money being top sliced from police grant to fund the innovation fund, College of Policing and HMIC. This equates to 1.9% of total grant available for policing and would have gone a long way to protecting the front line.

The settlement report also fails to detail how long each of the elements of top slicing will continue to be funded this way. None of them seem to be one-off top slicing projects.

Again settlement with individual police areas makes no movement from the damping mechanism. Your letter states that it ensures all police areas are treated the same with a 4.8% reduction. However, this would only be the case if we were all operating from an equal base. Where each policing area actually receives the amount allocated in the funding formula. Only once this is in place would a 4.8% reduction actually be on an equal basis.

This brings me to the current review of the funding formula, it is frustrating to see that this seems to be being pushed further into the long grass. If the review is ever

finalised it will only provide equality if there is a move from the “floors” transitional equivalent over a set period of time announced with the revised formula. Are you able to provide assurance on when the review will be complete and the period of time for achieving full implementation?

Therefore, whilst the settlement for 2014-15 is broadly in line with our estimates this still leaves us £10m per annum on average to identify as savings (£13.6m in 2014-15). This is despite our willingness to collaborate wherever possible.

We still face more “unknowns” in our medium term financial planning, as the Home Office information is not forthcoming.

I hope that the Home Office can provide the answers as soon as possible.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Paddy Tipping'.

Paddy Tipping
Police and Crime Commissioner

For Information / Consideration	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	18th February 2014
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
E-mail:	
Other Contacts:	Angela Ward
Agenda Item:	6

INTERNAL AUDIT PROGRESS REPORT

1. Purpose of the Report

- 1.1 To provide members with an update on progress against the Internal Audit Annual Plan and the findings from audits completed to date.

2. Recommendations

- 2.1 Members are recommended to consider the report and where appropriate make comment or request further work in relation to specific audits to ensure they have adequate assurance from the work undertaken.

3. Reasons for Recommendations

- 3.1 This complies with good governance and in ensuring assurance can be obtained from the work carried out.

4. Summary of Key Points

- 4.1 The attached report details the work undertaken to date and summarises the findings from individual audits completed since the last progress report to the panel.

5. Financial Implications and Budget Provision

- 5.1 None as a direct result of this report.

6. Human Resources Implications

- 6.1 None as a direct result of this report.

7. Equality Implications

- 7.1 None as a direct result of this report.

8. Risk Management

8.1 None as a direct result of this report.

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

9.1 This report complies with good governance and financial regulations.

10. Changes in Legislation or other Legal Considerations

10.1 None

11. Details of outcome of consultation

11.1 Not applicable

12. Appendices

12.1 Appendix A - Internal Audit progress report.

Nottinghamshire Office of the Police & Crime Commissioner and Nottinghamshire Police

Internal Audit Progress Report

18th February 2014

Introduction

The internal audit plan for 2013/14 was approved by the Joint Audit & Scrutiny Panel on 14 February 2013. This report provides an update on progress against that plan and summarises the results of our work to date.

Summary of Progress against the Internal Audit Plan

Assignment <i>Reports considered today are shown in italics</i>	Status	Opinion	Actions Agreed (by priority)		
			High	Medium	Low
Audits to address specific risks					
Culture	Final Report issued	Advisory*	-	-	-
<i>Commissioning</i>	<i>Final Report issued</i>	<i>Advisory*</i>	-	-	-
Governance – Financial Governance	Final Report issued	Advisory	-	-	-
Data Quality – Medacs	Final Report issued	Advisory	8		
ICT Resilience	Refer to comments below				
Performance Management – Manifesto	February 2014				
Scrutiny Panel – Anti Social Behaviour	Final Report issued	Reasonable Progress	-	-	-
Business Continuity	Scoping meeting booked – 28 th Feb				
Workforce Planning	Draft report issued				
<i>Equality & Diversity</i>	<i>Final Report issued</i>	<i>Green</i>	-	-	3
Health & Safety	Draft report issued				
<i>Environmental Policy</i>	<i>Final report issued</i>	<i>Green</i>	-	2	3
Attendance Management	March 2014				
Volunteering	Refer to comments below				
<i>Estates</i>	<i>Final Report issued</i>	<i>Green</i>	-	-	1
Joint Tasking & OPR	Refer to comments below				
Payroll	Final Report issued	Green			
Training	Complete	Not Applicable			
Follow Up	Final Report issued	Good Progress	-	-	-

*ADVISORY RECOMMENDATIONS WERE INCLUDED WITHIN THIS REVIEW.

Other Matters

Following our meeting with Senior Management in January, it was agreed that the reviews of Volunteering and Joint Tasking be deferred as the areas are not currently high priority for the Force. Furthermore, the allocation of ICT Resilience needed to be considered, as this was originally a joint piece of work with Derbyshire. It would be useful to focus this resource on other issues. Therefore, it was agreed that a review of Management of Police Information and a review of Value for Money linking into the governance arrangements and the processes in place, be completed instead. It is intended that these reviews will be scoped on 28th February.

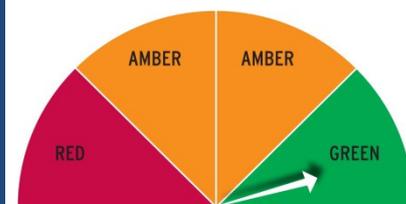
KEY FINDINGS FROM INTERNAL AUDIT WORK

Assignment: Grant Application	Opinion:	Advisory
<p>The Nottinghamshire Police and Crime Commissioner has set up the Community Safety Partnership Fund specifically to assist small local groups to reduce crime and antisocial behaviour and protect and support victims of crime at neighbourhood level. For 2013/14, organisations were encouraged to complete and submit the Community Safety Partnership Fund application form, prior to the 24th May 2013 deadline. Following review of the applications, the OPCC approved and has funded 28 community led projects to the collective value of £350,000.</p> <p>In September 2013, Nottinghamshire Office of the Police & Crime Commissioner received an allegation in relation to a grant application form for a project run by partner organisation. The allegation suggested that the application form was fraudulent as the partner organisations included within the bid had not provided their approval for being named and included. Following some internal investigations, in November 2013, we were asked to provide an independent review for which the following elements were to be considered;</p> <ul style="list-style-type: none"> • To meet the Chief Executive of the Organisation in question (the officer that has also signed the application form) to understand how the application form was completed, who was involved in the completion of the form and how approval was gained from the partners listed within the application form to assist with the delivery of the project. • A telephone meeting with the CEO or equivalent from other partner organisations to establish whether they did agree for their organisations to act as partners and to deliver the roles included within the application form. We will require evidence of this agreement and evidence of their involvement in delivering the objectives of the project • To provide a view as to whether the application form had been completed robustly based on reliable source data and whether any grant payments made to date, are appropriate and should therefore continue. <p>The review was advisory in nature and no formal assurance was provided.</p> <p>Our view is that the grant application form had been completed in good faith and the inclusion of the partner organisations to be involved in the project delivery was done so on the assumption that the partner organisations were willing to be involved. Our review confirmed that representatives from the partners included within the application form had been involved in informal discussions around the project scope and in the completion of the application form, prior to the submission deadline, albeit the formal approval to be included from their respective organisations had not been sought. It had been assumed that the involvement of the partner organisations was known.</p> <p>Recommendations around the improvement of governance and transparency have been included within the report. The governance arrangements around the completion and verification for both the partner organisations submitting a grant application form and the Office of the Police & Crime Commissioner, in receipt of the application form, can be and should be improved, to represent a robust and transparent process, moving forward. For this particular review, a number of areas have been highlighted where the PCC needs to gain assurances to minimise any reputational risks and these areas include off payroll payments and declaration of interests.</p>		
Action	Responsible Officer	Date
For those grants that have been agreed, prior to formal approval, the Organisation should receive assurances from partners that are included within the application that they have agreed their involvement in the proposed project. It is considered that this will strengthen the governance around the complete grant application process. These assurances could also be extended to include verification around the structures in place around the payment for services to be provided by the partner	Chief Finance Officer	Feb – Apr 2014 as part of the award of small grants

<p>organisations.</p> <p>Management Comment</p> <p>As far as is reasonably possible we will:</p> <ul style="list-style-type: none"> • Request written evidence of partnership agreement and involvement in the project. Either by letter or minute. • Request confirmation of whether all payments to those involved in project delivery are made through PAYE. This is as far as our requirement can go as it is the individual's responsibility to ensure their tax is in order. 		
<p>Where the PCC has any influence over meeting structures, it should be encouraged that there is a standing agenda item on 'Declaration of Interests.' Furthermore, at the approval stage of the grant funding, the parties involved with the project should be requested to declare any interests that they may have, either with the partners listed within the application form, to assist with the deliverables, or with any partner organisation involved with Nottinghamshire PCC or Police. This will provide, from the outset, the understanding of organisation structures and highlight any areas where closer scrutiny may be required.</p> <p>Management Comment</p> <p>Not something we can require. This is the organisations themselves to ensure.</p> <p>We will advise where we can and put such advice in the Guidance Notes for future funding.</p>	<p>Chief Finance Officer</p>	<p>Feb – Apr 2014 as part of the award of small grants</p>
<p>It is considered to be beneficial to introduce a programme of unannounced visits to projects, throughout the year. This will provide an opportunity for the Organisation to receive assurance that the project is running as intended and is maintaining the necessary documentation to support the delivery and operation of the project.</p> <p>Management Comment</p> <p>Projects over £10k already complete a twice yearly monitoring form, with projects under £10k completing a single monitoring form.</p> <p>A programme of announced monitoring visits will be made during 2014-5.</p>	<p>Chief Finance Officer</p>	<p>April 2014 onwards</p>

Assignment: Equality & Diversity

Opinion:



The Equality Act 2010 (Specific Duties) Regulations 2011 requires Nottinghamshire Police to consult on, and then publish, one or more specific and measurable equality objectives which will aid them to progress their responsibilities under the public sector equality duty.

Four objectives were identified in March 2012 and Goal, Measure of Success and a timescale were assigned to each objective. The four objectives cover all areas of Policing and are as follows;

Equality Objective 1 – Proportionality

'We will ensure that across all areas of operational performance that; policing powers are used proportionately; our services are accessible to all, and crimes that disproportionately affect and impact particular protected groups are dealt with proactively.'

Equality Objective 2 – Engagement

'We will regularly and meaningfully engage with our local and diverse communities to ensure that what we do focuses on their needs and reflect their concerns and experiences.'

Equality Objective 3 – Culture

'We will be recognised both locally and nationally as an organisation people choose to work for because of its reputation for treating people fairly, respectfully and without discrimination.'

Equality Objective 4 – Representation

'We will increase the extent that our workforce is representative of the communities of Nottinghamshire and ensure that all staff have the opportunity to progress and develop so that this representation is reflected at all levels within our organisation.'

The audit has specifically considered the second Equality Objective – Engagement. It was considered that recent audit work or audit work scheduled to be completed during 2013/14, for example Workforce Planning would provide further assurances surrounding work being completed across the Force and ultimately the achievement of the listed Equality Objectives.

The key findings from this review are as follows:

- The Equality Act 2010 (specific duties) Regulations 2011 required Nottinghamshire Office of the Police & Crime Commissioner & Nottinghamshire Force to publish one or more specific and measurable equality objectives for a maximum period of 4 years. As part of the review, it was confirmed that there are 4 objectives for the period 2012-2016. Each objective is led by the Assistant Chief Constable (Local Policing) reporting to the Equality Diversity and Human Rights (EDHR) Board, which is held on a quarterly basis and chaired by the Chief Constable. It was confirmed that the 4 equality objectives are a standing item on the agenda.
- The Equality & Diversity and Human Rights Working Group meeting on 31st January 2012 was the starting point for the development of the Equality and Diversity objectives. Within this meeting it was suggested that the following 4 areas should be taken forward as priorities;
 - Stop & Search
 - Retention and Progression
 - Engagement with underrepresented communities
 - Culture.

For each of the objectives, a number of goals have been set together with measurable success and timescales.

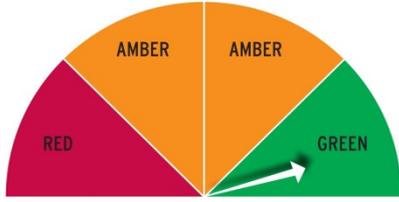
- Communication with the local community is through the Independent Advisory Groups (IAG). The

Force is currently in the process of developing a new website where what the IAGs do and dates of meetings are to be noted which will increase numbers. Currently the local PCSO and Police on the beat identify potential members of the IAGs through getting to know the community.

- Performance against Measures of Success is reported through the Local Policing & Operational Support Performance Board. A monthly Performance & Insight Report is produced by exception, highlighting areas that are not performing against target, have a negative trend and/or have been requested by the PCC or Chief Constable. It was noted that there were several measures that were not achieving the target. Actions have been identified and reported to improve the performance.
- Victims of crime satisfaction levels have not reached the yearly target set by the Force of 90%. For the 12 month period to April 2013 this stood at 87.1%.
- There are disparities between satisfaction for Black and Minority Ethnic (BME) and White victims of crime within the City Division and a large difference in satisfaction rate for Anti- Social Behaviour in the County Division.
- The Measure of Success 'the percentage of people who agree that local issues are being dealt with to achieve the target of 60% by April 2015' has not reached its 2012 -2013 target of 58%.
- Witness satisfaction has been included as a Measure of Success, although this data is not currently being collected by the Force.
- Independent Critical Incident Advisors are no longer utilised by the Force. The Action Plan should be updated to reflect this change to the use of Key Individual Networks.
- The Measure of Success 'Feedback from Independent Advisory Groups, partners and other forums representing diverse individuals and communities demonstrates satisfaction with the organisations contribution to community cohesion ' needs to be amended as the Independent Advisory Groups do not have access to the required information to demonstrate satisfaction with performance.
- The Force sees social media as a power tool allowing two way communications with communities. At the time of the review, it was reported to the Equality, Diversity and Human Rights Strategic Board that 22 members of staff had Twitter accounts, with a further 10 planned to be launched each month once the new website had been implemented. As part of the audit we liaised with the Strategic Support Officer to establish if there were associated risks included within the Risk Register. For instance there would be an increased risk of staff potentially tweeting information that has not been checked, prior to submission to the wider community. The Strategic Support Officer confirmed that the Force do not currently have any risks associated with misuse of social media included within the risk register. Clearly, the Force recognises that there are some risks in this area, but currently they are not considered significant to warrant their management within the strategic risk process. This is noted at this time; however it may be an area that the Force and the PCC may wish to monitor, moving forward.
- It was confirmed, on review of agenda documentation and minutes, that officers of the PCC attend the Local Policing & Operational Support Performance Board, Local Policing Board or Operational Support Board.

Action	Responsible Officer	Date
<p>The disparities between satisfaction for Black and Minority Ethnic (BME) and White victims of crime within the City Division should be investigated in order to identify the reason behind this.</p> <p>In addition, the significant difference in the satisfaction rate for Anti-Social Behaviour in the County Division should also be investigated. It may be beneficial to identify a specific measurable outcome for this particular element, so that it can be robustly measured and managed. (Low)</p>	Kevin McCudden (Equality and Diversity Advisor)	Already Implemented
<p>The following Measure of Success - '<i>A robust and representative Independent Critical Incident Advisor structure is in place</i>' should be amended to incorporate</p>	Kevin McCudden (Equality and Diversity Advisor)	31/01/14

the introduction of the Key Individual Networks. (Low)		
The Measure of Success for the Engagement Goal <i>'Diverse individuals and communities, stakeholders and partners scrutinise performance outcomes and report confidence in both processes and progress'</i> needs to be reworded to provide clarity that the Independent Advisory Groups do not and cannot specifically review performance outcomes. (Low)	Kevin McCudden (Equality and Diversity Advisor)	31/01/14

Assignment: Estates	Opinion:	
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The Estates Department has been charged with reducing the cost of the estate by £2.4 million by the end of 2015, as set out in the Forces Medium Term Financial Plan.

In order to achieve this, the department has developed a 'Rationalisation Project'. This is currently in Stage Three of the project after Stage One involved the disposal of police housing and Stage Two included the reduction of the size of the estate through a number of small projects. Stage Three has been developed to contribute to the delivery of a number of the Force's strategic objectives set out in the Policing Plan 2011-15 and to deliver further cost savings by reducing the number of buildings, running and maintenance costs. To achieve these savings all buildings within the estate are being reviewed.

The key findings from this review are as follows:

- An Estates Strategy covering the period of 2012 – 2015 is in place which covers the short term objectives of the Estates Department. This was agreed in February 2012 and has been reviewed by the Commissioner in an informal manner since the implementation of the PCC.
- 'Estates Phase 3 Programme of Work – Target Areas for Further Estates Rationalisation and Savings' spreadsheet identifies how the Estates Department is to achieve its objective of saving £2.4 million by the end of 2015, as set out in the Forces Medium Term Financial Plan.
- Business cases are developed for the projects identified with the Estates Rationalisation, during the weekly Estates meeting. Once solutions for these projects have been identified the Business Cases are presented at the Corporate Services Programme Board for approval.
- The Estates Department has compiled a risk register for the Rationalisation Project. This is reviewed at the monthly Estates Project Board meeting.
- Monthly 'Highlight Reports' are produced for projects which have an approved Business Case in place. These highlight the progress of the projects for the Estates Project Board meeting. Each project is rated 'Red' 'Amber' or 'Green' dependant on issues identified and progress made.
- 'Red' or 'Amber' Highlight reports are presented at the Corporate Services Programme Board to inform Senior Management of issues identified.
- The Estates Department complete a conditional survey on all buildings every five years. Identified issues are given a priority rating of one to four, with one being urgent work is required. These works are included within the 'Summary of findings reports' which identify works to be completed.
- A register of contracts for preventative and pre-planned maintenance is held by the Estates department. It was confirmed that only contractors documented on this list are undertaking work.
- Reactive repairs are reported to the Maintenance Team via email or telephone. These are added to the maintenance spreadsheet by the Maintenance Assistant who then allocates these jobs to members of the Facilities Team, depending on the priority assigned to the work. Non-emergency jobs are to be completed within 7 working days. Emergency jobs are dealt with instantly, with members of the Facilities Team on call 24/7. Logging of the progress of these jobs is monitored via

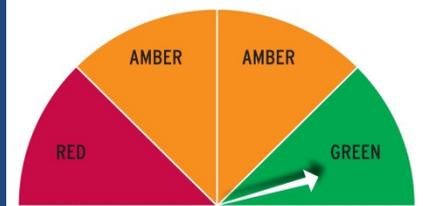
this spreadsheet.

We have included one low priority recommendation in relation to ensuring the system is implemented that will remove the need for repairs to be logged and tracked, via a spreadsheet and provide for a much more efficient recording and monitoring mechanism.

Action	Responsible Officer	Date
Ensure that the new computerised Facilities system is implemented which will allow jobs to be reported and monitored, in a much more efficient manner. (Low)	Tracey Blincow (Facilities Manager)	2 May 2014

Assignment: Environmental Policy

Opinion:



The Environmental department of Nottinghamshire Police has been set three key performance indicators;

- 30% reduction in carbon saving from 2010 - 2015
- A 5% reduction in waste year on year (since 2012); and
- To ensure that recycling rates are maintained at 85%.

The 30% reduction in carbon by 2015 has been set in conjunction with the Carbon Trust, who the Force has been closely working with. The remaining targets have been suggested by the Environmental Officer and agreed with the Environmental Management Board - in line with industry averages, but at the same time provide the Force with challenging targets to meet.

The key findings from this review are as follows:

- An Environmental Policy is currently being drafted, which incorporates best practice from environmental policies from a number of different forces. At the time of the audit, the draft policy is being reviewed by the Environmental Management Group.
- The Force in partnership with the Carbon Trust has developed a Carbon Management Strategic Plan, which identified how the Force plans to achieve its target of reducing carbon emissions by 30% by the end of 2015.
- An Environmental Management Group has been set up, which meets on a quarterly basis. The performance of the Force against its three KPIs is monitored through the presentation of reports.
- Day to day compliance issues are dealt with by the Environmental Team. Serious issues are referred to the Environmental Management Group.
- A legislative register is maintained by the Environmental Team identifying all legislation that is applicable to Nottinghamshire Police. This is populated by the Environmental Officer and reviewed by the Health and Safety Team and colleagues at other forces.
- Staff and Officers are provided with training and/or marketing to raise awareness of the Environmental Policy.

Our testing identified some weaknesses in compliance, in the following areas;

- Further publicising of the Forces KPIs is required to ensure that Officers and staff at all levels of the Force are aware of the targets that have been set. An increased awareness will increase participation which would help the Force achieve its environmental objectives.
- The Carbon Management Strategic Plan requires an update to reflect the work already completed and if funding has now been obtained for future projects identified. This will allow the Force to

<p>identify its current performance against the reduction target.</p> <ul style="list-style-type: none"> ○ The Environmental Management Group was not receiving performance information specifically for the KPI in relation to reducing carbon. ○ A clear audit trail was not available to establish if all Force sites had been subjected to a Health & Safety site survey, during the current year. ○ The legislative register does not record when this was last reviewed by the Environmental Officer or other members of the Force. Confirmation of review will provide the Force with assurance that relevant legislation has been identified and considered. 		
Action	Responsible Officer	Date
The Force should ensure that employees at levels below the Chief Officer Team and Senior Management are fully aware of the environmental targets set. This could be through the use of Environmental Champions or better publicity through the Forces intranet. An increased awareness will increase participation which would help the Force achieve its environmental objectives. (Medium)	Ainsley Peters (Environmental Advisor)	30/09/2014
The Force should ensure that the Carbon Management Plan was updated ensuring that the Environmental Team has an accurate understanding of how they are currently performing against their CO2 emissions reduction target of 30%. (Low)	David Heason (Building Surveyor)	31/03/2014
A clear audit trail should be created to document where Health & Safety site surveys have been undertaken and the dates these have been completed, to ensure that all sites are subjected to this type of review during the year. If the surveys are documented, any similar issues across the various sites will be easily flagged and consistent action taken. (Medium)	Ainsley Peters (Environmental Advisor)	31/03/2014
The Force should consider introducing a version control to create an audit trail of when the register was updated and for what reason. This should also include dates when the register has been reviewed by the Health & Safety Team or colleagues in other forces to ensure that all legislation applicable to the Force is included. (Low)	Ainsley Peters (Environmental Advisor)	28/02/2014
The Force should consider creating a section on the Force website informing the public of targets, progress made and successful projects as part of the 'Spend your Money Wisely' objective. (Low)	Ainsley Peters (Environmental Advisor)	30/09/2014

The matters raised in this report are only those which came to our attention during our internal audit work and are not necessarily a comprehensive statement of all the weaknesses that exist, or of all the improvements that may be required. Whilst every care has been taken to ensure that the information provided in this report is as accurate as possible, based on the information provided and documentation reviewed, no complete guarantee or warranty can be given with regard to the advice and information contained herein. Our work does not provide absolute assurance that material errors, loss or fraud do not exist.

This report is prepared solely for the use of senior management of Nottinghamshire Office of the PCC and Nottinghamshire Police. Details may be made available to specified external agencies, including external auditors, but otherwise the report should not be quoted or referred to in whole or in part without prior consent. No responsibility to any third party is accepted as the report has not been prepared, and is not intended for any other purpose.

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For Information	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	18th February 2014
Report of:	ACO, Resources
Report Author:	Beverly Topham Strategic Support & Review Officer
E-mail:	Beverly.topham@nottinghamshire.pnn.police.uk
Other Contacts:	Read Hibbert, Planning and Policy Officer Julie Mair, Organisational Development Manager Paul Steeples interim Head of Business and Finance
Agenda Item:	7

Audit & Inspection

1. Purpose of the Report

- 1.1 To provide the Audit and Scrutiny Panel with an update on the status of audits and inspections taking place in Force. This report also informs the Panel of expected future audits and inspections.

2. Recommendations

- 2.1 That the Audit and Scrutiny Panel note the progress made against audit and inspection recommendations.
- 2.2 That the Audit and Scrutiny Panel take note of forthcoming audit and inspections.

3. Reasons for Recommendations

- 3.1 To enable the Audit and Scrutiny Panel to fulfil its scrutiny obligations to oversee and consider Force arrangements to deliver against audits and inspections.

4. Summary of Key Points

- 4.1 The actions outlined in this report are the result of recommendations made by the Force's internal auditor Baker Tilly (formerly RSM Tenon) and external inspectorates, such as Her Majesty's Inspectorate of Constabulary (HMIC) and Criminal Justice Joint Inspectorate (CJJI). They are managed through the Force Action Plan process and reported at the Chief Officer Portfolio Boards on a monthly basis.
- 4.2 In line with the Force's new meeting structure an update on audit and inspection will also be given at the Corporate Governance Board.

4.3 **Status of actions arising from audits and inspections** - Appendix 1 outlines the status of all live actions arising from audits and inspections and those completed in Quarter 3.

4.4 **Completed actions** - Appendix 2 outlines the actions arising from audits and inspections that have been completed during Quarter 3.

4.5 **Overdue actions** - There is 1 action arising from audit and inspection which is currently overdue:

- **RSM Tenon (Baker Tilly) – Partnership Governance**

Action: Establish, communicate and implement a partnership policy to include a partnership working definition and adherence to the criteria according to the CIPFA guidance.

Comment: This action has now been passed to ACC Torr to direct as appropriate. A new completion date will be assigned.

4.6 **Recent Audits and Inspections.**

HMIC: Making Best Use of Police Time. 2nd – 5th December 2013. (Pilot. Hot debrief notes only).

HMIC: Domestic Abuse and Voluntary Peer Inspectors. Awaiting final report.

4.7 **Forthcoming audits and inspections** - There are currently two inspections confirmed for Quarter 4:

HMIC: Making Best Use of Police Time. 24th-27th March 2014

- Three related areas of business will be drawn together to form this inspection: preventative policing, police attendance and freeing up police time. This inspection programme will provide a national assessment, against the austerity backdrop, of how effective forces are at preventing crime, responding to calls for service from the public and how they create additional capacity to focus on activities that are key to reducing crime and improving public satisfaction and confidence.

HMIC: Valuing the Police 4 (VtP4) Phase 1. (Data collection March 2014 with fieldwork inspections between April and May 2014. Date tbc.)

- In VtP4 HMIC will seek an update on how forces are responding to the remainder of the spending review but in particular look at their preparations for 2015/16 and beyond. It is HMIC's intention to have a stronger focus on service delivery, the effectiveness of forces' responses (in particular the contribution of collaboration) and the management and approach to future risk.

4.8 One audit and inspection has been confirmed for Quarter 1 - 2014/15.

HMIC: Building the Picture – Information Management. (date tbc).

The inspection will focus on:

- Whether force strategies, policies and procedures for information management adhere to the principles of the MoPI doctrine, are proportionate to risk and fit for purpose;
- Whether information and intelligence is captured, recorded, evaluated, acted upon, audited and retained by the police (including safeguarding interventions) in an effective way;
- Whether the use of the PND is effective and efficient;
- The identification of inspection criteria that can be introduced into other future inspections

4.9 A number of audits reports have recently been received and actions need to be agreed for these, there are also a number of reports due. All of these reports will be scrutinised and where necessary actions agreed and added to the Force Action Plan.

Audit reports received and actions to be generated:

Health & Safety
 Estates Management
 Environmental Policy
 Income and Debtors
 Fixed Assets', inventories and insurance
 General Ledger
 Workforce Planning
 Payroll Expenses

Audits reports due:

Budgetary Control
 Cash, Banking and Treasury Management
 Equality and Diversity

5 Financial Implications and Budget Provision

5.1 There are no direct financial implications. If financial implications arise from recommendations raised from audits, inspections and reviews these implications are considered accordingly. Where an action cannot be delivered within budget provision, approval will be sought through the appropriate means.

6 Human Resources Implications

6.1 There are no direct HR implications. Where an audit or inspection has Human Resources implications, these will be managed through the Force Action Plan.

7 Equality Implications

7.1 There are no direct equality implications. Any equality implications which arise from an audit or inspection recommendation will be managed on an individual basis.

8 Risk Management

- 8.1 There is a risk to Force reputation, if mandatory or agreed actions identified as a result of audit or inspections are not completed. The degree of risk will depend upon the nature of the audit or inspection and will be assessed on a case by case basis.

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

- 9.1 Where an audit or inspection recommends changes to Force Policy or Strategy, those changes will be managed through the Force Action Plan.

10 Changes in Legislation or other Legal Considerations

- 10.1 Where an audit or inspection relates to a change in Legislation or other legal considerations, those changes will be managed through the Force Action Plan.

11 Details of outcome of consultation

- 11.1 This process for monitoring audits, inspections and reviews has been agreed by COT and is scrutinised on a quarterly basis by the Corporate Governance Board.

- 11.2 Issue owners are consulted through the action monitoring process.

12. Appendices

- 12.1 Appendix 1: Status of actions arising from audits and inspections - Quarter 3.
Appendix 2: Summary of actions completed during Quarter 3.

Appendix 1. Audit and Inspection Action Status Report - Quarter Three

Status Key		Definition						
Red – Overdue		The action has passed its Target Completion Date and requires urgent review						
Green – On schedule		The action is likely to be completed by its Target Completion Date						
Title	Scrutiny Body	Audit / Inspection	Chief Officer Lead	Total number of actions	Number overdue	Number on schedule	Number completed	Status
Procurement - Programme of Change	RSM Tenon	Audit	ACO Monckton	7		1	6	On going
Culture Review	RSM Tenon	Audit	ACO Monckton	2		2		On going
Proceeds of Crime Act Audit Report 01.11/12	RSM Tenon	Audit	ACO Monckton	7		1	6	On going
Partnerships Governance 2012	RSM Tenon	Audit	ACO Monckton	1	1			On going
Report on an inspection visit to police custody suites in Nottinghamshire. 12-16 March 2013	HMIC	Inspection	ACC Jupp	1			1	Complete
Criminal Justice Joint Inspection Report on Unannounced Visit to Custody Suites	HMIP / HMIC	Inspection	ACO Monckton	38			38	Complete
				56	1	4	51	

Appendix 2: Completed Actions

Date added (Month / Year)	Source type	Source originator	Source title	Recommendation or area for improvement	Manager responsible	Action / Project (or manager's comment to support no action)	Estimated completion date	Action / Project update	Chief Officer	ACC / ACO Board decision	DCC Decision
21/05/2013	Audit	RSM Tenon	Procurement - Programme of Change	6. Review the service again within 6 months, focusing on the delivery of the revenue savings.	Ronnie Adams (Commercial Director Procurement)	Carry out a full review of procurement services to include the business case. Present the findings to the Corporate Services Programme Board.	30/09/2013	Update 01.10.13: An initial report was submitted to and discussed at EMSCU Board on 09.09.13. It was concluded that Programme of Change is on track to deliver a 'fit for purpose' commercial unit on schedule, further updates are to be presented to the Board on a quarterly basis.	ACO Monckton	ACO Scrutiny 26/09/2013.	DCC scrutiny 07/10/2013. BT presented the review and report. DCC supports closure.
March 2012	Review	HMIC	Without fear or favour: A review of police relationships	Forces and authorities institute robust systems to ensure risks arising from secondary employment are identified, monitored and managed.	ACO Monckton	Update Contracts of Employment for existing employees to state intellectual property rights	30/04/2014	Update SA 09/11/2013 This type of clause is usually used for very senior executives in private industry where there is information which is valuable to competitors. We can only change contracts with agreement by both parties, thereby staff could legitimately refuse to sign a new contract. No further action. Recommend Close.	ACO Monckton	ACO Scrutiny 25/11/2013.	05/12/2013 DCC scrutiny. BT presented SA email. DCC supports closure
15/10/2013	Inspection	HMIC	Report on an inspection visit to police custody suites in Nottinghamshire. 12-16 March 2013	7.3 The Police and Crime Commissioner or Chief Officer should engage with health care partners at a strategic level to reduce the number of detainees held in police custody under section 136 of the Mental Health Act 1983. (2.27)	ACC Jupp	Carry out an analysis and present a report to ACC Jupp / Torr so an informed decision can be made to enable the Police and Crime Commissioner or Chief Officer to engage with health care partners at a strategic level to reduce the number of detainees held	31/03/2014	Update 28th Nov P. White ACC Jupp. Analysis carried out and presented to ACC Jupp / Torr. This part of the action can be shown as complete.	ACC Jupp	ACC Scrutiny 19/12/2013. Supports decision to be governed through the Transformation Board.	DCC Scrutiny 04.12/2013. ACC presenting at a regional MH forum 5th Dec. This work is incorporated into the mental health project and Governance can be transferred through to the Transformation Board.
01/03/2012	Inspection	HMIP / HMIC	Criminal Justice Joint Inspection Report on Unannounced Visit to Custody Suites	7.41 All medical and nursing records should be subject to audit and remain compliant with the Data Protection Act and Caldicott guidance at all times.	ACO Monckton	Provide assurance that provider has in place an audit programme for all medical records to monitor compliance with the Data Protection Act and Caldicott guidance.	31/10/2013	Update 30.10.13: G4S have started to provide performance information and review medical records. However they have not yet provided a timetable of audits and inspections. This will be chased up for the next meeting Corporate Services Meeting. Update 05/12/2013 JC via phone to BT. Have emailed Sandra Hitchcock (G4S) to ask for audit results or where they are with this.	ACO Monckton	ACO Scrutiny 16/12/2013. Evidence provided by JC. This can now be shown as complete.	DCC Scrutiny 23/12/2013. Evidence presented support completion.
15/10/2013	Inspection	HMIC	Report on an inspection visit to police custody suites in Nottinghamshire. 12-16 March 2013	7.3 The Police and Crime Commissioner or Chief Officer should engage with health care partners at a strategic level to reduce the number of detainees held in police custody under section 136 of the Mental Health Act 1983. (2.27)	ACC Jupp	Carry out an analysis and present a report to ACC Jupp / Torr so an informed decision can be made to enable the Police and Crime Commissioner or Chief Officer to engage with health care partners at a strategic level to reduce the number of detainees held	31/03/2014	Update 28th Nov P. White ACC Jupp. Analysis carried out and presented to ACC Jupp / Torr. This part of the action can be shown as complete.	ACC Jupp	ACC Scrutiny 19/12/2013. Supports decision to be governed through the Transformation Board.	DCC Scrutiny 04/12/2013. ACC presenting at a regional MH forum 5th Dec. This work is incorporated into the mental health project and Governance may be transferred through to the Transformation Board.

For Consideration	
Public/Non Public*	Public
Report to:	Audit & Scrutiny Panel
Date of Meeting:	18th February 2014
Report of:	DCC Fish
Report Author:	Paul White, Strategic Support Officer
E-mail:	paul.white@nottinghamshire.pnn.police.uk
Other Contacts:	Paul Steeples, Interim Head of Business & Finance Julie Mair, Acting Organisational Development Manager
Agenda Item:	8

RISK, ASSURANCE & AUDIT PLAN 2014/15 REPORT (2013/14 Q4)

1. Purpose of the Report

- 1.1 To provide the Audit and Scrutiny Panel with an updated picture of risk assurance, progress in managing risk and proposals for the internal audit plan for 2014/15.

2. Recommendations

- 2.1 That the Panel scrutinise the level of assurance provided in respect of potential risks to the achievement of the PCC's and Force's objectives and progress made in managing specific threats and opportunities.
- 2.2 That the Panel approve the proposed internal audit plan for 2014/15.

3. Reasons for Recommendations

- 3.1 A report on assurance and risk was provided to the Corporate Governance Board to enable the Board to evaluate the effectiveness of risk management across the Force. Having been approved by the Board, this report is now presented to the Joint Audit and Scrutiny Panel.
- 3.2 The Board is responsible for approving the annual internal audit plan.

4. Summary of Key Points

- 4.1 Several significant changes have been made to the structure of this report since the last time it was presented.
- 4.2 The changes that have been made reflect the adoption by the Office of the PCC and the Force of the Cabinet Office approved Management of Risk (M_o_R) approach to risk management and the requirement to provide the Board with an overview of risk assurance across the organisation.

Risk assurance mapping

- 4.3 Appended to this report is a Risk Assurance Map (attached as **Appendix I**) which provides a summary of the degree of confidence that the PCC and Force can take from the controls that are in place to manage the different types of risk that may emerge in relation to specific organisational objectives.
- 4.4 The Risk Assurance Map shows the level of assurance that has been provided within the last three years from each of the three lines of defence:
- Management oversight – provided by the senior manager responsible
 - Internal audit – obtained through the annual audit plan of the Force's internal auditors, Baker Tilly, or through audits carried out by auditors employed by the Force
 - Independent assurance – obtained through entirely independent sources such as Her Majesty's Inspectorate of Constabulary (HMIC), other national inspectorates, or the Force's external auditors KPMG
- 4.5 The level of assurance provided has been classified according to the following system:
- Substantial – there is evidence that the controls in place to manage risk in this area are comprehensive and effective
 - Reasonable – there is evidence that significant controls are in place, but there are some doubts as to their coverage and/or effectiveness
 - Limited – there is evidence that some controls are in place, but there are significant doubts as to their coverage and/or effectiveness
 - None – there is no evidence of the coverage and/or effectiveness of controls (which may be because there has been no assurance activity within the last three years)
- 4.6 The Risk Assurance Map has been used to inform the annual internal audit plan, by clearly showing where the PCC and Force would benefit from the assurance that an internal audit can provide.
- 4.7 On the basis of the current Risk Assurance Map, the following areas have been considered for internal audit in the near future:
- Protection of vulnerable people (not including domestic abuse, as the Force is currently awaiting the outcome from a recent HMIC inspection)
 - Criminal justice
 - Policy / decision making
 - Vehicle fleet management
 - Training & development
 - Discipline & standards
- 4.8 The following areas already have some form of audit or inspection scheduled:
- Reducing crime (HMIC inspection Making best use of police time – March 2014)
 - Business continuity (Baker Tilly internal audit 2013/14 Q4)
 - Management of Police Information (MoPI) (HMIC inspection Building the picture – Spring / Summer 2014)
 - Data protection (Baker Tilly internal audit – 2013/14 Q4)

- Workforce morale / productivity (annual staff perception survey)

4.9 **Appendix II** presents the Draft Internal Audit Plan for 2014/15.

Risk progress reporting

4.10 The Strategic Risk Register Summary (**Appendix III**) provides an overview of the current level of risk exposure against each of the three strategic objectives in the Police & Crime Plan 2013-18:

1. Safer communities – *To cut crime and keep you safe*
2. Value for money policing services – *To spend your money wisely*
3. Improved trust and confidence in policing – *To earn your trust and confidence*

4.11 As part of the annual business planning process, a series of workshops is currently taking place with all Force business areas to identify specific threats and opportunities and assess them in line with the M_o_R approach. Once these have been identified and assessed they will be managed using a series of Risk Registers, in line with a revised Corporate Risk Management Policy and Process Guide.

4.12 Within the PCC's and Force's current risk registers the following Top 5 risks have been identified and assessed, are active and are being managed:

Risk description	Response plan
Further reductions in central government funding in the years 2015-18, expected to average £10m per year, affecting the Force's ability to manage within its budget	Development of Target Operating Model (TOM) & efficiency plan
A19 employment tribunal finding in favour of claimants and awarding damages against the Force	Contingent liability in accounts
Opportunity to generate additional income from the Police Innovation Fund	Early development of bids for next opportunity
An increase in breaches, warrants and recalls as a consequence of offender management reforms (part of the Transforming Rehabilitation agenda)	Active engagement through LCJB
Adverse media coverage arising from publicising of serious misconduct cases damages the Force's reputation	Proactive communication strategy

4.13 Since the last report the following risks have been closed:

Risk description	Reason for closure
Injury to officers if Tetratab devices installed in vehicles are detached from housing when the airbag deploys	Risk avoided by being designed out
Information Commissioner's Office (ICO) audit criticises the Force in relation to compliance with the requirements of the Data Protection Act	Audit completed and draft report received – risk did not materialise
Loss of mobile data functionality if Blackberry service provider (RIM Ltd) goes into administration and the network is switched off	Risk did not materialise

5 Financial Implications and Budget Provision

- 5.1 The annual maintenance cost for the Orchid Risk Management System is currently £5,700, with an additional £3,833.33 paid to Leicestershire Police for hosting the system (of which £2,000 is allocated for an annual security penetration test).

6 Human Resources Implications

- 6.1 Specific responsibilities for risk management as part of formal governance arrangements are detailed within the Corporate Risk Management Policy.
- 6.2 Professional support for implementation of the Policy is provided by one Strategic Support Officer within the Planning and Policy team (Business and Finance department), who is trained as an M_o_R Registered Practitioner.

7 Equality Implications

- 7.1 There are no known equality implications associated with the implementation of the Corporate Risk Management Policy.
- 7.2 Where a particular risk is identified that could have an impact on the PCC's or Force's equality objectives that risk will be managed through the use of the appropriate Risk Register.

8 Risk Management

- 8.1 If the PCC and Force do not practice effective risk management there is an increased probability that they will fail to be prepared to mitigate threats or take advantage of opportunities, or that they will make significant decisions without sufficient awareness of potential risks.

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

- 9.1 In order to implement the M_o_R approach the Office of the PCC and the Force will be updating their existing Corporate Risk Management Policy and process.
- 9.2 Being proactive by anticipating and preparing for threats and opportunities is often more cost effective than a reactive approach to issues. Effective use of risk management can have a positive impact on the Police and Crime Plan priority of 'Spending your money wisely' by improving the quality of decision making.

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 PCC or the Force these are

evaluated in line with the Corporate Risk Management Policy and managed through the use of Risk Registers.

11 Details of outcome of consultation

11.1 Business Partners have shared the proposed Internal Audit Plan with their respective areas and no other proposals were raised.

12. Appendices

12.1 **Appendix I** – Risk Assurance Map (2013/14 Quarter 4)

12.2 **Appendix II** – Draft Internal Audit Plan (2014/15)

12.3 **Appendix III** – Strategic Risk Register Summary

Appendix I: Risk Assurance Map (2013/14 Quarter 4)

Outcome	Objective	Type of risk	Potential impact	Responsibility	First line of defence: Management oversight		Second line of defence: Internal audit		Third line of defence: Independent assurance	
					Assurance	Rationale	Assurance	Rationale	Assurance	Rationale
Safer communities: To cut crime and keep you safe	Reduction in crime	Significant increase in crime	Very high	DCC	Substantial	Governance of performance management through Joint Performance and Corporate Governance Boards	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
	Reduction in ASB	Significant increase in ASB	High	DCC	Substantial	As above <i>All improvement actions from HMIC inspection now complete</i>	None	No internal audit in last 3 years	Reasonable	HMIC inspection of ASB (re-visit) January 2013 <i>Some areas for improvement identified</i>
	Protection of vulnerable people	Failure to protect vulnerable people from domestic violence	Very high	ACC (Crime, Justice & Protective Services)	Reasonable	Governance of Public Protection through Operational Support Board <i>Vulnerability policy and county-wide MASH currently in development</i>	None	No internal audit in last 3 years	tbc	Awaiting final report from HMIC inspection of domestic abuse Oct 2013
		Failure to protect vulnerable people from crime	Very high	ACC (Crime, Justice & Protective Services)	Reasonable	As above	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Failure to protect vulnerable people from ASB	High	ACC (Local Policing)	Reasonable	As above	None	No internal audit in last 3 years	Reasonable	HMIC inspection of ASB (re-visit) January 2013 <i>Some areas for improvement identified</i>
	Road safety	Increase in road traffic collisions (RTCs)	Very high	ACC (Crime, Justice & Protective Services)	Substantial	Governance of performance management through Joint Performance and Corporate Governance Boards	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
	Strategic Policing Requirement (SPR)	Terrorism	Very high	ACC (Crime, Justice & Protective Services)	Substantial	Governance of EMSOU-CT through East Midlands Collaboration	None	No internal audit since introduction of the SPR	tbc	Awaiting final report following HMIC inspection of SPR (Sept 2013)
		Civil emergencies	Very high		Substantial	Governance of civil contingencies planning through the LRF	None	No internal audit since introduction of the SPR	tbc	As above
		Organised crime	High		Substantial	Governance of EMSOU-SOC through East Midlands Collaboration	None	No internal audit since introduction of the SPR	tbc	As above
		Public order	Very high		Substantial	Governance of public order policing through the Operational Support Board	None	No internal audit since introduction of the SPR	tbc	As above
		Large scale cyber incident	Very high		Limited	Governance of cyber crime through East Midlands Collaboration <i>Policies and plans still in development</i>	None	No internal audit since introduction of the SPR	tbc	As above

Appendix I: Risk Assurance Map (2013/14 Quarter 4)

Outcome	Objective	Type of risk	Potential impact	Responsibility	First line of defence: Management oversight		Second line of defence: Internal audit		Third line of defence: Independent assurance	
					Assurance	Rationale	Assurance	Rationale	Assurance	Rationale
Value for money policing services: To spend your money wisely	Corporate governance	Legal challenge to decisions	Very high	Chief Constable	Reasonable	Governance of policy making through FEB <i>Policy making process currently under review</i>	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Failure of police collaboration arrangements to achieve their objectives	Very high	Chief Constable	Limited	Governance of police collaboration through FEB <i>Future collaboration plans still in development</i>	None	No internal audit in last 3 years	Limited	HMIC review of East Midlands collaboration, 'Working Together' (2013/14) <i>Several major recommendations made</i>
		Failure of strategic partnership arrangements to achieve their objectives	High	ACC (Local Policing)	Reasonable	Governance of partnerships through Local Policing Board <i>Partnership working policy currently in development</i>	Reasonable	RSM Tenon Partnership Governance Audit (2012/13)	None	No independent assurance provided in last 3 years
		Failure to effectively identify and manage risk	Medium	DCC	Reasonable	Governance of risk management through Corporate Governance Board <i>Risk management policy currently under review</i>	Substantial	RSM Tenon Strategic Risk Management Audit (2012/13)	None	No independent assurance provided in last 3 years
	Financial management	Failure to manage finances within budget	Very high	ACO (Resources)	Reasonable	Financial governance through Corporate Services Board & FEB <i>Some aspects of business planning currently under review</i>	None	No internal audit in last 3 years	Substantial	HMIC inspection - Nottinghamshire Police's response to the funding challenge (Valuing the Police 3) (July 2013)
		Financial loss through material error or fraud	High		Substantial	Governance of financial management through the Corporate Services Board	Substantial	Baker Tilly Key Financial Controls Audits (2013/14) <i>Only low priority recommendations made</i>	Substantial	External Auditors Annual Report to the Chief Constable (2012/13)
	Estates management	Environmental damage	Medium	ACO (Resources)	Reasonable	Governance of environmental management through Corporate Services Board <i>Environmental management policy currently under review</i>	Substantial	Baker Tilly Environmental Management Audit (2013) <i>2 medium & 3 low priority recommendations made</i>	None	No independent assurance provided in last 3 years
		Insufficient / unsuitable buildings / premises	High		Substantial	Estates strategy governance through Corporate Services Board	Substantial	Baker Tilly Estates Management Audit (2013) <i>Only 1 low priority recommendation made</i>	None	No independent assurance provided in last 3 years
	Vehicle fleet management	Insufficient / unsuitable vehicle fleet	High	ACO (Resources)	Reasonable	Governance of vehicle fleet through Corporate Services Board <i>Some aspects of vehicle fleet management processes currently under review</i>	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years

Appendix I: Risk Assurance Map (2013/14 Quarter 4)

Outcome	Objective	Type of risk	Potential impact	Responsibility	First line of defence: Management oversight		Second line of defence: Internal audit		Third line of defence: Independent assurance	
					Assurance	Rationale	Assurance	Rationale	Assurance	Rationale
Value for money policing services: To spend your money wisely	Workforce planning	Failure to achieve workforce plan	Very high	ACO (Resources)	Reasonable	Governance of workforce plan through Corporate Services Board & FEB <i>Some aspects of HR policy & process currently under review</i>	Reasonable	Baker Tilly Workforce Planning Audit (2013/14) - draft report only <i>1 high and 3 low priority recommendations made</i>	None	No independent assurance provided in last 3 years
	Workforce management	Significant increase in sickness absence	High	ACO (Resources)	Substantial	Governance of attendance management policy through Corporate Services Board	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Significant reduction in workforce morale / productivity	High		Limited	Governance of workforce morale / culture through Corporate Services Board <i>Most recent staff survey identified several significant areas for improvement</i>	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
	Health and Safety	Harm suffered by employees	Very high	ACO (Resources)	Substantial	Governance through Strategic Health & Safety Committee	Substantial	Baker Tilly Health and Safety Audit (2013/14) - draft report only <i>Only 1 medium & 2 low priority recommendations made</i>	None	No independent assurance provided in last 3 years
		Harm suffered by detainee(s)	Very high	ACC (Crime, Justice & Protective Services)	Reasonable	Governance of Custody through Operational Support Board <i>Some aspects of custody policy & practice currently under review</i>	None	No internal audit in last 3 years	Reasonable	CJJI Custody Inspection (March 2013) <i>Some areas for improvement identified</i>
Training and Development	Loss of skills / resilience	High	ACO (Resources)	Reasonable	Governance of EMCHRS-L&D through East Midlands Collaboration <i>Some aspects of L&D policy & process currently under review</i>	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years	

Appendix I: Risk Assurance Map (2013/14 Quarter 4)

Outcome	Objective	Type of risk	Potential impact	Responsibility	First line of defence: Management oversight		Second line of defence: Internal audit		Third line of defence: Independent assurance	
					Assurance	Rationale	Assurance	Rationale	Assurance	Rationale
Improved trust and confidence in policing: To earn your trust and confidence	Maintain an efficient and effective police force	Reputation damage for failure to maintain an efficient and effective police force	Very high	PCC	Substantial	Public relations & media management provided by Better Times Ltd	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
	Service to victims	Reputation damage / complaints from significant reduction in quality of service to victims of crime	Very high	ACC (Local Policing)	Substantial	Governance of crime victim satisfaction through Joint Performance and Corporate Governance Boards	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Reputation damage / complaints from significant reduction in quality of service to victims of ASB	Very high	ACC (Local Policing)	Substantial	Governance of ASB victim satisfaction through Joint Performance and Corporate Governance Boards	None	No internal audit in last 3 years	Reasonable	HMIC inspection of ASB (re-visit) January 2013 Some areas for improvement identified
	Community understanding & engagement	Reputation damage from significant loss of public confidence	Very high	ACC (Local Policing)	Substantial	Governance of community understanding & engagement through Joint Performance and EDHR Strategy Boards	Substantial	Baker Tilly Equality and Diversity Audit (2013) - draft Only 1 medium & 3 low priority recommendations made	None	No independent assurance provided in last 3 years
	Criminal justice	Significant reduction in criminal justice system efficiency & effectiveness	Very high	ACC (Crime, Justice & Protective Services)	Reasonable	Governance of Criminal Justice through Operational Support Board and LCJB Some aspects of CJ policy & practice currently under review	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
	Discipline and standards	Reputation damage from instances of serious misconduct / corruption	Very high	DCC	Reasonable	Governance through DCC's Standards & Conduct Board Some aspect of integrity policy and process currently under review	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
	Information security	Reputation damage / threat to public safety from loss of information / security breach	Very high	DCC	Reasonable	Governance of Information Assurance (IA) through FIAB IA action plan in process of implementation	Reasonable	RSM Tenon IT Healthcheck Audit (2011/12) Not all previous recommendations had been implemented	tbc	Awaiting final report from ICO audit December 2013
	Information management	Reputation damage / threat to public safety from misuse of information / data breach	Very high	DCC	Reasonable	As above	None	No internal audit in last 3 years	tbc	Awaiting final report from ICO audit December 2013
	Business continuity	Disruption to essential collaboration-delivered services	Very high	DCC	Limited	Governance of collaborative units through East Midlands Collaboration BC plans still in development	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Disruption to ICT systems	Very high	ACO (Resources)	Reasonable	Governance of BCM through Corporate Governance Board BC plans and recovery processes currently under review	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Disruption to essential Force-delivered services	Very high	DCC	Substantial	Governance of BCM through Corporate Governance Board	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Disruption to external supplier / service provider	High	ACO (Resources)	Substantial	Governance of procurement through EMSCU collaborative board	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
Disruption to partnership-delivered services		Medium	ACC (Local Policing)	Limited	Governance of partnerships through Local Policing Board BC plans and recovery processes currently under review	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years	

Appendix I: Risk Assurance Map (2013/14 Quarter 4)

Outcome	Objective	Type of risk	Potential impact	Responsibility	First line of defence: Management oversight		Second line of defence: Internal audit		Third line of defence: Independent assurance	
					Assurance	Rationale	Assurance	Rationale	Assurance	Rationale
Improved trust and confidence in policing: To earn your trust and confidence	Compliance with legislation / regulations / codes of practice	Reputation damage for non-compliance with national crime and incident recording standards (NCRS / NSIR)	Very high	DCC	Substantial	Governance of crime recording through Operational Support Board	None	No internal audit in last 3 years	tbc	Awaiting final report from HMIC inspection of Crime Data Integrity (Dec 2013)
		Reputation damage for non-compliance with legislation governing investigation and intelligence gathering (e.g. RIPA)	Very high	ACC (Crime, Justice & Protective Services)	Reasonable	Governance of investigation & intelligence through Operational Support Board <i>OSC inspection recommendations in process of implementation</i>	None	No internal audit in last 3 years	Reasonable	OSC Inspection (July 2013) <i>Some recommendations outstanding from previous inspection & some new issues identified</i>
		Reputation damage for inappropriate / disproportionate use of stop & search powers	High	ACC (Local Policing)	Substantial	Governance of stop & search through Local Policing Board	None	No internal audit in last 3 years	Substantial	HMIC Stop & Search Inspection (2013)
		Reputation damage / sanctions for non-compliance with data protection legislation & codes of practice	High	DCC	Reasonable	Governance of Information Assurance (IA) through FIAB <i>Some aspects of policy & process currently under development</i>	None	No internal audit in last 3 years	tbc	Awaiting final report from ICO audit December 2013
		Reputation damage / sanctions (?) for non-compliance with MoPI code of practice	High	DCC	Reasonable	Governance of MoPI through FIAB <i>Some aspects of policy & process currently under development</i>			None	No independent assurance provided in last 3 years
		Opportunity to benefit financially from use of the Proceeds of Crime Act 2002	High	ACC (Crime, Justice & Protective Services)	Substantial	Governance of POCA through Operational Support Board	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Reputation damage / sanctions (?) for non-compliance with the Financial Management Code of Practice for Police Service	High	PCC Chief Finance Officer	Substantial	Financial governance through the Strategic Performance & Resources Board	Substantial	Baker Tilly Financial Governance Audit (2013/14)	Substantial	External Auditors Annual Report to the Chief Constable (2012/13)
		Reputation damage from non-compliance with financial / accounting legislation / regulations / codes of practice	High	ACO (Resources)	Substantial	Governance of financial control through Business & Finance department	Substantial	Baker Tilly Key Financial Controls Audits (2013/14)	Substantial	External Auditors Annual Report to the Chief Constable (2012/13)
		Reputation damage / sanctions (?) for non-compliance with duties under the Equality Act 2010	High	Chief Constable	Substantial	Governance of equality & diversity through EDHR Strategy Board	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Reputation damage / sanctions (?) for non-compliance with Health & Safety at Work Act 1974	High	ACO (Resources)	Substantial	Governance through Strategic Health & Safety Committee	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years
		Complaints over non-compliance with the Code of Practice for Victims of Crime	Medium	ACC (Local Policing)	Limited	No formal governance for new Victims Code (launched Nov 2013)	None	No internal audit since re-launch of Victim's Code	None	No independent assurance since re-launch of Victim's Code
		Reputation damage / sanctions for non-compliance with environmental legislation	Medium	ACO (Resources)	Reasonable	Governance of environmental management within through Corporate Services Board <i>Environmental management policy & process currently under review</i>	Substantial	Baker Tilly Environmental Management Audit (2013)	None	No independent assurance provided in last 3 years
Reputation damage for non-compliance with Civil Contingencies Act 2004	Low	DCC	Substantial	Business Continuity policy governance through Corporate Governance Board	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years		
Reputation damage for non-compliance with governance principles / Joint Code of Corporate Governance	Very low	ACO (Resources)	Substantial	Annual Governance Statement (AGS) Governance through Corporate Governance Board	None	No internal audit in last 3 years	None	No independent assurance provided in last 3 years		

APPENDIX II: DETAILED INTERNAL AUDIT PLAN 2014/15

Audit	Overview of Internal Audit Coverage	Internal Audit Approach	Proposed Timing	Fee	Target Audit Panel
Assurance to be provided to the Office of Police & Crime Commissioner					
Commissioning	The specific scope of the review will be determined nearer the time.	Risk Based	Q4	£4,400	TBC
Governance – Delivery of Police & Crime Plan	To provide assurances that the Police & Crime Plan is being delivered, as expected.	Risk Based	Q2	£3,200	TBC
Partnerships	The review will provide assurance that the Force is maintaining its robust partnership links but in addition provide assurance that there is a mechanism in place for measuring outcomes for their investment in time, money and effort.	Risk Based	Q3	£2,552	TBC
Scrutiny Panel	The review will provide assurance that the recommendations from the Scrutiny Panel reviews have been appropriately addressed and implemented or alternatively the resource can be used to assist the Scrutiny Panel with any particular reviews.	Follow Up	Q3	£1,375	TBC
Assurance to be provided to the Chief Constable					
Information Security	The scope to be determined nearer the time.	Risk Based	Q3	£4,570	TBC
HR	The scope to be determined nearer the time but could consider training and development or appraisals....	Risk Based	TBC	£2,150	TBC
Discipline & Standards	The scope to be determined nearer the time.	Risk Based	TBC	£2,352	TBC
Victims	To provide assurances over compliance with the new Victims Code.	Compliance	TBC	£2,455	TBC
Data Protection Act	The specific scope will be determined nearer the time but will provide assurances over compliance with a number of the data protection principles.	Compliance	TBC	£4,452	TBC

Audit	Overview of Internal Audit Coverage	Internal Audit Approach	Proposed Timing	Fee	Target Audit Committee
Assurance to be provided to the Police and Crime Commissioner and the Chief Constable					
Key Financial Controls	A key financial controls review, focusing on the key controls within; <ul style="list-style-type: none"> - Budgetary Control - General Ledger - Payroll & Expenses - Payments & Creditors - Income & Debtors - Cash, Banking & Treasury - Fixed Assets & Insurance 	Key Financial Controls	Q3	£3,680	TBC
Data Quality	To provide some assurances over the validity of data being presented and reported. The audit will track data to source systems and data.	Risk Based	Q2	£2,752	TBC
Policy Review	It is considered to be useful to include an allocation following stage 2 transfer for a review of any revised policies to confirm robustness and fit for purpose.	Advisory	As and When	£2,270	TBC
Contingency	To be allocated as and when required during the year.	TBC	Q3	£2,000	TBC
Risk Management	Review of the Risk Management arrangements of the PCC and the Force. This will include a review of the arrangements for gaining assurance on the controls in place.	Risk Maturity	Q4	£2,750	TBC
Follow Up	To meet the IIA Standards and to provide management with ongoing assurance regarding implementation of recommendations.	Follow Up	Q4	£1,600	TBC
Other Internal Audit Input					
Audit Management	This will include: <ul style="list-style-type: none"> ▪ Annual planning ▪ Preparation for, and attendance at, Audit 	N/A	N/A	£9,900	

Audit	Overview of Internal Audit Coverage	Internal Audit Approach	Proposed Timing	Fee	Target Audit Committee
	Committee meetings <ul style="list-style-type: none"> ▪ Regular liaison and progress updates ▪ Liaison with external audit ▪ Preparation of the annual internal audit opinion 				

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary

2013/14 Quarter 4

Objective 1: Safer communities – *To cut crime and keep you safe*

Risk	Responsible officer	Risk response plan	Risk exposure
Significant increase in crime & ASB	DCC	<p>In place:</p> <ul style="list-style-type: none"> • Joint Local Policing & Operational Support Performance Board • Tactical Tasking & Coordination Group (TT&CG) • Operational Control Strategy priorities: <ul style="list-style-type: none"> ➢ Serious, organised crime ➢ Violence ➢ Burglary ➢ Theft & handling ➢ Serious sexual offences ➢ Partnership Plus (Safer Nottinghamshire Board) ➢ High Impact Neighbourhoods (Nottingham Crime & Drugs Partnership) • Health & Wellbeing Boards (City & County) • Integrated Offender Management (IOM) <p>In progress:</p> <ul style="list-style-type: none"> • Multi agency Violent Crime Strategy 2013-15: <i>Alliance Against Violence</i> • Substance Misuse Strategy 2013-18 • Demand Prevention Strategy 2013-18 • ‘Supporting Families’ programme (County) • ‘Priority’ Families programme (City) 	<p>Medium</p> 

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary

2013/14 Quarter 4

Risk	Responsible officer	Risk response plan	Risk exposure
Failure to protect vulnerable people from harm	ACC (Crime, Justice & Protective Services)	<p>In place:</p> <ul style="list-style-type: none"> • Local Safeguarding Adults & Childrens Boards (City & County) • Multi Agency Public Protection Arrangements (MAPPA) • Multi Agency Risk Assessment Conferences (MARACs) • Multi Agency Safeguarding Hub (MASH) – County • Nottingham & Nottinghamshire Safeguarding Adults Multi Agency Policy, Procedure & Guidance • Nottinghamshire & Nottingham City Safeguarding Children Boards' Safeguarding Children Procedures • Child Sex Offender Disclosure Scheme (Sarah's Law) Policy and Procedure <p>In progress:</p> <ul style="list-style-type: none"> • Development of vulnerability policy • Support development of an integrated Multi Agency Safeguarding Hub (MASH) – City & County 	<p>Medium</p> 
Significant increase in road traffic collisions (RTC)	ACC (Crime, Justice & Protective Services)	<p>In place:</p> <ul style="list-style-type: none"> • Nottinghamshire Strategic Road Safety Partnership • Nottinghamshire Camera Safety Partnership • Driver education courses (AA Drivetech) • Community Resolution for road traffic offences <p>In progress:</p> <ul style="list-style-type: none"> • Establishment of multi agency Community Road Safety group 	<p>Low</p> 

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary

2013/14 Quarter 4

Risk	Responsible officer	Risk response plan	Risk exposure
Failure to meet the Strategic Policing Requirement (SPR): <ul style="list-style-type: none"> • Terrorism • Civil emergencies • Organised crime • Public order • Large scale cyber incident 	ACC (Crime, Justice & Protective Services)	In place: <ul style="list-style-type: none"> • East Midlands Special Operations Unit: <ul style="list-style-type: none"> ○ Special Branch (EMSOU-SB) ○ Serious Organised Crime (EMSOU-SOC) ○ Local Resilience Forum (LRF) ○ Regional public order policing (Leics police lead) In progress: <ul style="list-style-type: none"> • Large scale cyber incident plan 	<p style="text-align: center;">Low</p> 

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary

2013/14 Quarter 4

Objective 2: Value for money policing services – *To spend your money wisely*

Risks	Responsible officer	Risk response plan	Risk exposure
Failure to manage finances within budget	ACO (Resources)	<p>In place:</p> <ul style="list-style-type: none"> • Medium Term Financial Plan (MTFP) • Efficiency savings plan 2013/14 • Treasury Management Strategy • Corporate Services Board • East Midlands Strategic Commercial Unit (EMSCU): Nottinghamshire, Derbyshire, Northamptonshire • Transformation Board • Force Programme Management Office (PMO) • Contingent liability in accounts (for A19 tribunals) <p>In progress:</p> <ul style="list-style-type: none"> • Efficiency savings plan 2014/15 • Development of Target Operating Model (TOM) 	<p>Very high</p> 
Failure to achieve workforce plan	ACO (Resources)	<p>In place:</p> <ul style="list-style-type: none"> • Corporate Services Board • Workforce plan 2013/14 <p>In progress:</p> <ul style="list-style-type: none"> • Workforce plan 2014/15 • Development of Target Operating Model (TOM) • Recruitment policy 	<p>High</p> 

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary

2013/14 Quarter 4

Risks	Responsible officer	Risk response plan	Risk exposure
Significant reduction in workforce morale & productivity	ACO (Resources)	<p>In place:</p> <ul style="list-style-type: none"> Performance & Development Review (PDR) process Staff perception surveys <p>In progress:</p> <ul style="list-style-type: none"> Culture programme 	<p>Medium</p> 
Significant loss of key skills & resilience	ACO (Resources)	<p>In place:</p> <ul style="list-style-type: none"> East Midlands Police Collaborative Human Resources Services – Learning & Development (EMCHRS-L&D) <p>In progress:</p> <ul style="list-style-type: none"> Talent management & succession planning framework 	<p>Medium</p> 
Failure to preserve the health & safety of the workforce and others affected by the activities of the Force	ACO (Resources)	<p>In place:</p> <ul style="list-style-type: none"> Strategic Health & Safety Committee Force Health & Safety Policy East Midlands Police Collaborative Human Resources Services: <ul style="list-style-type: none"> Learning & Development (EMCHRS-L&D) Occupational Health (EMCHRS-OH) Temporary replacement healthcare provider in custody (G4S) <p>In progress:</p> <ul style="list-style-type: none"> NHS commissioning to take over healthcare provision in custody from 2015 	<p>Medium</p> 

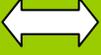
Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary

2013/14 Quarter 4

Risks	Responsible officer	Risk response plan	Risk exposure
Insufficient or unsuitable property estate & vehicle fleet	ACO (Resources)	<p>In place:</p> <ul style="list-style-type: none"> Vehicle services contract: Vensons Public Sector Artemis vehicle fleet management system <p>In progress:</p> <ul style="list-style-type: none"> Estates rationalisation programme (Phase 3) Estates capital programme Shared services programme 	<p>Medium</p> 
Failure of collaboration & partnership arrangements to achieve their objectives	Chief Constable	<p>In place:</p> <ul style="list-style-type: none"> East Midlands Police Collaboration s23 Agreements Partnerships database Nottinghamshire Community Safety Strategy Nottingham Crime & Drugs Partnership (CDP) Partnership Plan <p>In progress:</p> <ul style="list-style-type: none"> East Midlands Police Collaboration Programme (EMPCP) Partnership working policy 	<p>Medium</p> 
Significant increase in sickness absence	ACO (Resources)	<p>In place:</p> <ul style="list-style-type: none"> Attendance Management Policy East Midlands Police Collaborative Human Resources Services – Occupational Health Unit (EMCHRS-OHU) Employee Assistance Provider (CiC) 	<p>Low</p> 

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary

2013/14 Quarter 4

Risks	Responsible officer	Risk response plan	Risk exposure
Failure to practice effective corporate governance	ACO (Resources)	<p>In place:</p> <ul style="list-style-type: none"> • Joint Code of Corporate Governance • Corporate Governance Board • Joint Audit & Scrutiny Panel <p>In progress:</p> <ul style="list-style-type: none"> • Review of Corporate Risk Management Policy & Procedure 	<p>Low</p> 
Financial loss through material error or fraud	ACO (Resources)	<p>In place:</p> <ul style="list-style-type: none"> • Scheme of Delegation • Financial Regulations • Standing Orders for dealing with land & property • Insurance policies 	<p>Low</p> 

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary

2013/14 Quarter 4

Objective 3: Improved trust and confidence in policing – *To earn your trust and confidence*

Risks	Responsible officer	Risk response plan	Risk exposure
Incidents of serious misconduct or corruption	DCC	<p>In place:</p> <ul style="list-style-type: none"> • PROUD values • Counter-Corruption Unit (CCU) • Protective monitoring system: 3AMI • Integrity Messenger • Compulsory <i>It started with a kiss</i> briefing • Professional Standards Reporting Procedure • Maintaining Professional Boundaries and Standards of Behaviour Code of Conduct • Police staff misconduct policy • Misconduct & Criminality Communications Policy • Vetting Procedures for the Police Community • Unmanageable Debt Procedure • Notifiable Associations for Police Personnel Policy & Procedure • Business Interests & Additional Employment for Police Officers and Police Staff Procedure • Gifts, Gratuities & Hospitality Procedure • Media and Social & Digital Media Policies 	<p>Medium</p> 
Significant reduction in criminal justice system efficiency & effectiveness	ACC (Crime, Justice & Protective Services)	<p>In place:</p> <ul style="list-style-type: none"> • Nottinghamshire Local Criminal Justice Board (LCJB) <p>In progress:</p> <ul style="list-style-type: none"> • Regional criminal justice collaboration • Archive & exhibits programme 	<p>Medium</p> 

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary

2013/14 Quarter 4

Risks	Responsible officer	Risk response plan	Risk exposure
Loss or misuse of Force held information	DCC	<p>In place:</p> <ul style="list-style-type: none"> Force Information Assurance Board (FIAB) Compulsory information assurance e-learning package Protective monitoring system: 3AMI Information Management Policy, Procedures & Guidance Information Security Policy & Procedure Information Sharing Policy, Procedures & Guidance <p>In progress:</p> <ul style="list-style-type: none"> Information Assurance Maturity Model (IAMM) plan 	<p>Medium</p> 
Failure to maintain an efficient and effective police force	PCC	<p>In place:</p> <ul style="list-style-type: none"> Police & Crime Plan 2013-18 Strategic Performance & Resources Board East Midlands Police Collaboration Programme (EMPCP): <ul style="list-style-type: none"> Operational Support Department Corporate Services <p>In progress:</p> <ul style="list-style-type: none"> NOPCC Lobbying Government for a better deal on funding formula, police grant, precept and community safety fund PCC's Alcohol Strategy Police Innovation Fund bids 	<p>Medium</p> 

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary

2013/14 Quarter 4

Risks	Responsible officer	Risk response plan	Risk exposure
Disruption to essential services (business continuity)	DCC	<p>In place:</p> <ul style="list-style-type: none"> • Business Continuity Management Policy & Strategy 2011-14 • Contract management policy <p>In progress:</p> <ul style="list-style-type: none"> • Telephony infrastructure replacement • Windows 7 upgrade • Mansfield server room air conditioning replacement 	<p>Medium</p> 
Significant loss of public confidence	PCC	<p>In place:</p> <ul style="list-style-type: none"> • PCC's public relations & media management (Better Times Ltd) • PCC Communication strategy • PCC Consultation & Engagement Strategy • PCC website (including Executive decision log) • PCC's Annual Report • Misconduct & Criminality Communications Policy <p>In progress:</p> <ul style="list-style-type: none"> • Establishment of stakeholder boards for City and County • Development and establishment of public meeting structure • PCC's Social Responsibility strategy 	<p>Low</p> 

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary

2013/14 Quarter 4

Risks	Responsible officer	Risk response plan	Risk exposure
Significant reduction in quality of service to victims of crime & ASB	ACC (Local Policing)	<p>In place:</p> <ul style="list-style-type: none"> Track My Crime web based crime tracking portal Victim of crime & ASB satisfaction surveys Team & individual performance monitoring Valuing Victims briefings Service Level Agreement (SLA) with East Midlands Ambulance Service (EMAS) ASB Policy & Communication Strategy Independent Advisory Groups (IAGs) <p>In progress:</p> <ul style="list-style-type: none"> <i>Designing the future</i> using systems thinking Force Public Engagement Strategy 2013-18 <i>Tailored services for our diverse communities</i> project 	<p>Low</p> 
Failure to comply with relevant legislation, regulations and codes of practice	DCC	<p>In place:</p> <ul style="list-style-type: none"> East Midlands Legal Services Force Crime Registrar Force Authorising Officer (Director of Intelligence) Financial Controller Equality & Diversity Strategy Board Strategic Health & Safety Committee Environmental management officer Business continuity advisor Annual Governance Statement (AGS) <p>In progress:</p> <ul style="list-style-type: none"> Information Assurance Maturity Model (IAMM) plan 	<p>Low</p> 

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Strategic Risk Summary

2013/14 Quarter 4

Risks	Responsible officer	Risk response plan	Risk exposure
Significant damage to the environment	ACO (Resources)	<p>In place:</p> <ul style="list-style-type: none"> • Environmental Management Policy & Strategy • Environmental Management Group • Sustainable procurement policy <p>In progress:</p> <ul style="list-style-type: none"> • Carbon Management Plan • Bunkered fuel sites upgrade project 	<p>Low</p> 

For Information	
Public/Non Public*	Public
Report to:	Audit & Scrutiny Panel
Date of Meeting:	18th February 2014
Report of:	ACO, Resources
Report Author:	Read Hibbert Planning & Policy Officer
E-mail:	Read.hibbert@nottinghamshire.pnn.police.uk
Other Contacts:	Paul Steeples – Head of Business and Finance, Julie Mair – Acting Organisational Development Manager
Agenda Item:	9

Business Continuity Management Report

1. Purpose of the Report

- 1.1 To update the Audit and Scrutiny Panel with current Business Continuity (BC) issues within the force and the impact of Association of Chief Police Officers (ACPO) National / Regional strategies or initiatives.

2. Recommendations

- 2.1 It is recommended that the Audit and Scrutiny Panel note the contents of the report.

3. Reasons for Recommendations

- 3.1 To enable the Audit and Scrutiny Panel to fulfil its scrutiny obligations to oversee and consider Business Continuity compliance.

4. Summary of Key Points

- 4.1 Once the National Self Assessment template, for use by all forces as a benchmark against ISO22301, has been accepted by ACPO, it will be incorporated in the Nottinghamshire Police Business Continuity Toolkit which is in the final stage of review / update and will be rolled out in March.
- 4.2 All BC plans will be subject to test, exercise and review at least once during 2014. A draft test exercise programme attached at Appendix 'A'.
A record of BC test and exercise carried out in 2013 is attached Appendix 'B'.
- 4.3 The East Midlands Business Continuity Forum is currently scoping two Business Continuity exercises, one linked to a planned national pandemic exercise to be held during 2014.
- 4.4 Once all of the BC plans for Public Protection are complete, arrangements will be made with Supt. Chamberlain to carry out review and exercise.
- 4.5 A table top exercise is currently being prepared for the Chief Officer Team to be held once the COT BC plan has been completed.

- 4.6 Contact management BC plans and recovery processes have been reviewed and review of Information Services BC plans and recovery processes will take place in the 2nd quarter of this year.

5. Financial Implications and Budget Provision

- 5.1 Impacts on finance and budget are considered by divisions and departments as part of the business impact analysis stage of business continuity planning

6. Human Resources Implications

- 6.1 All impact on Human Resources are considered by divisions and departments as part of the business impact analysis stage of business continuity planning

7. Equality Implications

- 7.1 All equality implications are considered by divisions and departments as part of the business impact analysis stage of business continuity planning

8. Risk Management

- 8.1 Following the failure of a number of critical systems in West Yorkshire Police, Mike Bowron, CO States of Jersey Police, is to raise the subject of IT disaster recovery within Police Forces as a potential risk area with the Cabinet Office.
- 8.2 In respect of Nottinghamshire Police Business Continuity recovery processes for IT failure are in place and will be reviewed in the 2nd quarter of this year.
- 8.3 The main risk to policing highlighted by the Cabinet Office were fuel resilience for 10 days or more during disruption to supply and staff loss due to industrial action or pandemic.
- 8.4 In respect of Nottinghamshire Police, specific recovery plans are in place for fuel shortage, pandemic and industrial action. The Force currently maintains fuel resilience for at least one month at reduced use.

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

- 9.1 Business Continuity Policy now reflects the change to new ISO 22301 standard.

10. Changes in Legislation or other Legal Considerations

- 10.1 ACPO are developing a National Self Assessment template. All individual BC plans will, on their 2014 review dates, be reviewed using the new International Standard ISO 22301

11. Details of outcome of consultation

- 11.1 Not applicable.

12. Appendices

- 12.1 a) Record of test and exercise 2013
- b) Draft test and exercise programme for 2014

Appendix 'A'

BUSINESS CONTINUITY PLANS TEST & EXERCISE PROGRAMME 2014 (January Draft)

ALL PLANS WILL BE TESTED/EXERCISED ANNUALLY

Note: All live incidents where the business continuity plan or recovery processes are activated will be treated as a test of the plan and the completed Test/Exercise Report submitted to Read Hibbert Planning & Policy Officer Business & Finance.

The test and exercise programme for 2014 will include:

Force:

February to June – Individual Divisional and Departmental Tests and Exercises

March 19th - Force Table Top Exercise for all Divisions and Departments

April (Date to be fixed) - Chief Officer Team Table Top exercise (subject to production of BCP)

May (Date to be fixed) – Public Protection Team Table Top exercise following departmental BC review

July and August – minimal testing due to main leave period

September to December – Individual Divisional and Departmental Tests and Exercises

Regional:

1st or 2nd quarter – Regional Exercise for EMSOU (At scoping stage)

October – Possible Regional exercise to dovetail into the National exercise “Cygnus” Pandemic flu (at scoping stage)

National:

May be in 2015

RECORD

Div/Dept	Section	Date	Event description	Subject	Tested by	Attended by

Appendix 'B'

BUSINESS CONTINUITY PLANS TEST & EXERCISE 2013

Div/Dept	Section	Date	Event description	Subject	Tested by	Attended by
PSD	PSD	21:01:13	Live incident Severe weather	Loss of staff		Nicky Thomas
C&J	Fraud & Financial Services	21:01:13	Live incident Severe weather	Loss of staff	Karen Baxter	Karen Baxter
C&J	Prosecutions	18:01:13	Live incident Severe weather	Loss of staff	Janet Carlin	Janet Carlin
Corporate Communications	Corporate Communications	06:03:13	Force Table Top Exercise FHQ	Fuel shortage & Solar Flare impact	Read Hibbert Mike Grundy Beverly Topham	Matt Tapp
CM	Control Room	06:03:13	Force Table Top Exercise FHQ	Fuel shortage & Solar Flare impact	Read Hibbert Mike Grundy Beverly Topham	Tracy Lovegrove
PSD	PSD	06:03:13	Force Table Top Exercise FHQ	Fuel shortage & Solar Flare impact	Read Hibbert Mike Grundy Beverly Topham	Nicky Thomas
PSD	Information Security	06:03:13	Force Table Top Exercise FHQ	Fuel shortage & Solar Flare impact	Read Hibbert Mike Grundy Beverly Topham	Pat Stocker

Div/Dept	Section	Date	Event description	Subject	Tested by	Attended by
PSD	Professional Standards	06:03:13	Force Table Top Exercise FHQ	Fuel shortage & Solar Flare impact	Read Hibbert Mike Grundy Beverly Topham	Sgt Neil Hallam
HR	HR	06:03:13	Force Table Top Exercise FHQ	Fuel shortage & Solar Flare impact	Read Hibbert Mike Grundy Beverly Topham	Steve Mitchel
Estates & Facilities	E&F	06:03:13	Force Table Top Exercise FHQ	Fuel shortage & Solar Flare impact	Read Hibbert Mike Grundy Beverly Topham	Tim Wendels
Estates & Facilities	Facilities	06:03:13	Force Table Top Exercise FHQ	Fuel shortage & Solar Flare impact	Read Hibbert Mike Grundy Beverly Topham	Kay Saunders
Operational Support	OS(P)	06:03:13	Force Table Top Exercise FHQ	Fuel shortage & Solar Flare impact	Read Hibbert Mike Grundy Beverly Topham	Insp. Taylor
Business & Finance	B&F	06:03:13	Force Table Top Exercise FHQ	Fuel shortage & Solar Flare impact	Read Hibbert Mike Grundy Beverly Topham	Read Hibbert
Information Systems	IS	06:03:13	Force Table Top Exercise FHQ	Fuel shortage & Solar Flare impact	Read Hibbert Mike Grundy Beverly Topham	Julie Mansfield

Div/Dept	Section	Date	Event description	Subject	Tested by	Attended by
County Division	County	06:03:13	Force Table Top Exercise FHQ	Fuel shortage & Solar Flare impact	Read Hibbert Mike Grundy Beverly Topham	Pc Andy Clarke
City Division		06:03:13	Force Table Top Exercise FHQ	Fuel shortage & Solar Flare impact	Read Hibbert Mike Grundy Beverly Topham	PS Simon Parr
C&J	Custody	06:03:13	Force Table Top Exercise FHQ	Fuel shortage & Solar Flare impact	Read Hibbert Mike Grundy Beverly Topham	Insp. Andy Rouke
HR	HR	25:03:13	Live incident	Severe weather	Steve Mitchel	Steve Mitchel
C&J	Fraud/Financial Investigation	23:04:13	Force Table Top Exercise Mansfield	Fuel shortage & Solar Flare impact	Mike Grundy Beverly Topham	Karen Baxter
C&J	Intelligence analysts	23:04:13	Force Table Top Exercise Mansfield	Fuel shortage & Solar Flare impact	Mike Grundy Beverly Topham	Dave Hill
C&J	(FI) TU	23:04:13	Force Table Top Exercise Mansfield	Fuel shortage & Solar Flare impact	Mike Grundy Beverly Topham	Gareth Collins
C&J	Covert Bureau	23:04:13	Force Table Top Exercise Mansfield	Fuel shortage & Solar Flare impact	Mike Grundy Beverly Topham	Gary Newton

Div/Dept	Section	Date	Event description	Subject	Tested by	Attended by
Public Protection	PP	23:04:13	Force Table Top Exercise Mansfield	Fuel shortage & Solar Flare impact	Mike Grundy Beverly Topham	Daniel Bebbington
CM	CM Systems	01:10:13	Live incident	Loss of systems	Tim Trevor	Tim Trevor
CM	CM Systems	08:10:13	Live incident	Loss of systems	Tim Trevor	Tim Trevor
CM	CM Systems	16:10:13	Live incident	Loss of systems	Tim Trevor	Tim Trevor
CM	CM Systems	17:11:13	Live incident	Loss of systems	Tim Trevor	Tim Trevor
PSD	PSD	10:12:13	Test of plan	Severe weather and systems failure	Nicky Thomas	Nicky Thomas
CM	CM Systems	21:12:13	Live incident	Loss of systems (Vision)	Tim Trevor	Tim Trevor

Note: All live incidents where the Business Continuity Plan or recovery processes are activated will be treated as a test of the plan and the Test/Exercise Report submitted to Read Hibbert Planning & Policy Officer Business & Finance.

For Information	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	18 February 2014
Report of:	Police & Crime Commissioner
Report Author:	Business Support Manager
E-mail:	Lisa.pearson@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	10

FREEDOM OF INFORMATION MONITORING, REVIEW AND ASSURANCE

1. Purpose of the Report

- 1.1 The purpose of this report is to provide the Joint Audit and Scrutiny Panel (the Panel) with assurance that the Nottinghamshire Office of the Police and Crime Commissioner is working in full compliance of the Freedom of Information (FOI) Act 2000.¹
- 1.2 The FOI Act 2000 provides public access to information held by public authorities. It does this in two ways:
- Public authorities are obliged to publish certain information about their activities; and
 - Members of the public are entitled to request information from public authorities.
- 1.3 The Elected Local Policing Bodies (Specified Information) Order 2011 (“the 2011 Order”) specifies information which must be published by a Police and Crime Commissioner.²

2. Recommendations

- 2.1 That the panel notes the report.

3. Reasons for Recommendations

- 3.1 The Panel have a responsibility to ensure that the Commissioner and Chief Constable discharge their legal obligations and responsibilities.
- 3.2 The public also hold Commissioners to account through being able to benchmark their performance and vote accordingly in elections. To help the public fulfil this role there are 36 separate pieces of information for Commissioners to publish, such as data on salaries and contracts. This has recently been reviewed by the National Audit Office: Police accountability:

¹ [Freedom of Information Act 2000](#)

² [Elected Local Policing Bodies \(Specified Information\) Order 2011](#)

Landscape review.³ This review sampled 15 commissioners' websites to see if this data was available, and found that not sampled areas had completely met these requirements – maximum compliance was 75 percent.

- 3.3 This report provides assurance to the Panel that the information required to be published by the Commissioner is available and accessible on the Commissioner's website.

4. Summary of Key Points

- 4.1 The Office of the Police and Crime Commissioner received 53 requests for information between the period of 1 January – 31 December 2013. Details of the requests are published on the Police and Crime Commissioner's website. Please see Appendix A for further details.
- 4.2 100% of the requests for information were acknowledged within 5 working days.
- 4.3 94.3% of the requests for information were responded to within the 20 working days deadline.
- 4.4 The remaining 5.7% equates to three requests for information that were not responded to within 20 working days. Please see 4.5, 4.6 and 4.7 below.
- 4.5 Ref 8150 was responded to within 26 working days. This was due to the request for information being received in the summer holidays during a period of limited staffing.
- 4.6 Ref 9387 was responded to within 23 working days. This was due to a delay in obtaining a breakdown of the information from a partner agency that held the information on our behalf.
- 4.7 Ref 10666 was responded to within 31 working days. The information was held by our legal services department and there was a delay in them sending the information to us.
- 4.8 The most common requests for information are regarding the Police & Crime Commissioner's staffing and expenses.
- 4.9 The Office of the Police and Crime Commissioner is fully compliant with the Elected Local Policing Bodies (Specified Information) Order 2011. The information is detailed in Appendix B and on the Police and Crime Commissioner's website via the follow website address:

<http://www.nottinghamshire.pcc.police.uk/Get-in-touch/Freedom-of-Information/Publication-Scheme.aspx>

³ [Home Office: National Audit Office](#)

4.10 The Order is reviewed by the Business Support Manager on at least a quarterly basis to ensure information is up to date and accurate.

5. Financial Implications and Budget Provision

5.1 None

6. Human Resources Implications

6.1 None

7. Equality Implications

7.1 None

8. Risk Management

8.1 None

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

9.1 None

10. Changes in Legislation or other Legal Considerations

10.1 None

11. Details of outcome of consultation

11.1 None

12. Appendices

12.1 Nottinghamshire Police & Crime Commissioner Freedom of Information requests January – December 2013.

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

13. N/A

NB

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

**NOTTINGHAMSHIRE POLICE & CRIME COMMISSIONER
FREEDOM OF INFORMATION REQUESTS**

<u>DATE</u>	<u>FOI REF</u>	<u>REQUEST DETAILS</u>	<u>RESPONSE SENT</u>
3.1.13	105	Enquiries The number of enquiries, by post, telephone, email or in person, received by the former Police Authority for your force area from members of the public of your police area between 1 December 2011 and 31 January 2012.	14.1.13
9.1.13	259	Sherwood Police Station 1. The lease was signed over a year ago and presumably rent is being paid to the City Council. Why has the conversion taken so long? 2. When will the facility be open? 3. How will it be manned and over what times? 4. What was the final cost of the conversion including the rental charge?	30.1.13
15.1.13	361	Public Money How many times do the Police, Ambulance and Fire Service waste our money going to Bourne Mews?	15.1.13
23.1.13	580	Restricted Duties How many officers are currently on 'restricted duties' in notts?	24.1.13
28.1.13	7302	What strategies are in place for Young People? How can I get involved in this agenda? What training will be given to officers in relation to domestic abuse? How can I get involved in this agenda?	28.1.13
30.1.13	706	Court Costs How much money does it cost to investigate a case, including court costs?	30.1.13
30.1.13	1004	Salary/Expenses What salary will you receive for your work as Police and Crime Commissioner? How many hours of paid employment will you undertake each week? What other salaries do you receive? What other allowances are you entitled to?	8.2.13

<u>DATE</u>	<u>FOI REF</u>	<u>REQUEST DETAILS</u>	<u>RESPONSE SENT</u>
		<p>What other public or private offices or employment do you hold? How many people will be employed in the PCC's office? What is the name, role and salary of each person in your office? Where will information about your office and its costs be published?</p>	
7.2.13	1002	<p>Council Tax Why every household as to pay 4p for extra policing? What price will it cost us in 10 years? At what age will Police Officers retire? What will be the cost when they leave the police force? What cost will their pensions be? Crime is down, why do we need more officers who will no doubt spend more time filling forms in?</p>	12.2.12
12.2.13	1240	<p>Staffing & Precept 1. How many members of the private sector are employed within your force and what the monetary value of this is? 2. In addition we should also like to know what the current precept for your force area is?</p>	12.2.12
15.2.13	1386	<p>Policing Nudity 1. What is your police service's policy on policing nudity in situations where it may be visible to members of the public? 2. Given that non-sexual, non-aggressive nudity is not an offence in law, what is your policy and guidance to officers when a report is received concerning a naked person? 3. What is your policy on arranging to police public demonstrations? 4. How would the policy differ if a planned demonstration remained static rather than on a march? 5. What is your policy if there is a nudity at any such demonstration? 6. What is the requirement for your police service to be given advance notice of a planned demonstration?</p>	19.2.13
20.2.13	1505	<p>Additional Officers You said some time ago that we were to have 150 additional police officers quickly-good. However I see that the police officers will be a combination of proper police men/women, PCSOs and police "staff". Please confirm how many of each and when-presumably 37.5 per year over the next 4 years! Also why PCSOs-we need proper well trained policemen with the power of arrest-PCSOs are a poor substitute.</p>	25.2.13

<u>DATE</u>	<u>FOI REF</u>	<u>REQUEST DETAILS</u>	<u>RESPONSE SENT</u>
27.3.13	2906	<p>Staffing</p> <p>Please state the new appointments to paid roles made by the force's Police and Crime Commissioner – listing name, job title, remuneration and contracted hours for the role.</p> <p>Please state, for each employee, any previous professional or personal relationship between the employee and the elected commissioner. Please state whether the relationship was personal (for example, acquaintance or friendship) or professional, indicating the details of the prior working relationship.</p> <p>For each post, please state the number of people interviewed for the role and, where possible, any prior relationships (professional and personal) between the candidates and the police commissioner. Please state the recruitment process.</p> <p>Finally, where possible, state the total estimated annual cost of the office of the police commissioner (including salaries and allowances for the associated police and crime panel) and the total cost of the police authority and its administrative staff in its final year of operation.</p>	9.4.13
9.4.13	3371	<p>Staffing</p> <p>A list of all staff appointments made by the Police and Crime Commissioner and the following specific information on each post</p> <ol style="list-style-type: none"> The name of the staff member appointed The date s/he began / will begin his/her role The salary attached to the post A job description of the post A description of the process through which the appointment was made The number of applicants who applied for the appointment <p>Please see (e) above.</p>	11.4.13
18.4.13	3703	<p>Storage of Data</p> <ol style="list-style-type: none"> What is the correct Police physical procedure for collecting, storing and handling Video evidence contained on micro SD cards? <ol style="list-style-type: none"> What is the time scale for getting statements from the eye witnesses? Can it be requested (or suggested) that these witnesses write (an interim) brief account of their recollections to aid their memory in the case that there is a delay in getting their statements? 	22.4.13
23.4.13	3904	<p>Public sex or Cruising Sites</p> <p>How many public sex or cruising sites you are aware of in your policing area – and where exactly they are.</p> <p>How many arrests, spot-fines, and convictions, have been made on these sites in your policing areas in the past 10 years – encompassing 2002, 2003, 2004, 2005, 2006, 2008, 2009, 2010,</p>	26.4.13

<u>DATE</u>	<u>FOI REF</u>	<u>REQUEST DETAILS</u>	<u>RESPONSE SENT</u>
		2011, 2012 and so far in 2013. Have you given out food and drink at public sex sites as part of your strategy of policing these sites.	
23.4.13	3910	Expenses How much your police commissioner has claimed in expenses over the last 12 months (between dates 01.03.2012 - 01.03.2013). How much has been spent on taxis in that time period, how much on flights in that time period and how much on restaurants. Please include the police commissioner's salary per annum.	26.4.13
29.4.13	3977	Gifts & Hospitality Details of all gifts and hospitalities accepted and declined by the Police & Crime Commissioner since 15 th November 2012 to-date. Please include a) Type of Gift/Hospitality b) Donors name (individual and/or company) c) value or estimation and d) date gift/hospitality accepted or declined.	1.5.13
2.5.13	4199	Crime Statistics Request for crime statistics for the years 2010, 2011 and 2012 relating to crime occurring on petrol forecourts: The specific crimes are: Relating to Fuel only: Driving off without payment (criminal) No means of payment (civil) Theft (specifically related to the direct theft of petrol from tanks during non operational hours) Relating to the petrol forecourt shop: Robbery Burglary/Aggravated Burglary Theft	2.5.13
22.5.13	4919	School Information 1) Please advise how many schools had computer hardware and software stolen. 2) Please advise if any of the computer hardware and software stolen had children's or teacher's biometric data on. 3) In relation to question 2 please could you advise if any of the computer hardware and software that has been stolen has ever been recovered?	22.5.13

<u>DATE</u>	<u>FOI REF</u>	<u>REQUEST DETAILS</u>	<u>RESPONSE SENT</u>
		<p>4) Apart from theft, is this police force aware of any biometric systems in schools being compromised?</p> <p>5) Does your force report any biometric data stolen to any government department? If so please advise which one.</p> <p>6) Has this police force ever requested or had access to a school biometric database and please advise whether requests were successfully granted or not.</p> <p>7) With regards to question 6, from the school biometric databases accessed please advise if:</p> <p>i) Any biometric data was added to the police database</p> <p>ii) Was the schools biometric data system easily inter-operable with the police database?</p> <p>8) Was any conviction successful as a result of data obtained from a school biometric database?</p>	
5.6.13	5561	<p>Payments to Officers Specific details (names, rank, amounts and reasons) of all payments including payments in kind, gifts, bonuses, retention payments, recruitment payments, allowances, payment of fees, health insurance etc made to chief police officers (assistant chief constable and above) for each of the past five years (2008-9 to 2012/13) which were outside the national PNB agreements, the Police Regulations or other determinations or approvals of the Secretary of State.</p>	6.6.13
10.6.13	5770	<p>PCC Expenses I would like a detailed breakdown of the expenses of the office of Nottinghamshire's Police and Crime Commissioner from when they took office to the present day, or as recently as records allow.</p>	10.6.13
7.6.13	5771	<p>Estates/facilities/projects Please provide me with:</p> <ol style="list-style-type: none"> 1. An up-to-date version of your estates/facilities/capital projects organisational structures including names, email addresses, telephone numbers and reporting lines where possible. 2. Any current vacancies in the estates/facilities/projects department (may be included in the Organisation Structures if easier). 3. Total spend on both agency (temporary) workers and permanent recruitment fees by the estates/facilities/projects departments over the last 2 years. 	11.6.13
7.6.13	5989	<p>Number of Employees How many employees Nottinghamshire Police and Crime Commissioner has excluding general Police Officers and Police Constables?</p>	14.6.13

<u>DATE</u>	<u>FOI REF</u>	<u>REQUEST DETAILS</u>	<u>RESPONSE SENT</u>
13.6.13	5997	<p>Searches Over the last five years out of every 100 recorded searches carried out on the following ethnic groups did the Police find something of interest i.e. drugs, weapons, stolen property or evidence of criminal activity.</p> <ol style="list-style-type: none"> 1) White British 2) Eastern European 3) White Other 4) Black/ Mixed Race British 5) Black/ Mixed Race Other 6) Asian British 7) Asian Other 8) Other Groups. 	14.6.13
18.6.13	6304	<p>Credit Card and Expenses for PCC Please provide all details of force credit card spending by the Police and Crime Commissioner since their appointment last year. Please provide details of all expenses claimed by the PCC during the same period.</p>	8.7.13
4.6.13	6408	<p>PCC Vehicle Please tell me if you are provided with a vehicle as part of your role as Police and Crime Commissioner and if so, please specify the manufacturer and model of the vehicle.</p>	26.6.13
12.6.13	6409	<p>Police Officers with Criminal Records I require the names of any and all serving police officers with their collar numbers, who have criminal records.</p>	26.6.13
26.6.13	6411	<p>Number of Arrests since 2009 I would like the total number of arrests made in the constabulary catchment area since 2009 for the following offences: Rape, Sexual assault, Administering a substance (drinks spiking), Trespass with intent to commit a sexual offence, Sexual intercourse with a girl under the age of 16, Abuse of trust through a sexual activity, Sexual activity by a care worker, Engaging in a sexual activity in the presence of a child Sexual grooming, Sexual activity with a family member, Abudction, Indecent conduct towards a child, Taking an indecent photograph of a child, Causing or inciting child prostitution, Procuring a woman by threats or false pretences, Trafficking a person into the UK for sexual exploitation Exposure, Voyeurism, If it is possible to know who the most prolific offender for each of these offences (based on the number of arrests/charges/convictions then I would like to add that too my request.</p>	26.6.13

<u>DATE</u>	<u>FOI REF</u>	<u>REQUEST DETAILS</u>	<u>RESPONSE SENT</u>
		Finally, I would like to add one more request: I would like the postcode (street address) that has experienced the most arrests based on prostitution since 2009.	
2/7/13	6653	Budget 1) How much money is specifically allocated to the prevention of gangs and youth violence? 2) Are any voluntary sector organisations being utilised to provide these services? 3) If so, please provide a list of organisations and details of the funding they have been awarded (including the value, type (contract/grant etc) and duration of funding)	26.7.13
2/7/13	6654	Riots 2011 a) How many claims were made to your authority under the Riot Damages Act 1886 between August 6 th 2011 and September 22 nd 2011? b) What was the total amount paid out by your authority under the Riot Damages Act 1886 for claims made between August 6 th 2011 and September 22 nd 2011? c) How many claims made between August 6 th and September 22 nd 2011 were rejected by your authority? d) How many claims made between August 6 th and September 22 nd 2011 are still outstanding?	26.7.13
3/7/13	6780	Payments and Expenses 1. I would like a list of all the expenses claimed by the PCC or staff working for them since they were voted into the position. This includes what expense was claimed, where it was claimed, when it was claimed, how much was claimed and for what reason it was claimed. 2. I would also like a list of transaction on credit cards made by the PCC or staff since the start of the job. This includes what expense was claimed, where it was claimed, when it was claimed, how much was claimed and for what reason it was claimed. 3. I would also like to know if any accommodation has been provided for the PCC, whether this is permanent or temporary. This includes where the accommodation is, how much it costs to maintain/for the PCC to stay there, how long the PPC plans to stay there.	26.7.13
3/7/13	6780	Payments I would like a list of people that have received payments from the PCC office. This includes contracted staff, non-contracted staff, consultants and other payments to individuals or groups.	Further clarity requested 8.7.13. Clarity not received. Closed 9.9.13
18/7/13	7092	Police Authority Terms of Reference Request for terms of Reference for the Police Authority HR and Professional Standards Committee, Performance Committee and Standards Committee.	18.7.13

<u>DATE</u>	<u>FOI REF</u>	<u>REQUEST DETAILS</u>	<u>RESPONSE SENT</u>
19/7/13	7153	<p>Crime Figures Please can you provide me with the yearly Bassetlaw Crime figures on burglary, theft, Violent Crime, Vehicle theft and drugs related offences from 2001 to date?</p>	19.7.13
25/7/13	7296	<p>Police Authority Staffing</p> <ol style="list-style-type: none"> 1. How many former Police Authority staff have been made redundant or taken voluntary exit since November 2012? 2. What is the total amount given to them in voluntary exit payments, redundancy pay, severance payments, lump sums, payments in lieu of notice, compensation awards and pension payments? 3. What is the single highest payment made to a former Police Authority employee? 4. How many of them signed confidentiality clauses as part of their departure? 5. Have any former Police Authority employees since been re-employed by the OPCC? 	26.7.13
05/08/13	7617	<p>Since being voted into position could you please detail:</p> <p>What domestic and/or sexual violence services have you have commissioned/piloted/trialled/given either solely as the PCC or with any other partners/stakeholders, etc Which organisations delivered any work commissioned How those organisations were selected to deliver work – if no tender/expression of interest/open tender or other selection type process was used, please explain why The length and value of any such work and what evaluation there will b How will future domestic and/or sexual violence work that is paid for by the PCC, or work that is jointly commissioned with the PCC be widely and fairly advertised within Nottinghamshire?</p>	12.8.13
13/08/13	7841	<p>Disability Hate Crime</p> <p>We as a trade union would like to know how your force deals with such crimes, for example: Are incidents recorded as Hate Crime and followed up when an initial complaint is made? What adjustments and proactive measures has your force made to encourage both the reporting of Hate Crime and in its support of those who have experienced it? Do you have current statistics showing the level of hate crime in your area? Have you seen an increase in this type of crime? How likely is it that the perpetrator will face a custodial sentence? What measures do you have in place to educate repeat offenders?</p>	15.08.13
21/8/13	8150	<p>Chief Officer Payments</p> <ol style="list-style-type: none"> 1. How much has your office, and the Police Authority before it, paid in general contributions to the Association of Chief Police Officers (ACPO) in each of the past three financial years, 2010- 	30.9.13

<u>DATE</u>	<u>FOI REF</u>	<u>REQUEST DETAILS</u>	<u>RESPONSE SENT</u>
		<p>11, 2011-12 and 2012-13? If possible, please also state how much you expect to pay in the current financial year.</p> <p>2. How much has your office, and the Police Authority before it, paid to cover chief officers' subscriptions to the Chief Police Officers' Staff Association (CPOSA) or ACPO, in each of the past three financial years?</p> <p>3. How much has your office, and the Police Authority before it, paid to towards the ACPO Criminal Records Office (ACRO), in each of the past three financial years?</p> <p>4. How much has your office, and the Police Authority before it, paid to towards the Police National Information Co-ordination Centre (PNICC), in each of the past three financial years? If possible, please also state how much you expect to pay towards its successor organisation, the National Police Co-ordination Centre, this year.</p> <p>5. How much money has your office, and the Police Authority, received from the National Driver Offender Retraining Scheme (NDORS), in each of the past three financial years? Have you paid NDORS and its related organisations, NDORS Ltd, RSS Ltd and R&SC Ltd, any money?</p> <p>6. Please set out any other money you have paid to ACPO and related organisations in the past three financial years. These may include ACPO Crime Prevention Initiatives Ltd, the National Ballistic Intelligence Service, ACPO Terrorism and Allied Matters (TAM), the National Wildlife Crime Unit, ACPO conferences etc.</p>	
9/9/13	8494	<p>Artwork Costs</p> <p>I wish to know how much your Force has spent on artwork for its police stations and any offices associated with your Force over the last five years. Please specify what the artwork is. For example is it a painting or a sketch or a sculpture? Please include any water features and fish tanks too.</p> <p>Where possible, please name the artist and specify how much was paid for the artwork and when it was bought and where it is now kept.</p> <p>Please specify any upkeep costs, for example, if your Force has purchased a fish tank then please state the upkeep for the tank.</p>	9/9/13
10/09/13	8800	<p>Community Grants</p> <p>Would like to know who was awarded small community grant for hate crime and which organisations were cited as partners.</p>	17/09/13
19/9/13	8888	<p>Speeding Statistics</p> <p>At our recent Parish Council meeting and over the last few months, we have received an increasing volume of complaints by various residents regarding the issues with speeding through our village.</p>	19/9/13

<u>DATE</u>	<u>FOI REF</u>	<u>REQUEST DETAILS</u>	<u>RESPONSE SENT</u>
		We are aware that a recent speed and vehicle count took place on the 11 th July 13, and as a Minor Authority we would like to request a copy of those statistics.	
3/10/13	9638	The Elected Local Policing Bodies (Specified Information) Order 2011 To provide details of how your OPCC/MOPAC meets each of the 25 transparency requirements specified within appropriate legislation.	1.11.13
7/10/13	9387	Community Safety Fund 1. For 2013-14, please provide information about how much of your Community Safety Fund has been allocated to services relating to drug or alcohol use. 2. Are you able to give an indication of what the allocation is likely to be in 2014-15, and what the decision making process for next year's funding will be in your police area? 3. Please describe how you engage with Health and Wellbeing Boards within your police area, and what level of involvement you have in Joint Strategic Needs Assessments and Joint Health and Wellbeing Strategies. 4. Please describe whether you currently commission or are considering commissioning within the next 12 months services funded by a Payment by Results mechanism, and if so, what form that mechanism takes.	30.10.13
17/10/13	10653	Commissioning <ul style="list-style-type: none"> • How this medium risk service was commissioned to WAIS • If the service was not placed out to an open tender/commissioning type processes to other organisations why WAIS were selected as the preferred provider and what policy you follow to agree that it didn't need to be placed out to open tender if that was the case. • How this fits in with Nottingham City commissioning pathways • If this is a time limited piece of work if so, for how long • The value of the contract/commission • An outline of what the service will deliver 	7/11/13
2/11/13	10568	Stolen Items <ol style="list-style-type: none"> 1. How many items have been stolen from the office of the Police and Crime Commissioner since it was created? 2. How much as a whole, cost wise, do the items stolen roughly amount to? 3. Can you provide a list of the range of items stolen? 4. What was the cheapest item stolen and how much does it cost? 5. What was the most expensive item stolen and how much did it cost? 	6/11/13

<u>DATE</u>	<u>FOI REF</u>	<u>REQUEST DETAILS</u>	<u>RESPONSE SENT</u>
28/8/13	10666	<p>Employment Issues</p> <ol style="list-style-type: none"> 1. How many Employment Tribunal cases has Nottinghamshire Police Force been Respondent to between July 2012 and July 2013, were the cases progressed to a Tribunal Court Hearing and reached a conclusion? 2. Of the above cases, how many reached a conclusion where a finding was made against Nottinghamshire Police Force and what were the total costs of awards paid by Nottinghamshire Police to the Claimants in those cases. 3. If the Police and Crime Commissioner is regarded as a different employer to Nottinghamshire Police, can you please answer the same questions as above, additional to the above, for the same time period. 4. What were the types of cases to which both Nottinghamshire Police and the Police and Crime Commissioner were Respondents at Employment Tribunal between July 2012 and July 2013, were the cases progressed to a Tribunal Court Hearing and reached a conclusion? Please specify which relate to Nottinghamshire Police Force and which relate to the Police and Crime Commissioner? 5. What were the costs of the awards paid by Nottinghamshire Police Force and the Police and Crime Commissioner in relation to each case in 4) above – please specify which relate to Nottinghamshire Police Force and which relate to the Police and Crime Commissioner. 	4/10/13
11.11.13	10758	<p>Memorandum of understanding between the Police and Crime Commissioner and the prison service/local prison governor:</p> <p>Does the Commissioner have a memorandum of understanding (MOU) with the prison service or your local prison governor, which defines</p> <ol style="list-style-type: none"> i. what an “assault on a prison officer” is and ii. the types of incidents suitable for prosecution? <p>Please note, if this document is not known as a “memorandum of understanding”, please provide details of whatever document you have which defines what an “assault on a prison officer” is and the incidents deemed suitable for prosecution.</p> <p>If a MOU or other similar document exists, please provide a copy of the actual document by email. If a MOU is not held by the Police and Crime Commissioner’s office, I would be grateful if you would advise me who is now responsible for these. I understand these agreements were previously held by the Police Authorities.</p>	11.11.13
12.11.13	10778	<p>Police Dogs</p> <ul style="list-style-type: none"> - Why the Nottinghamshire Police took this decision ? - Is it related with the polemic following the killing of two dogs on the military base where Prince 	13.11.13

<u>DATE</u>	<u>FOI REF</u>	<u>REQUEST DETAILS</u>	<u>RESPONSE SENT</u>
		<p>William used to serve ?</p> <ul style="list-style-type: none"> - How this operation is going to work ? - How many dogs are going to benefit from this operation each year ? <p>Why the program is a 3 years program (why not 2 or 4)?</p> <ul style="list-style-type: none"> - I don't get how the scheme will be financed? Fund based on charity? - How many dogs are actually working for the Nottinghamshire police and crime commissioner? - If I have understood it well, only the medical expenses related to work injuries / illnesses will be reimbursed? - What about, the expenses due to old age and the general cares? Why they are not included in it? 	
13.11.13	10861	<p>Hate Crime</p> <p>(a) What measures you are taking to tackle Hate Crime against Non Motorised Road Users?</p> <p>(b) What actions the Police are taking to reform their response towards injured NMUs?</p>	14.11.13
20.11.13	11056	<p>Expenses</p> <p>Commissioner's expenses from November 2012 to date</p>	20.11.13
25.11.13	11665	<p>Details of any previous convictions of the Police and Crime Commissioner including:</p> <p>1. a) The number of people employed by the Police and Crime Commissioner, including the PCC him or herself, (including those suspended, subject to caution, etc.) who have criminal records (for example, but not limited to, convictions, out-of-court disposals, etc.)</p> <p>1. b) Of these, the number known to be on the Sex Offenders Register or have convictions or out-of-court disposals for sex offences (of any type, including child sex).</p> <p>2. For each case, please provide:</p> <p>a) A description of the offence committed</p> <p>b) The punishment received</p> <p>c) The date of the conviction and the date when the crime was committed</p>	28.11.13
03.12.13	11390	<p>Complaints</p> <p>How many Complaints have the Police and Crime Panel received against the PCC since November 2012 start of office?</p>	03.12.13
09.12.13	11540	<p>Request re bonus and severance payments</p>	12.12.13

2011 No. 3050

POLICE, ENGLAND AND WALES

**The Elected Local Policing Bodies (Specified Information)
Order 2011**

<i>Made</i> - - - -	<i>20th December 2011</i>
<i>Laid before Parliament</i>	<i>22nd December 2011</i>
<i>Coming into force</i> - -	<i>16th January 2012</i>

The Secretary of State makes the following Order in exercise of the powers conferred by section 11(2) of the Police Reform and Social Responsibility Act 2011^(a).

Citation, commencement and interpretation

1.—(1) This Order may be cited as the Elected Local Policing Bodies (Specified Information) Order 2011 and comes into force on 16th January 2012.

(2) In this Order—

“the 2011 Act” means the Police Reform and Social Responsibility Act 2011;

“election” means—

- (a) where the elected local policing body is a police and crime commissioner, an election held under section 50 of the 2011 Act; and
- (b) where the elected local policing body is the Mayor’s Office for Policing and Crime, an election held under section 16 of the Greater London Authority Act 1999^(b);

“relevant office holder” means—

- (a) where the elected local policing body is a police and crime commissioner, the commissioner and any deputy police and crime commissioner appointed by the commissioner; and
- (b) where the elected local policing body is the Mayor’s Office for Policing and Crime, the Mayor of London and any Deputy Mayor for Policing and Crime appointed by the Mayor;

“senior employee” means a member of the staff of an elected local policing body whose salary exceeds £58,200; and

“staff”, where the elected local policing body is a police and crime commissioner, does not include a deputy police and crime commissioner appointed by the commissioner.

Specified information

2.—(1) For the purposes of section 11(1) of the Police Reform and Social Responsibility Act 2011, the Secretary of State specifies—

- (a) the information set out in Part 1 of the Schedule; and
 - (b) the times of publication set out in Part 2 of the Schedule.
- (2) Nothing in this Order applies to information if publication of that information—
- (a) would, in the view of the chief officer of police, be against the interests of national security;
 - (b) might, in the view of the chief officer of police, jeopardise the safety of any person;
 - (c) might, in the view of the chief officer of police, prejudice the prevention or detection of crime, the apprehension or prosecution of offenders, or the administration of justice; or
 - (d) is prohibited by or under any enactment.

Home Office
20th December 2011

Nick Herbert
Minister of State

SCHEDULE

Article 2

PART 1 – INFORMATION

1. In relation to the relevant office holders of the elected local policing body—
- (a) the name of each relevant office holder;
 - (b) the address for correspondence of each relevant office holder;
 - (c) the salary of each relevant office holder;
 - (d) the allowances paid to each relevant office holder in respect of expenses incurred by the office holder in the exercise of the body's functions;
 - (e) a register of interests of relevant office holders, including every paid employment or office or other pecuniary interest of each relevant office holder.
 - (f) the number of complaints or conduct matters that have been brought to the attention of a relevant office holder by the police and crime panel (either because they have been referred to the Independent Police Complaints Commission, or because they are being subjected to informal resolution by the panel).
2. In relation to the staff (and, in relation to gifts and hospitality, also the relevant office holders) of the elected local policing body—
- (a) the number of members of the staff;
 - (b) the proportion of the staff who—
 - (i) are women,
 - (ii) are, to the knowledge of the elected local policing body, members of an ethnic minority,
 - (iii) have, to the knowledge of the elected local policing body, a disability (within the meaning of section 6 of the Equality Act 2010(a));
 - (c) an organisational chart showing the structure of the staff;

(a) 2010 c. 15.

- (d) the job title, responsibilities and salary of each senior employee and (unless the senior employee refuses to consent to the publication of his name) the name of the senior employee;
 - (e) a register of each offer of a gift or hospitality made to a relevant office holder or member of staff, indicating whether the offer was accepted or refused.
- 3. In relation to the income and expenditure of the elected local policing body—**
- (a) the total budget of the elected local policing body;
 - (b) where the elected local policing body is a police and crime commissioner, the precept issued by the commissioner;
 - (c) information as to each anticipated source of revenue of the elected local policing body (other than, in the case of a police and crime commissioner, the precept);
 - (d) information as to the proposed expenditure of the elected local policing body;
 - (e) a copy of the annual investment strategy of the elected local policing body;
 - (f) information as to each crime and disorder reduction grant made by the elected local policing body, including the conditions (if any) attached to the grant, the recipient of the grant, the purpose of the grant and the reasons why the body considered that the grant would secure, or contribute to securing, crime and disorder reduction in the body's area;
 - (g) information as to each item of expenditure of the elected local policing body exceeding £500 (other than a crime and disorder reduction grant), including the recipient of the funds, the purpose of the expenditure and the reasons why the body considered that good value for money would be obtained.
- 4. In relation to the property, rights and liabilities of the elected local policing body—**
- (a) the identity of any premises or land owned by, or occupied for the purposes of, the elected local policing body;
 - (b) a copy of each contract with a value exceeding £500 to which the elected local policing body is or is to be a party;
 - (c) a copy of each invitation to tender issued by the elected local policing body in relation to a contract which the body expects will have a value exceeding £500.
- 5. In relation to the decisions of the elected local policing body—**
- (a) the date, time and place of each public meeting to be held by the elected local policing body;
 - (b) a copy of the agenda for each public meeting held by the elected local policing body, and any report or other document that is the subject matter of an item on the agenda;
 - (c) a copy of the minutes of each public meeting held by the elected local policing body, and of each meeting which is not a public meeting but at which matters of significant public interest arising from the exercise of the body's functions are discussed.
 - (d) a record of each decision of significant public interest arising from the exercise of the elected local policing body's functions, whether made by the body at or as a result of a meeting or otherwise.
- 6. In relation to the policies of the elected local policing body—**
- (a) a statement of the policy of the elected local policing body in relation to the conduct of relevant office holders, including procedures for the handling of qualifying complaints and conduct matters (within the meaning of section 31 of the 2011 Act);
 - (b) a statement of the policy of the elected local policing body in relation to the making of decisions of significant public interest arising from the exercise of the body's functions;
 - (c) a statement of the policy of the elected local policing body in relation to records management, including procedures for the security and sharing of information and the retention and destruction of documents;

- (d) a statement of the policy of the elected local policing body in relation to the handling of qualifying disclosures (within the meaning of section 43B of the Employment Rights Act 1996(a)).

7. In relation to the prevention of crime and disorder, a copy of any report required by the elected local policing body from the responsible authorities for a local government area under section 7(1) of the Crime and Disorder Act 1998(b).

8. In relation to the independent custody visitors appointed under arrangements made by the elected local policing body under section 51 of the Police Reform Act 2002, the identity of each person appointed.

PART 2 – TIMES OF PUBLICATION

9. The information specified in the following provisions is to be published as soon as practicable after an election, and shall be reviewed each year thereafter and any variation published—

- (a) paragraph 1(a) to (c);
- (b) paragraph 2(d);
- (c) paragraph 4(a);
- (d) paragraph 6.

10. The information specified in paragraph 3(a) to (e) is to be published in respect of each financial year, before the beginning of the financial year to which it relates.

11. The information specified in paragraph 1(f) is to be published in respect of each financial year, as soon as practicable after the end of the financial year to which it relates.

12. The information specified in paragraph 2(a) to (c) is to be published as soon as practicable after an election, and shall be reviewed every six months thereafter and any variation published.

13. The information specified in the paragraphs 1(d) and 8 is to be published quarterly, as soon as practicable after the end of the quarter to which it relates—

- (a) paragraph 1(d); and
- (b) paragraph 8;

14. The information specified in paragraph 3(f) and (g) is to be published each month, as soon as practicable after the end of the month to which it relates.

15. The information specified in paragraphs 1(e) and 2(e) is to be published as soon as practicable after an election, and any variation is to be published as soon as practicable after it becomes known to the elected local policing body.

16. The information specified in the following provisions is to be published as soon as practicable after it becomes available to the elected local policing body—

- (a) paragraph 4(b) and (c);
- (b) paragraph 5;
- (c) paragraph 7.

(a) 1996 c. 18. Section 43B was inserted by section 1 of the Public Interest Disclosures Act 1998 (c. 23).
(b) 1998 c. 37. Section 7 is amended by Schedule 11 to the 2011 Act.

EXPLANATORY NOTE

(This note is not part of the Order)

This Order specifies information that must be published by elected local policing bodies, and the time of publication of that information.

An elected local policing body is, in relation to a police area in England and Wales outside London, the police and crime commissioner established under section 1 of the Police Reform and Social Responsibility Act 2011 and, in relation to the metropolitan police district, the Mayor's Office for Policing and Crime.

Article 2(2) of the Order has the effect that information that would otherwise be specified information but the publication of which would be harmful on various grounds, or would be contrary to any enactment, does not have to be published.

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For Information	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	18 February 2014
Report of:	ACO, Resources
Report Author:	Coryn Reynolds – Information Compliance Officer
E-mail:	coryn.reynolds@nottinghamshire.pnn.police.uk
Other Contacts:	Julie Mair – Organisational Development Manager Paul Steeples – Interim Head of Business and Finance Glen Langford – Information Management Officer
Agenda Item:	11

Nottinghamshire Police Information Management Freedom of Information and Data Protection update

1. Purpose of the Report

- 1.1 To provide the Audit and Scrutiny Panel with data on the legislative compliance of the Freedom of Information Act and Data Protection Act 1998.

2. Recommendations

- 2.1 Members note the monitoring statistics for 2012 and 2013 in relation to Freedom of Information and Data Protection Subject Access Requests.

3. Reasons for Recommendations

- 3.1 To enable the Audit and Scrutiny Panel to fulfil its scrutiny obligations to oversee and consider Freedom of Information and Data Protection Compliance.

4. Summary of Key Points

- 4.1 Nottinghamshire Police as a public authority have a legal responsibility to respond to Freedom of Information Act (FOIA) and Data Protection Subject Access requests (DP SAR) within the legislative deadlines, which are monitored and governed by the Information Commissioner's Office.
- 4.2 These requests are processed and completed by the Information Management Team within Business and Finance
- 4.3 In the calendar year 2013 the Force has received 858 valid Freedom of Information Act requests and 114 valid Data Protection Subject Access requests for local information from Force systems.

The legislative deadlines for the Acts are:-

- Freedom of Information 20 working days
- Data Protection Subject Access 40 calendar days

- 4.4 The Information Management Team is a transactional section that deals with members of the public, businesses, organisations, professional bodies, Courts and journalists.
- 4.5 The Information Management Team is currently undergoing a restructure to address any gaps in trained resources in the specialised areas of Freedom of Information and Data Protection to ensure there is legislative compliance.

Freedom of Information

- 4.6 The Force monitors compliance and provides quarterly statistics for Freedom of Information to the ACPO Central Referral Unit based in Hampshire. These statistics are collated from all Forces including Police Scotland and the Metropolitan Police Service. Regional and national statistics are produced and circulated to all Forces on a quarterly basis. Results for Nottinghamshire can be seen in the attached charts within the appendices. References to the national position relates to the number of requests received during that period.
- 4.7 Freedom of Information Act requests have increased over the years since its inception. All Forces have seen a significant increase in FOIA requests and also the levels of complexity and the detailed numbers questions asked.
- 4.8 There is a well established process for obtaining information in relation to FOIA requests. An escalation process is in place for chasing departments that do not provide information by the set timescale.
- 4.9 The reasons for Freedom of Information requests exceeding the 20 working day deadline include information being supplied late or after the deadline, awaiting approval from senior officers and technical difficulties accessing data. Applicants are kept up to date when there is a delay with their response being provided, wherever possible partial disclosures will be made to the requestor inside the deadline.

Data Protection

- 4.10 Information Management also processes Data Protection Subject Access requests for information held by Nottinghamshire Police. The information requested from the 'data subject' can vary between accessing incidents, crime reports and statements to interview tapes, CCTV images, information held by Professional Standards Department, Human Resources, and Child Abuse Investigation Unit etc. The main research is conducted by the Information Disclosure Officers, but the department also relies on specific departments obtaining information and supplying this to them. All information is then collated by the Information Disclosure Officers, read and redacted of third party information in accordance with the rights of access to information under the Data Protection Act 1998 and prepared for disclosure. The disclosures can vary between a few pages to 100's dependent on the applicant's involvement with the Nottinghamshire Police.

- 4.11 Data Protection Subject Access request national statistics are not consistently collated as they are for Freedom of Information. However in quarter 3 there were 43 Subject Access requests received and 51 were closed, of the 51 that were closed in this period 10 exceeded the 40 day deadline. Obtaining CCTV footage, tape recorded interviews and dealing with large volume disclosures that require all information to be manually read and redacted, impacts on meeting deadlines. Whenever possible partial disclosures are made to the applicant before the deadline is reached.
- 4.12 The Force has a legislative responsibility to meet deadlines for the handling of Freedom of Information and Data Protection Subject Access requests. Information Management also facilitates other disclosures under the Data Protection Act where there is no legislative deadline; however recommended deadlines are given to each piece of work. During quarter 3 of 2013, Information Management received 328 data protection requests and made 211 disclosures for information under DPA. These areas of work predominantly involve researching the Force Crime and Recording systems for relevant information, all documentation has to be manually reviewed and redacted before it can be released. Court orders are also received in relation to civil proceeding which include Child Care and Family Proceedings, the Judge will determine a deadline for the Force to respond by, and this can vary from less than 24 hours to several weeks. Failure to comply with these requests without proper notification to the Court can result in an officer being called to court.

5. Financial Implications and Budget Provision

- 5.1 There are not direct financial implications

6. Human Resources Implications

- 6.1 There are no direct human resource implications

7. Equality Implications

- 7.1 There are no equality implications.

8. Risk Management

- 8.1 Not meeting the Forces legislative obligations under the Acts.

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

- 9.1 N/A

10. Changes in Legislation or other Legal Considerations

- 10.1 There are no legislation changes

11. Details of outcome of consultation

11.1 Information Management in relation to Freedom of Information and Data Protection compliance is monitored through the Force Information Assurance Board (FIAB)

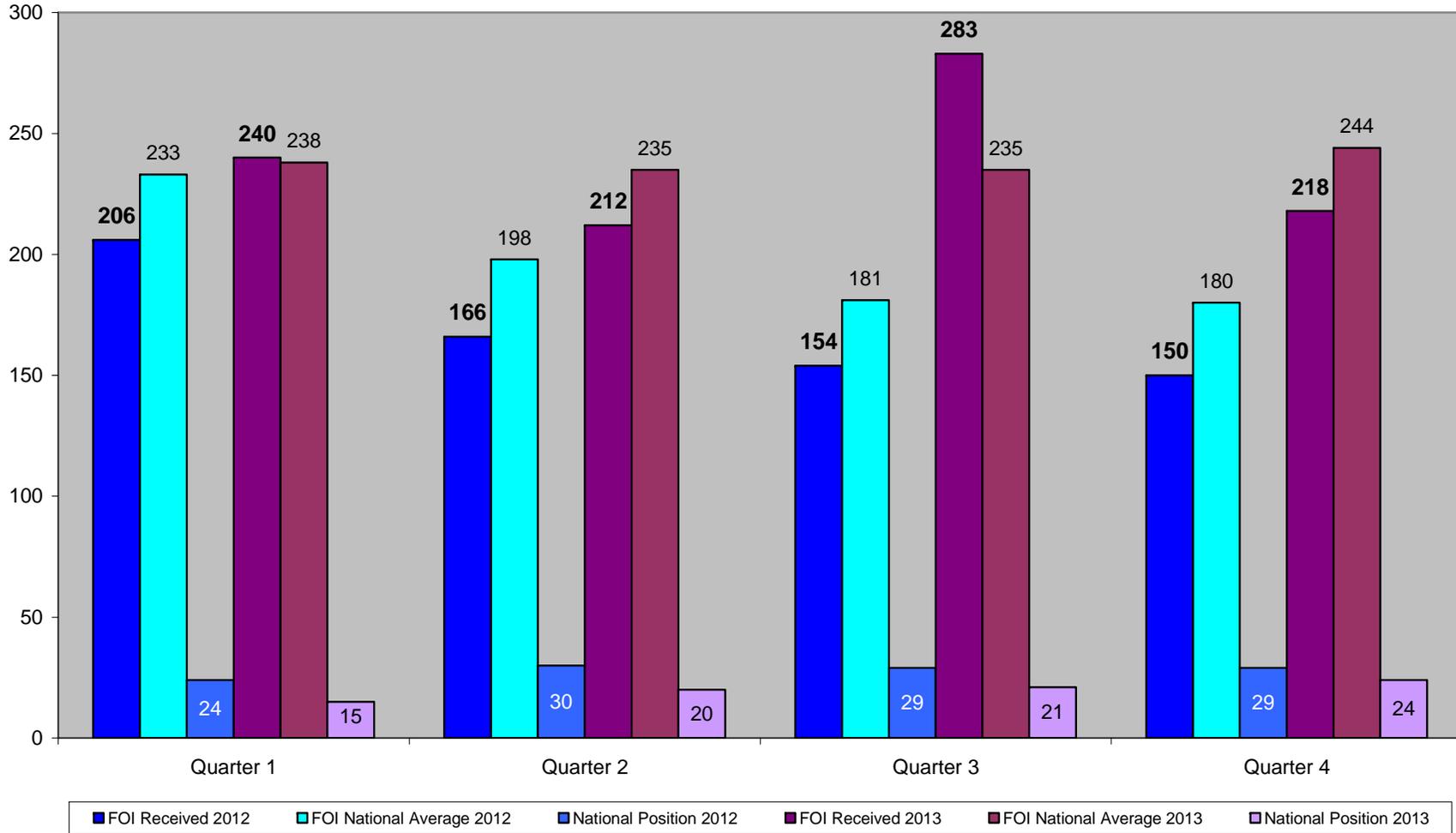
12. Appendices

12.1 Appendix 1 - FOI Requests

12.2 Appendix 2 - Data Protection Subject Access Requests

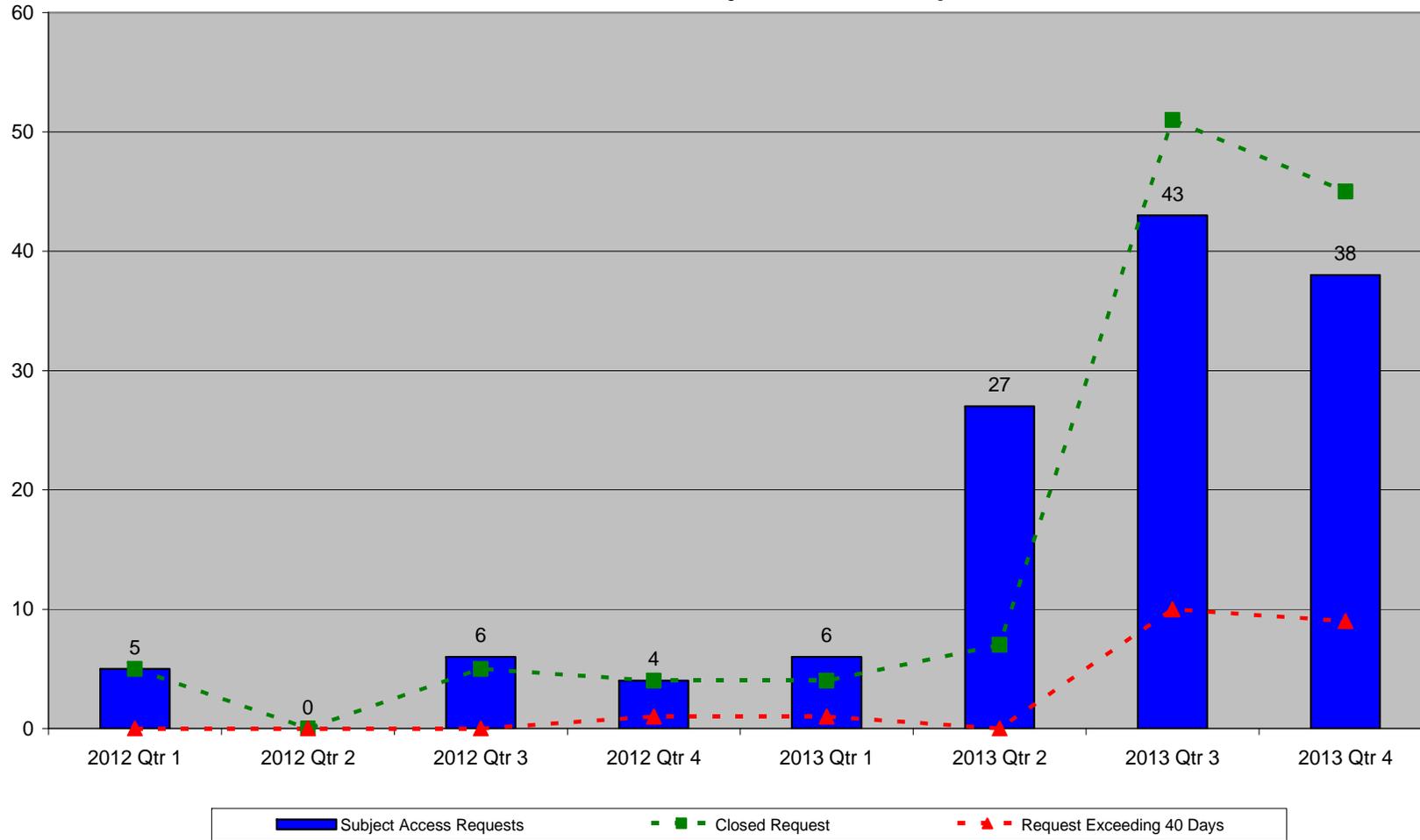
Appendix 1 – FOI Requests

FOI Requests



Appendix 2 – Data Protection - Subject Access Requests

Data Protection - Subject Access Requests



For Information	
Public	
Report to:	Audit and Scrutiny Panel
Date of Meeting:	18th February 2014
Report of:	R.Adams, Commercial Director, East Midlands Strategic Commercial Unit
Report Author:	G.Unwin, Procurement Policy Manager
E-mail:	Graeme.unwin@emscu.pnn.police.uk
Other Contacts:	James.trotter@emscu.pnn.police.uk
Agenda Item:	12

ANTI-FRAUD & CORRUPTION POLICY – REVIEW OF COMPLIANCE (APRIL – SEPT)

1. Purpose of the Report

- 1.1 The East Midlands Strategic Commercial Unit (EMSCU) published their policy entitled Prevention of Fraud and Corruption in the Procurement Process (the Policy) on 16th May 2013 – see Appendix A. The policy is written for all three partner Forces and whilst written to be applicable to procurement activity conducted by EMSCU for contracts with a total value of £25k and above, the principles are equally applicable to lower level procurements. The three partner Forces are Nottinghamshire Police, Derbyshire Constabulary and Northamptonshire Police.
- 1.2 The report informs the Audit and Scrutiny Panel of the level of compliance against the EMSCU Fraud and Corruption Policy for the period April 2013 until September 2013.

2. Recommendations

- 2.1 It is recommended that the Panel notes the following:
- 2.2 That EMSCU's Commercial Director has received no reports of any fraudulent activity following any audit of procurement activity undertaken by the Force.
- 2.3 That EMSCU's Head of Procurement Services (to which the Policy directs any individual wishing to report any suspicion of fraudulent activity) has advised that there has been no reports of any fraudulent activity in relation to procurement activity undertaken within Nottinghamshire Police.
- 2.4 That EMSCU's Commercial Awareness training programme which was launched in December last year is to be delivered on an ongoing basis, includes content on the prevention of fraud and corruption in the procurement process.

3. Reasons for Recommendations

3.1 To give the Panel confidence that there is policy, guidance and training in place to mitigate the risk of fraudulent activity occurring during the procurement process.

4. Summary of Key Points

4.1 Nothing further to note.

5. Financial Implications and Budget Provision

5.1 Not applicable

6. Human Resources Implications

6.1 Not applicable

7. Equality Implications

7.1 Not applicable

8. Risk Management

8.1 EMSCU maintains its own Risk Register and manages and controls all identified commercial risks. Currently, there are no high risks recorded in relation to fraud and corruption.

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

9.1 Not applicable

10. Changes in Legislation or other Legal Considerations

10.1 None to note at present.

11. Details of outcome of consultation

11.1 Not applicable

12. Appendices

12.1 The Policy is attached to this report.

East Midlands Strategic Commercial Unit



TITLE OF DOCUMENT	PREVENTION OF FRAUD AND CORRUPTION IN THE PROCUREMENT PROCESS
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VERSION CONTROL

Version No	Published Date	Review Date	Document Owner	Document Author	Reason for issue
1.0	16 th May 2013	16 th May 2014	Graeme Unwin (Procurement Policy Manager)	Graeme Unwin (Procurement Policy Manager)	New process
1.1	18 th Nov 2013				New Form created
1.2	23 rd Jan 2014				Minor amendment

PROCUREMENT FRAUD

Procurement is a particularly high risk area in terms of fraud. It is important that EMCSU officers, Force officers and staff involved in the procurement process are aware of procurement fraud risks and able to recognise and report potentially fraudulent activity.

There are two basic types of procurement fraud:

- i) Collusion between procurer and supplier
- ii) Collusion between suppliers

Listed below are the specific fraud risks that fall under these two general headings (based on information provided by CIPFA), including controls for mitigating the risks. Whilst the Force(s) Contract Procedure Rules and Standing Orders embed these

controls, Force officers and staff should be conscious of the risks and the reasons for the controls.

COLLUSION BETWEEN PROCURER AND SUPPLIER

The principle Risks that could exist in relation to fraud during the relationship between the procurer and the supplier are as follows -:

- A need / requirement is invented
- Matching a specification to favour a particular supplier
- Supplier introduced to selection / evaluation process by single officer
- Tender invitations only made to preferred supplier
- Provision of information is only provided to preferred supplier
- Tender documents disappear or are altered
- Inadequate records showing, for example, when tenders were received
- Undeclared interests of members of the evaluation panel or bidders
- Tender assessment criteria not established, allowing manipulation of the evaluation
- Use of non-standard contracts, including an overly complex / vague schedule of charges

Payment risks, e.g. payment for goods that were not received or were of lower quality, over ordering, duplicate invoices, suspicious invoices (no valid VAT no., mobile phone no. only, little / vague information, round sum amounts, sequential invoice nos. over extended period)

Controls:

- Specifications drafted wherever possible, as a result of the Force Procurement Business Partner consulting with users and the supply market (not just one provider), encouraging innovation by stating outcomes wherever possible, and stating 'or equivalent' wherever appropriate
- Documented policies and procedures. For example, how and in what circumstances shortlists are compiled (see Clause 7.6 and 7.14 of the Contract Procedure Rules)
- Authorisation and documentation of exceptions from policy and procedure (see Clause 8.4 of the Contract Procedure Rules and specifically Clause 7.5 – Exemptions to normal procedures/single tender action)
- Standing / Approved List membership being subject to authorisation, and adherence to submission, financial and technical criteria (see Clause 7.8 of the Contract Procedure Rules)
- Standing / Approved List / Framework Agreement usage monitored to track for example contract awards
- Equality of opportunity for all suppliers to submit tenders (see Clause 7.6 of the Contract Procedure Rules)
- Management trail – documented evidence of how suppliers were selected (see Clause 7.18 of the Contract Procedure Rules)
- Clear instructions in independently despatched tender invitation documents
- Any clarifications following the issuing of the Request for Quotation or Invitation to Tender are provided to all potential bidders

- Declaration of interests of evaluation panel members – completion of Tender Panellist Declaration form (Form Ref EMSCU 002) as per Appendix A (see Clause 2.3.2.1 of the Contract Procedure Rules)
- Declarations of interests of tenderers. The following question (or similar) should be asked in the Pre-Qualification Questionnaire or Invitation to Tender:
 - *To the best of your knowledge, does any director or senior officer of your organisation have any personal or financial connection with any member or senior officer of Nottinghamshire Police / Derbyshire Constabulary / Northamptonshire Police?*
- Procedures for tender receipt, e.g. fully auditable for every stage of the tender process using the Proactis e-tendering system, including recording, date/time stamping, opening, custody (see Clause 7.11 of the Contract Procedure Rules)
- Evaluation methodology and criteria formally established prior to issuing Request for Quotation or Invitation to Tender (see Clause 7.14 of the Contract Procedure Rules)
- Policy for post tender negotiation (see Clause 7.15 of the Contract Procedure Rules)
- Contract conditions approved by Legal Services
- Documentation of the recording, authorisation, acceptance (see Clause 7.11), notification to tenderers (see Clause 7.16) and retention of tender documents (see Clause 7.18)
- Ordering, receipt and invoicing in compliance with approved electronic system, whether National Police Procurement Hub (NPPH), Force(s) Financial System, Procurement Card

Valuation of works and services

Risks:

- Valuations are made at face value without checks and / or verification to supporting documentation
- Authorisation of payments is made without assurance that checks have taken place
- Inflated claims for payment
- Due damages and credits not being deducted

Controls:

- Checking and sign off of interim valuation certificate
- Full supporting documentation provides completeness, for example how the valuation was compiled, calculated, that deductions (such as for defective work) are included and mitigating actions taken on delays
- Adherence to Force(s) Financial Regulations and the necessary checks of the above prior to payment certification
- Documentation and approval of decisions to deduct damages/apply credits

Collusion between suppliers

Risks:

- Suppliers are part of a cartel and divide up contracts between them by sharing tender information
- Pressure on non-cartel members to not submit tenders

Controls:

- Suppliers appointed on the basis of quality as well as price – most economically advantageous tender
- Monitoring of tender activities and market awareness by Procurement Services – to identify suspicious behaviour, e.g.:
 - patterns of successful tenderers
 - high margins between tenders
 - same price, discounts, service, credit terms offered by tenderers
 - unexpected refusal to tender
- Maintain the confidentiality of tenderers

How do you report suspected collusion between procurer and supplier or between suppliers? Inform Barbara Cairney, Head of Procurement Services, EMSCU (Barbara.cairney@emscu.pnn.police.uk) Tel : (03000 111 222 ext 7440)

**TENDER EVALUATION PANELLIST
DECLARATION REGARDING ANY CONFLICT OF INTEREST
AND CONFIDENTIALITY UNDERTAKING**

I, (Title) (Name) (Surname)
(Job title) (Organisation/Department)
(Email address) (Contact phone number)

Conflict of Interest

Conflict of Interest refers to situations in which personal interests (which may include financial interests) may compromise, or have the appearance of, or potential for, compromising professional judgement and integrity and, in doing so, the best interests of [Nottinghamshire Police / Derbyshire Constabulary / Northamptonshire Police](#).

Examples of conflicts of interest include: *(This is not an exhaustive list)*

- Having a financial interest (e.g. holding shares or options) in a potential tenderer or any entity involved in any tendering consortium
- Having a financial or any other personal interest in the outcome of the evaluation of any tender evaluation process
- Being employed by (as staff member or volunteer) or providing services to any potential tenderer
- Being a member of a potential tenderer's management/executive board
- Receiving any kind of monetary payment or non-monetary gift or incentive (including hospitality) from any tenderer or its representatives
- Canvassing, or negotiating with, any person with a view to entering into any of the arrangements outlined above
- Having a close member of your family (which term includes unmarried partners) or personal friends who falls into any of the categories outlined above

Having any other close relationship (current or historical) with any potential tenderer

It is the individual's responsibility to ensure that any and all potential conflicts are disclosed to the EMSCU (the Chair of the Tender Evaluation Panel) in writing prior to them becoming involved in any procurement process. Individuals will be excluded from the procurement process where the identified conflict is in the EMSCU's opinion material and cannot be mitigated. The decision as to whether the identified conflict is material, and whether any mitigating arrangements are required, is to be made by the line manager of the Chair of the Tender Evaluation Panel (with support from the respective [Category Manager](#)).

Option 1:

"I do not have any conflicts of interest that prevent my full and unprejudiced participation in any procurement process.

I also declare that I will inform the EMSCU immediately, should my circumstances change in any way that effects this declaration."

Signature

Date

Option 2:

“I **do have** a conflict of interest that may prevent my full and unprejudiced participation in a procurement process. The nature of this conflict of interest is described below:

I also declare that I will inform the EMSCU as soon as is practicable, should my circumstances change in any way that effects this declaration.”

Signature

Date

Confidentiality Undertakings

“**Procurement process**” encompasses any formal and informal meetings, associated discussions, meeting preparation and follow up or any other related activity.

“**Information**” means all information, facts, data and other matters of which I acquire knowledge, either directly or indirectly, as a result of my activities as an evaluator of any supplier Pre-Qualification Questionnaire or Tender submissions or tender interviews/presentations etc.

“**Documents**” means all draft, preparatory information, documents and any other material in either paper or electronic form, together with any information contained therein, to which I have access, either directly or indirectly, as a result of my participation in any procurement process. Furthermore, any records or notes made by me relating to information or documents shall be treated as Confidential Documents.

I understand that I may be invited to participate either directly or indirectly in the procurement process and agree:

1. To treat all information and documents under conditions of strict confidentiality
2. Not to disclose, make copies of, or discuss any received information with any person who is not a member of the Tender Evaluation Panel (without the prior written approval of the Chair of the Tender Evaluation Panel)
3. Not to use (or authorise any other person to use) information and documents other than for the purpose of my work in connection with the procurement process
4. To return documents to the Chair of the Tender Evaluation Panel as soon as the evaluation process is complete

Unless otherwise agreed with the Chair of the Tender Evaluation Panel, and subject to relevant legislation, this undertaking applies until the end of the contract, including any contract extensions.

This undertaking shall not apply to any document or information that becomes public knowledge otherwise than as a result of a breach of any of the above undertakings.

Signature

Date

**PLEASE FORWARD THE COMPLETED AND SIGNED FORM
TO THE CHAIR OF THE EVALUATION PANEL**

For Information / Consideration	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	18th February 2014
Report of:	Interim Chief Finance Officer
Report Author:	James Molloy
E-mail:	
Other Contacts:	Adrian Benselin - KPMG
Agenda Item:	13b

EXTERNAL AUDIT PROGRESS REPORT

1. Purpose of the Report

- 1.1 To provide members with an update on progress on the work that External Audit plan to take as part of 2013/14 Audit Plan.

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 sets out a high level summary of the work to be undertaken

5. Financial Implications and Budget Provision

- 5.1 None as a direct result of this report.

6. Human Resources Implications

- 6.1 None as a direct result of this report.

7. Equality Implications

- 7.1 None as a direct result of this report.

8. Risk Management

8.1 None as a direct result of this report.

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

9.1 This report complies with good governance and financial regulations.

10. Changes in Legislation or other Legal Considerations

10.1 None

11. Details of outcome of consultation

11.1 Not applicable

12. Appendices

12.1 Appendix A - **Joint Audit and Scrutiny Panel Progress Report**



cutting through complexity

Joint Audit and Scrutiny Panel Progress Report

Nottinghamshire Police and Crime
Commissioner and The Chief Constable of
Nottinghamshire

February 2014

Public Sector Audit



Joint Audit and Scrutiny Panel Progress Report

Headlines

Introduction

We are currently in the process of undertaking our planning work to support the detailed Audit Plan for 2013/14.

This progress report provides a high level summary of the work we plan to undertake for the 2013/14 audit year, together with a high level assessment of the risks that we have considered as part of this initial planning process.

The Audit Commission are aware of the uncertainties surrounding the accounting arrangements for the Stage 2 transfer. They are liaising with CIPFA who will produce a LAAP bulletin in March, providing definitive guidance on the form and content of the financial statements. Therefore it is appropriate for us not to issue our detailed Audit Plan until this guidance has been published. We will present our detailed Audit Plan for 2013/14 to the Panel at its meeting in June 2014.

Scope of our audit

Our audit work is governed by:

- The Audit Commission Act 1998;
- The Audit Commission Code of Audit Practice; and
- International Standards on Auditing.

We provide:

- An opinion on the financial statements of the Police and Crime Commissioner and the Chief Constable; and
- A value for money conclusion.

The scope of our work is clarified further in the Audit Commission's 'Statement of roles and responsibilities of auditors and of audited bodies'.

Further information in relation to the scope of our work to support the value for money conclusion is available on the Audit Commission's website at <http://www.audit-commission.gov.uk/technicaldirectory/vfm1314/>

Proposed timing of audit work

The timing of our audit work will follow a similar pattern to 2012/13.

- Interim audit visit – review financial systems, understand financial performance to date, identify key risks for the audit of the financial statements, undertake the initial work to support our value for money conclusion. This visit will take place in April.
- Final accounts visit - audit of the financial statements and the Annual Governance Statement. This visit will take place in July. Our work will be complete before 30 September 2014, in line with statutory deadlines.

We will continue our ongoing communication with the finance team during the year to ensure early resolution of any technical issues raised. We will provide feedback to the Panel on any potential risk areas arising during year.

Potential risks for the 2013/14 Audit Plan

At this stage, we have highlighted the following potential risk areas for the Audit Plan:

- Format, content and presentation of the financial statements;
- The recent employment tribunal regarding Nottinghamshire's use of regulation A19; and
- Value for money conclusion.

Details are set out on the following page.

Joint Audit and Scrutiny Panel Progress Report

Headlines			
Potential accounts risks	<p>Members of the Panel will recall that in last year's audit plan, we highlighted the format, content and presentation of the financial statements as a potential risk. The key challenge faced by the PCC and CC in the accounts production was the format of the accounts, as the Code guidance had not been sufficiently detailed to provide a full framework on which to base the two sets of financial statements and the group financial statements. The PCC and CC made good progress in compiling the financial statements to ensure that they complied with existing code requirements, available guidance and were prepared within the statutory timescales.</p> <p>There is still no clear guidance on the expected format and content of financial statements for police bodies.</p> <p>We will continue to work with your finance staff to discuss this issue on an ongoing basis.</p> <p>A recent employment tribunal has ruled that Nottinghamshire's use of regulation A19 to require officers with more than 30 years' pensionable service to retire was unlawful. We need to assess the financial impact of the tribunal decision on the 2013/14 financial statements. For example we would expect there to be a material financial impact in terms of contingent liabilities and/or provisions this year.</p>		
Potential value for money risks	<p>For the year ending 31 March 2014, the auditors of PCCs and CCs are required to give their statutory conclusion on arrangements to secure value for money based on the two criteria specified by the Audit Commission.</p> <p>This is a change from 2012/13, when the criteria were disapplied for PCCs and CCs outside London. This was to reflect the transition to new governance arrangements introduced by the Police Reform and Social Responsibility Act 2011. 2013/14 will be the first year that we will apply the specified criteria to what are still relatively new organisations. This will be a common risk for all police bodies.</p> <p>The specified criteria are:</p> <ul style="list-style-type: none"> ■ The organisation has proper arrangements in place for securing financial resilience. <i>The organisation has robust systems and processes to manage financial risks and opportunities effectively, and to secure a stable financial position that enables it to continue to operate for the foreseeable future.</i> ■ The organisation has proper arrangements for challenging how it secures economy, efficiency and effectiveness. <i>The organisation is prioritising its resources within tighter budgets, for example by achieving cost reductions and by improving efficiency and productivity.</i> <p>The employment tribunal issue mentioned above also has an impact on your level of reserves and future spending plans, so we need to consider your financial standing and ongoing financial resilience as part of our value for money conclusion work.</p>		
Actions	<p>The Joint Audit and Scrutiny Panel is asked to:</p> <ul style="list-style-type: none"> ■ Note progress to date; and ■ Note that there have been no significant audit findings to date. 		
Contacts	<p>The contacts in relation to our audit are:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; padding: 5px;"> <p>John Cornett Director 0116 256 6064 John.Cornett@KPMG.co.uk</p> </td> <td style="width: 50%; padding: 5px;"> <p>Adrian Benselin Manager 0116 256 6089 Adrian.Benselin@KPMG.co.uk</p> </td> </tr> </table>	<p>John Cornett Director 0116 256 6064 John.Cornett@KPMG.co.uk</p>	<p>Adrian Benselin Manager 0116 256 6089 Adrian.Benselin@KPMG.co.uk</p>
<p>John Cornett Director 0116 256 6064 John.Cornett@KPMG.co.uk</p>	<p>Adrian Benselin Manager 0116 256 6089 Adrian.Benselin@KPMG.co.uk</p>		

For Consideration / Decision	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	18th February 2014
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
E-mail:	
Other Contacts:	
Agenda Item:	14

REVIEW OF JOINT AUDIT & SCRUTINY PANEL TERMS OF REFERENCE

1. Purpose of the Report

- 1.1 To identify appropriate persons to review the Panels terms of reference.

2. Recommendations

- 2.1 Members are requested to delegate authority to a nominated member to work with the Chief Finance Officer and in consultation with the ACO Resources on reviewing and changing the terms of reference for the Audit & Scrutiny Panel.

3. Reasons for Recommendations

- 3.1 Good governance

4. Summary of Key Points

- 4.1 In reviewing the work plan for this panel and identifying the need to appoint a Chair at the next meeting; it has come to light that a review of the terms of reference should be undertaken and resolved before the appointment of the next chair is made.
- 4.2 It is therefore proposed that the review of the terms of reference together with approval to make appropriate changes is delegated to a member of the panel and the Chief Finance Officer and in consultation with the ACO Resources.
- 4.3 Where changes are identified these will be communicated to the rest of the panel via email in advance of the next meeting.

5. Financial Implications and Budget Provision

- 5.1 None as a result of this report or the work identified.

6. Human Resources Implications

- 6.1 None as a result of this report.

7. Equality Implications

7.1 None as a result of this report.

8. Risk Management

8.1 The work arising from this report will manage a low risk in relation to governance for the terms of reference.

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

9.1 This complies with the principles of good governance.

10. Changes in Legislation or other Legal Considerations

10.1 None.

11. Details of outcome of consultation

11.1 As detailed within the report

12. Appendices

12.1 Joint Audit and Scrutiny Panel Terms of Reference

Nottinghamshire Police and Crime Commissioner

Joint Audit and Scrutiny Panel

TERMS OF REFERENCE

Membership

This Panel will consist of 5 members appointed from outside Nottinghamshire Police Force and the Police and Crime Commissioner's Office.

Statement of Purpose

To provide independent assurance on the adequacy of the corporate governance and risk management arrangements in place and the associated control environment, advising according to good governance principles and proper practices.

To enable effective in depth scrutiny of key areas of policing activity to ensure that the Force is meeting the needs of Nottinghamshire.

Responsibilities

1. To establish formal and transparent arrangements for considering how the corporate reporting, risk management and internal control principles are applied.
2. To assist the Police and Crime Commissioner (PCC) and Chief Constable (CC) in fulfilling their responsibility for ensuring Value for Money.
3. To assist the Chief Finance Officer to the PCC in fulfilling their responsibility as Section 151 (and section 114 of the Local Government Finance Act 1988) Officer relating to probity, lawfulness of expenditure and internal control.
4. To assist the ACO Resources in fulfilling their responsibility as the statutory officer (Section 114 Local Government Finance Act 1988) relating to probity, lawfulness of expenditure and internal control.
5. To oversee an annual programme of scrutiny of key areas of policing activity on behalf of the Police and Crime Commissioner.
6. To make recommendations to the Police and Crime Commissioner.

Terms of Reference

CORPORATE GOVERNANCE & REGULATORY FRAMEWORK

1. To advise the PCC and CC on the adequacy and effectiveness of the systems of internal control and the arrangements for risk management, control and governance processes, and securing economy, efficiency and effectiveness (Value for Money).
2. To review any issue referred to the Panel by the statutory officers of the PCC and CC and make recommendations as appropriate.
3. To review and scrutinise the CC and make recommendations to the PCC as appropriate.
4. To monitor the effective development and operation of risk management and make recommendations where appropriate to the Police and Crime Commissioner.
5. To ensure there is a whistle blowing procedure and to review and scrutinise it to ensure that this is being complied with.
6. To ensure there is an anti fraud and corruption policy and procedure in place and to receive reports in relation to breaches in this policy.
7. To review and scrutinise that the process has been followed in relation to Grievance Appeals by staff.
8. To monitor and challenge in relation to the appointment of consultants and temporary agency staff
9. To review its own effectiveness on an annual basis.
10. To consult with key stakeholders to identify priorities for scrutiny of policing activity.
11. To ensure there is appropriate co-ordination between the internal audit plan, Her Majesty's Inspector of Constabulary (HMIC) inspection and the annual scrutiny programme to avoid duplication.

INTERNAL & EXTERNAL AUDIT

12. To agree the appointment of the External Auditors and the Internal Auditors.
13. To approve the internal audit strategy and annual internal audit plan and receive the external audit plan.
14. To ensure effective co-ordination between the internal and external auditors.

15. To consider the External Auditors Annual Governance Report and Annual Audit Letter.
16. To consider reports of the Internal and External Auditors and any implications relating to the internal control, risk and governance.
17. To maintain, within an agreed timescale, the implementation of agreed recommendations relating to internal audit reports and HMIC inspections and scrutiny reports
18. To ensure action is taken in response to audit reports and where appropriate challenge and review a management comment that disagrees with a valid recommendation.
19. To ensure that all allegations of fraud and irregularity are properly followed up.
20. To commission work from internal and external auditors as may be necessary.

ACCOUNTS & FINANCE

21. To contribute to the Annual Governance Assurance process for the legal entities of PCC and CC.
22. To recommend the Annual Governance Statement for the Forces accounts to the PCC.
23. To recommend the Annual Governance Statements of the joint accounts to the PCC.
24. To approve and recommend to the PCC the Statement of Accounts.

SCRUTINY

25. To undertake specific scrutiny reviews requested by the Police and Crime Commissioner.
26. To establish a Scrutiny Review Group per topic. The Review Group could include one Joint Audit and Scrutiny Panel Member and will be further made up of independent people who have knowledge or experience of the topic under scrutiny. A Review Group will have no less than three members and no more than five members.
27. To establish only one Scrutiny Review Group at a time to enable the detailed work required. Each review is anticipated to take approximately six months, with two reviews scheduled per year.
28. To delegate authority to the Scrutiny Review Group to propose the scope of the review for approval by the Police and Crime Commissioner.

29. To receive and consider the findings and recommendations from each Scrutiny Review Group on completion of the review and present the findings to the Police and Crime Commissioner for consideration and response.
30. To receive regular update reports on responses and actions arising from any recommendations made in completed scrutiny reviews.

Frequency of Meetings

31. To meet four times per annum at times where key activities require consideration

Last amended by Joint Audit & Scrutiny Panel at its meeting on 14th February 2013

Consideration	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	18th February 2014
Report of:	The Chief Executive
Report Author:	Sara Allmond
E-mail:	sara.allmond@nottsc.gov.uk
Other Contacts:	
Agenda Item:	15

PANEL WORK PLAN AND MEETING SCHEDULE

1. Purpose of the Report

1.1 To provide the Panel with a programme of work and timetable of meetings

2. Recommendations

2.1 To consider and make recommendations on items in the work plan and to note the timetable of meetings

3. Reasons for Recommendations

3.1 To enable the Panel to manage its programme of work.

4. Summary of Key Points

4.1 The Panel has a number of responsibilities within its terms of reference. Having a work plan for the Panel ensures that it carries out its duties whilst managing the level of work at each meeting.

5. Financial Implications and Budget Provision

5.1 None as a direct result of this report

6. Human Resources Implications

6.1 None as a direct result of this report

7. Equality Implications

7.1 None as a direct result of this report

8. Risk Management

8.1 None as a direct result of this report

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

- 9.1 This report meets the requirements of the Terms of Reference of the Panel and therefore supports the work that ensures that the Police and Crime Plan is delivered.

10. Changes in Legislation or other Legal Considerations

- 10.1 None as a direct result of this report

11. Details of outcome of consultation

- 11.1 None as a direct result of this report

12. Appendices

- 12.1 Work Plan and schedule of meetings

JOINT AUDIT AND SCRUTINY PANEL WORK PLAN

<u>ITEM DESCRIPTION</u>		<u>REPORTING FREQUENCY</u>	<u>LEAD OFFICER</u>
17 June 2014 – 2pm			
1.	Election of Chair	Annually	OPCC
2.	(5) IPCC investigations, recommendations and actions (October – March)	6 monthly	Force
3.	(36) Force Improvement Activity Lessons Learned monitoring, IPCC lessons learned report (October - March)	6 monthly	Force
4.	(6) & (7) Whistle Blowing Policy and review of compliance (October – March) and Anti-Fraud and Corruption Policy - review of compliance update (October – March)	6 monthly	Force
5.	(10) & (42) Force, PCC and Regional Draft Annual Governance Statements	Annually	OPCC & Force
6.	(39) Internal Audit Annual Assurance and Performance Report	Annually	OPCC CFO
7.	Police and Crime Plan		OPCC CFO
8.	Verbal update on progress of Statement of Accounts		OPCC CFO
9.	Verbal update from External Audit		OPCC CFO
	Standard items:-		
	Updates on scrutiny and other reviews	As required	OPCC & Force
	PCC Update Report	Quarterly	OPCC
	(12) & (40) Internal Audit Progress Report	Quarterly	OPCC CFO
	(40) Audit & Inspection Report	Quarterly	ACO Resources
23 September 2014 – 2pm			
1.	(23 & 24) Statement of Accounts and Summary Statement of Accounts	Annually	OPCC & Force
2.	(10 & 42) Annual Governance Statements	Annually	OPCC & Force
3.	External Audit – Annual report	Annually	OPCC CFO
4.	(43) Risk report on monitoring and actions for mitigation update	6 monthly	OPCC & Force
5.	(35) Force Governance monitoring, assurance and improvement outcomes for decision making	6 monthly	Force
6.	Regional Collaboration Update	Annually	Force
	Standard items:-		
	Updates on scrutiny and other reviews	As required	OPCC & Force

<u>ITEM DESCRIPTION</u>		<u>REPORTING REQUENCY</u>	<u>LEAD OFFICER</u>
	PCC Update Report	Quarterly	OPCC
	(12) & (40) Internal Audit Progress Report	Quarterly	OPCC CFO
	(40) Audit & Inspection Report	Quarterly	ACO Resources
10 December 2014 – 2pm			
1.	(5) IPCC investigations, recommendations and actions (April – September)	6 monthly	Force
2.	(36) Force Improvement Activity Lessons Learned monitoring, IPCC lessons learned report (April – September)	6 monthly	Force
3.	(6) & (7) Whistle Blowing Policy and review of compliance (April – September) and Anti-Fraud and Corruption Policy - review of compliance update (April – September)	6 monthly	Force & OPCC
4.	External Audit Annual Audit letter	Annually	OPCC CFO
	Standard items:-		
	Updates on scrutiny and other reviews	As required	OPCC & Force
	PCC Update Report	Quarterly	OPCC
	(12) & (40) Internal Audit Progress Report	Quarterly	OPCC CFO
	(40) Audit & Inspection Report	Quarterly	ACO Resources