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**JOINT INDEPENDENT AUDIT COMMITTEE**  
**11<sup>th</sup> July 2023**

<b>SUBJECT</b>	Draft Annual Governance Statement
<b>REPORT BY</b>	DCC Cooper & Chief Finance Officers
<b>CONTACT OFFICER</b>	Amanda Froggatt, Corporate Development Manager <a href="mailto:amanda.froggatt@notts.police.uk">amanda.froggatt@notts.police.uk</a>
<b>SUMMARY AND PURPOSE OF REPORT</b>	
To present a copy of the draft Annual Governance Statement.	
<b>RECOMMENDATION</b>	<i>That members approve the Annual Governance Statement.</i>

**A. SUPPORTING INFORMATION**

This report provides a copy of the draft Annual Governance Statement as detailed in Appendix A.

**B. FINANCIAL CONSIDERATIONS**

There are no direct financial implications arising from this report.

**C. LEGAL AND HUMAN RIGHTS CONSIDERATIONS**

There is a legal requirement to publish an approved Annual Governance Statement in accordance with the Accounts and Audit (England) Regulations 2011, Regulation 4 (3), and to report publicly on the extent to which the organisation complies with its Joint Code of Governance.

**D. PERSONNEL, EQUAL OPPORTUNITIES AND DIVERSITY ISSUES**

(including any impact or issues relating to Children and Young People)

None.

**E. REVIEW ARRANGEMENTS**

The Committee are provided a copy of the draft Annual Governance Statement through this meeting.

**F. RISK MANAGEMENT**

Risks are detailed as appropriate throughout the Annual Governance Statement.

## **G. PUBLIC ACCESS TO INFORMATION**

Information in this report along with any supporting material is subject to the Freedom of Information Act 2000 and other legislation.

# Nottinghamshire Police

## Annual Governance Statement 2022-23



### 1.0 Introduction

#### 1.1 Scope of responsibility

Nottinghamshire Police is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The Force has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised.

In discharging this overall responsibility, Nottinghamshire Police (hereafter referred to as the Force) is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, and which includes arrangements for the management of risk.

The Chief Constable of Nottinghamshire Police and the Police and Crime Commissioner (PCC) for Nottinghamshire have adopted a Joint Code of Corporate Governance, which is consistent with the principles of the CIPFA 2016 Edition Framework 'Delivering Good Governance in Local Government'. A copy of the Code of Governance can be obtained from the Nottinghamshire Office of Police and Crime Commissioner (NOPCC) website at <http://www.nottinghamshire.pcc.police.uk>.

This Statement has been prepared following an assessment of the key elements of the governance framework, including the role of those responsible for the development and maintenance of the governance environment. The statement explains how the Force has complied with the Code and also meets the requirements of Accounts and Audit (England) Regulations 2011, regulation 4(3), which requires all relevant bodies to prepare an annual governance statement.

#### 1.2 The purpose of the governance framework

The governance framework comprises the systems and processes, culture and values by which the Force is directed and controlled and the activities through which it accounts to and engages with the community. It enables the Force to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.

## 2.0 The Governance Framework

The principles which form the basis of the Governance Framework and how they are applied within the Force are described in the following sections. The Chief Constable and Chief Finance Officer have put in place management and reporting arrangements to enable them to be satisfied that the approach to the corporate governance arrangements has been effective and supports the aims of the OPCC (Office of the Police and Crime Commissioner), these include.

- The Governance Framework and the principals included within this
- A Risk Management Strategy and arrangements to embed this within the organisation
- The Scheme of Delegation
- The Financial Regulations
- Contract Standing Orders
- The PROUD values
- The Annual Budget setting process

This list is not exhaustive but covers the main documents that set the culture of the method of operation of governance within the organisation.

### 2.1 Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, respecting the rule of the law

- All officers, staff and volunteers are committed to the Code of Ethics, which find expression in the Force PROUD values.
- The Force continually reinforces the Code of Ethics and expected standards of professional behaviour; guidance and advice is sent to officers and staff using a combination of intranet articles and the Chief's fortnightly video blog.
- The Code of Ethics sits at the centre of the National Decision Model, so is explicitly referenced, and considered in any decision-making situation.
- The Force have embedded the College of Policing's Competency Values Framework (CVF) which sets out nationally recognised behaviours and values into the Leadership Programme.
- The Force have developed a matrix to assess the risk posed by reported notifiable association, this assists the Force in identifying those of greatest risk to the integrity of the Force.
- A Statement of Personal and Pecuniary Interests is completed as part of the Annual Governance Statement process by Chief Officers.
- The Ethics Panel is held quarterly. It raises issues over learning, standards and provides 'safety of voice' to Staff and Officers to raise ethical dilemmas. Attendees include representatives from all staff associations, Police Federation, BPA, LGBT+ and NEWS.
- A PSD led initiative promoting and encouraging interaction with Ethical Dilemmas for staff and officers, which also provides guidance, is linked across to the Ethics Intranet page.
- The Force refer to the Home Office Guidance in relation to Police Officer Misconduct for procedures relating to misconduct, unsatisfactory performance and attendance of police officers and special constables.

- There are clear processes in place around confidential reporting 'Whistleblowing' outlined in the Professional Standards Reporting Procedure which was published in 2021. Staff can report corruption or misconduct confidentially to PSD using a number of methods including via the confidential reporting line/online portal; Integrity Messenger.
- There is a new Integrity Messenger system being built in force which will feature increased functionality for sharing screen shots, photographs, etc and better user interface. It will also include the most up to date security and encryption. The launch will be supported with an internal communications plan to try and improve reporting via this method.
- There are robust mechanisms in place with respect to the governance of complaints in Force. Complaints are managed in accordance with statutory guidance provided by the Independent Office for Police Conduct (IOPC).
- The outcome of misconduct proceedings are published on the Force Intranet to reinforce standards and learning. The Meetings and Hearings (M&H) Officer provides a quarterly update on the position of the Force regarding Misconduct and this is disseminated to the Chief Officer Team, Police Federation and Staff Associations.
- Student officers also receive a copy of the Code of Ethics on day one of their training and receive an input from PSD regarding the Standards of Professional Behaviour (SoPB) ethics and values. Throughout training many of the subjects are linked back to the Code of Ethics and the SoPB.
- The Police Staff Misconduct Policy provides a clear framework for all police staff in terms of expected standards of conduct.
- A procedure is in place for the monitoring of business interests and additional employment for police officers and police staff. The Business Interest Policy was rewritten and published in June 2021.
- Business Interests, Additional Employment and Notifiable Associations are reviewed annually within the Integrity Health check, this forms part of the Career Conversations process.
- There are documented processes and controls in place around the Prevention of Fraud and Corruption in the Procurement Process to mitigate risks in relation to procurement fraud.
- Assurance reporting is submitted to the Joint Independent Audit Committee (JIAC) bi-annually relating to complaint recording and the nature of complaints.
- Bi-annually, a report on IOPC investigations is presented at the Joint Independent Audit Committee (JIAC) to inform the OPCC of the Force's application of the IOPC Statutory Guidance.
- Standards are governed by the quarterly Organisational Risk, Learning and Ethics boards, chaired by the Deputy Chief Constable (DCC). Its remit is to provide a forum to discuss key areas of learning and mandatory compliance with Force values.
- An Ethics Board is held to consider and discuss ethical issues in an advisory and consultative capacity. It considers issues raised at the Organisation Risk, Learning, Standards, and Integrity Board and any matters which are referred from officers, staff, or external groups. A PSD representative attends this meeting chaired by the Deputy Chief Constable.

- The Ethics Panel is held quarterly. It raises issues over learning, standards and provides ‘Safety of Voice’ to Staff and Officers at all levels, to raise ethical dilemmas. Attendees include representatives from all staff associations, Police Federation, BPA, LGBT+ and NEWS (Nottinghamshire Empowering Women to Succeed).
- Dilemmas can be referred in various established accessible routes for employees, and all panel meetings are held on Microsoft Teams improving ease of access. Issues raised are then escalated to the Organisational Risk, Learning and Standards and Integrity board which is chaired by the Deputy Chief Constable who is also the portfolio holder for the Midlands Ethics board. Outcomes, including minutes, agendas and updates, are promoted on the Force’s Intranet, providing feedback into the organisation. Trainees and first line supervisors receive an input from the Ethics lead on decision making in policing and the purpose of the ethics panel in supporting the organisation and its employees.
- The Chief Constable ensures that financial affairs for their force are properly administered having regard to value for money, probity, legality, and appropriate standards, with reference to the Financial Regulations and contract standing orders agreed by the PCC as set out in Part B of the Joint Code of Corporate Governance and Working Together document, which is published on the OPCC’s website.
- The Force is compliant with the CIPFA statement on the Role of the Chief Financial Officer of the Police and Crime Commissioner and the Chief Finance Officer of the Chief Constable (2012), as per the CFO job description and delegations.

## **2.2 Principle B: Ensuring openness and comprehensive stakeholder engagement**

- The Office of the Police and Crime Commissioner (OPCC) is accountable to local people and draws on this mandate to set and shape the strategic objectives for the Force area in consultation with the Chief Constable, taking into account the Strategic Policing Requirement.
- The OPCC has implemented an Independent Community Scrutiny Panel (ICSP). Panel members have been recruited by the OPCC and vetted. The panel has had its first meeting and it will continue to meet quarterly. The purpose of the panel will be to scrutinise and provide challenge to the force from a community perspective and with a particular focus on powers and processes which might threaten community confidence and cohesion.
- The Independent Community Scrutiny Panel (ICSP) meets quarterly and is responsible for selecting for itself those stop searches it wishes to review and will have available to it the accompanying Body Worn Video used by the searching officer to record the encounter.
- The Nottinghamshire Youth Commission enables young people to support, challenge and inform the work of the elected Police and Crime Commissioner for Nottinghamshire and Nottinghamshire Police. It allows young people to get involved and have their say about policing and crime where they live.
- The Youth Commission convene a monthly Youth Independent Advisory Group (YIAG) which provides the Force with advice and recommendations relevant to key priorities set by the force and OPCC on an annual basis. The priority thematic for 2023/24 is trust and confidence in the Police.
- The Force’s Neighbourhood Policing Priority Survey in 2019/20 was Nottinghamshire Police’s biggest public consultation exercise in a decade, giving the public an opportunity to help shape local policing priorities in their area and was branded locally as #NottsMatters. Each Neighbourhood Team has a process whereby they review the Community Survey Data and Priorities through their Local Policing Priority Setting (LPPS) meeting and update these on the Force Website on a quarterly basis.
- Nottinghamshire Police record and store problem-solving plans on the Empowering Communities Inclusion and Neighbourhood Management System (ECINS), on purpose-built Scanning Analysis Response and Assessment (SARA) templates, for all involved parties to contribute individually and record the work they do on a specific problem.

- Sharing good examples of ‘what works’ enables us to focus on tried and tested interventions and approaches to crime prevention and problem solving. Our Inspectors and Sergeants populate a ‘what works’ review document with examples of good practice reviewed by a quarterly What Works Board.
- The HMICFRS PEEL 2020/21 report was received in April 2022. The areas for improvement that have been identified in the report are being managed by the Deputy Chief Constable with actions being implemented through existing force structures. Areas of strength will also continue to be shared and developed further.
- Single Online Home (SOH) is designed to offer the public an easy to use, digital platform where they can communicate effectively with their local police force, including the reporting of crimes. Communities are empowered by convenient access to the information, advice, and services they need. This allows us offer a range of nationally consistent online services to the public, but with our own local identity. Essentially, SOH is a ‘digital front counter’ or digital 101 service.
- The Force has a Strategic Independent Advisory Group, which represents different community groups across Nottinghamshire. They provide a service to the Force in three core areas: critical incidents, building trust and confidence, and advising on strategies, policies, and procedures. The Force has many systems in place for the collection of local survey information that is used to shape the direction of service delivery.
- In accordance with the Freedom of Information (FoI) Act, the force is working towards full compliance in respect of the publication scheme. This will include pro-actively publishing FoI information. This ensures transparency and encourages increased confidence from and accountability to the public and stakeholders.
- Publication scheme monitoring, review and assurance is reported to the Joint Independent Audit Committee (JIAC) on an annual basis to provide a current Force position on the Publication Scheme Requirements. This report, along with all other JIAC progress update reports, is available to view on the OPCC website.
- The force provides regular updates to the OPCC at their public Accountability meetings on the progress made against the force activities. Accountability Board reports are available on the OPCC website.
- The Force contributes to the OPCC’s Annual Report to provide assurance on what has been delivered against the Make Notts Safe Plan. Performance data is presented at the Strategic Performance and Insight meeting and comprehensive updates are presented at the Police and Crime Panel, both on a quarterly basis.
- Consultation and engagement are undertaken with residents and business communities and forms part of key decision-making processes. Formal engagement mechanisms delivered in the community include Victim Satisfaction Surveys, the OPCC’s quarterly crime survey, Neighbourhood Watch Meetings, Neighbourhood priority surveys, Locality Boards, Neighbourhood engagement activity/meetings, Key Individual Networks (KINs) and Independent Advisory Groups (IAG). The OPCC has commissioned bespoke engagement workshops with Black and Minority Ethnic communities to engage with forces and also utilises its Independent Community Scrutiny Panel (ICSP) to relay current issues affecting Black and Minority Ethnic communities. The Business Crime Officer and wider Hub are engaging with retail communities including surveys and engagement with Business Improvement Districts (BIDs) and Business Crime Reduction Partnerships (BCRPs).

## City

- There are strong governance processes in place for the City partnerships. Each of the partnerships under the One Nottingham umbrella, including the Crime Drugs Partnership (CDP), have clear terms of reference including a defined purpose, arrangements for information sharing, community engagement and governance and finance.

- The CDP Plan 2022-25 sets out the overall aims, delivery, and performance framework of the partnership to deliver the ‘Safer Nottingham’ agenda of the ‘Nottingham City Strategic Council Plan 2021-23’. The Partnership Plan has been developed with regards to the priorities of the Police and Crime Commissioner.
- There is a robust governance framework in place to oversee the delivery of the Plan. This is directed by the Partnership Board, which provides strategic governance of the partnership.

### County

- The three statutory OPCC Community Safety Partnerships (CSPs) are responsible for the delivery of local community safety strategies and action plans. The Safer Nottinghamshire Board (SNB) Delivery Groups support the SNB and CSPs to implement the community safety strategies.
- Each of the three CSPs in the County produce performance information monthly. The OPCC oversees reporting on current performance against targets, comparison against most similar force peers and performance of Partnership Plus areas. For consistency, the CSP performance information mirrors that of the Force Operational Performance Review. The SNB Performance Group brings together key CSP stakeholders to discuss performance risks and highlights.
- Section 22A of the Police Act 1996 provides for a collaboration agreement to be made between Police and Crime Commissioners or between commissioners and chief officers from more than one force area. There are a range of established collaborations in place for a number of specialist front line policing operations that provide services across the Midlands region, including Nottinghamshire. These arrangements are reviewed on a regular basis by respective Chief Constables and Police and Crime Commissioners.

### 2.3 Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits

- The ‘Make Notts Safe’ Plan sets out the vision, values, strategic priorities, and outcomes together with a performance framework in line with requirements under the Police Reform and Social Responsibility Act 2011.
- This Plan is informed by the Police and Crime Needs Assessment (PCNA) which is used as a planning and priority setting tool. The document highlights key trends, issues, risks and threats in the crime community safety and criminal justice environment.
- The ‘Make Notts Safe’ Plan, March 2025, includes priority commitments to achieve value for money and keep collaboration opportunities for policing under review, support changes in policy and practice that help to reduce our carbon footprint and enable our buildings, fleet, and workforce to become more energy efficient.
- At a national level, the Force works to the Strategic Policing Requirement (SPR) which is issued by the Home Office to articulate current national threats and the appropriate national policing capabilities required to counter those threats.
- The Force plays an active part in working with the OPCC to refresh the ‘Make Notts Safe’ Plan each year to set out what activities will be undertaken to deliver the PCC’s key strategic priority themes.
- The strategic priorities set out in the ‘Make Notts Safe’ Plan are aligned to the Force’s Annual Departmental Assessment (ADA), business planning process.



- The force has a robust governance framework in relation to performance. The monthly Corporate Performance Review (CPR) meeting (chaired by the Chief Superintendent for Corporate Services) and the Operational Performance Review (OPR) meeting (chaired by the ACC Crime) are forums for thematic leads to discuss key areas of organisational performance, identify any emerging opportunities and risks, and make decisions about future planning. The Force Performance Board, chaired by the DCC, oversees key areas of performance, both organisational and operational, and is a forum in which to identify any emerging strategic opportunities and risks.
- From a national perspective, the Force is cognisant of the CJ National Scorecard, which brings together data from partners across the justice system (police, CPS and the Courts) and the Digital Crime Performance Pack, which provides data on police performance against the National Crime and Policing Measures referenced in the Beating Crime Plan. The ACC Crime chairs a CJ Strategic Board, which in turn reports into a Multi-Agency CJ Group, chaired by the PCC.
- A Performance and Insight Report is provided to the Strategic Resources and Performance meeting every quarter to ensure that the Police and Crime Commissioner is aware of current performance in line with the strategic priority themes, as set out in the 'Make Notts Safe' Plan.
- Collaboration agreements are in place to outline how business will be undertaken jointly to reduce cost, increase capability, and/or increase resilience to protect local people.
- All activity in response to audit and inspectorate recommendations is monitored via 4Action, an action management system. Progress against activity is reported to the Joint Independent Audit Committee (JIAC) on a quarterly basis.
- A Medium-Term Financial Strategy builds on the proposed budget for 2023-24 and incorporates plans to meet changes in available financing with the need to meet current and future commitments.
- Regular Capital and Revenue reports are provided to the Force Executive Board (FEB) and OPCC to provide an update on the Force's budgetary position and to comply with good financial management and Financial Regulations. This is reviewed and updated regularly to remain flexible for future requirements.

#### **2.4 Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes**

- There is a robust planning cycle in place which incorporates partnership, Force and OPCC strategic assessments, public consultation, refresh of the 'Make Notts Safe' Plan, departmental planning via Annual Departmental Assessments (ADAs) and the annual budget process.
- The Medium-Term Financial Strategy is a live document to facilitate the demands and changes that can occur within the police so that we can remain operationally on the front foot. The budgeting and long-term planning process is intrinsically linked to the business planning cycle to create a joined-up approach identifying opportunities and risks that are present, and, on the horizon.
- Nottinghamshire Police have a Digital Strategy, aligned with the National Digital, Data and Technology Strategy 2020-2030 for Policing and built on the foundation of the national blueprint. The Nottinghamshire Police Digital Strategy sets out our ambitions for how technology will support the Force to deliver on the Nottinghamshire Police vision. A number of nationally led programmes and capabilities that support UK Policing, by developing nationally consistent services and capabilities enabled by technology.
- Each Head of Department completes an Annual Departmental Assessment (ADA) as part of the annual planning cycle. The ADA is a planning tool used to assess current structure, processes, and cost, considering the current operating context. Options for change are proposed which are aligned to the Strategic Priority Themes.
- Budget meetings with departmental heads take place to ensure future budgets account for any project savings or spend within the department.

- The business remains responsive to threats and opportunities which present themselves throughout the year as part of the risk management process.
- Where a change proposal is approved, a comprehensive analysis of approved change proposals is progressed in the form of an options appraisal (business case) which is presented to the Tactical Futures Board for decision. The business case will indicate how intended outcomes would be achieved and any risks associated with those options.
- The business change governance framework provides a robust reporting structure, which includes project boards, Tactical Futures Board, Strategic Futures Board and the FEB. The framework ensures that oversight and scrutiny is carried out by the relevant authority in a proportionate manner providing assurance that decisions are open and accountable, and that public money is spent wisely.
- Decision making is recorded as part of minutes, action plans and decision logs. Key decisions from FEB are communicated to the organisation through VLOGs by the DCC. This ensures the Force's decision-making processes are transparent.
- A forward plan for FEB is maintained to outline what information is required for each strategic meeting, the Senior Responsible Officer (SRO) and expected timescales.

## **2.5 Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it**

- The Head of People Services chairs a Strategic Workforce Planning and Training Priorities meeting. The purpose is to provide strategic overview and direction regarding workforce planning, including establishment levels, workforce mix, skills and capabilities.
- Our talent management programme, 'Career Conversation' has been embedded, which replaces the PDR process. Conversations clearly capture talent across the force via a career matrix grading system. This is reviewed at a governance meeting chaired by the ACC to ensure consistency across the organisation. Leadership and development training initiatives will become targeted around talent matching.
- Career Conversations form part of the application process for police promotion boards effective on all processes in 2022 and 2023.
- The Force has embedded the Competency Value Framework (CVF) which aims to support all policing professionals, setting out nationally recognised behaviours and values. The six competencies and four values of the CVF are embedded into the Force's leadership development programme, recruitment processes and internal assessment procedures.
- The Force recognise and promotes the benefits of collaborative working and continues to work in a number of regional collaborations as well as collaborations with Nottinghamshire Fire and Rescue Service.
- There are 3 staff posts in place to improve continual professional development programs for Sergeants, Inspectors, Senior Investigating Officers (SIOs) and Detectives. This role has introduced more professional and efficient systems to accredit Detectives (PIP2 and investigations managers/supervisors) as well as providing CPD events for Sergeants, Inspectors, SIOs and Detectives.

**Area for improvement: The Force should improve its understanding of resource and workforce capability.**

## 2.6 Principle F: Managing risks and performance through robust internal control and strong public financial management

- A Performance and Insight Report is regularly presented to the Strategic Resources and Performance Meeting to ensure that the Police and Crime Commissioner is aware of current performance in line with the Police and Crime priorities. This report is made available on the OPCC website.
- The Annual Statement of Accounts is published on the OPCC website and includes accounting policies and the report of the auditors. The force is currently experiencing delays in the production of its draft accounts for 2021-2022 and for the audit of its 2020-2021 and 2021-2022 accounts.
- A forward plan of 'Decisions of Significant Public Interest' is provided to the Accountability Board on a monthly basis in the interests of accountability and transparency, this is made available on the OPCC website.
- The Force and OPCC have a joint policy for the management of risk, in line with the Cabinet Office approved Management of Risk (MoR) approach.
- An update on risk management has been provided to FEB monthly to inform them of the level of Strategic Risks and to provide assurance as to the effectiveness of risk management arrangement as well as providing an oversight of key themes emerging at departmental level.
- The quarterly Organisational Risk, Learning, Standards, and Integrity Board provides an organisation wide forum for thematic leads and heads of department to discuss key areas of learning and identify any emerging strategic opportunities and risks. Business Continuity is also managed within this forum.
- In compliance with CIPFA guidance, the NOPCC and the Force have appointed a Head of Internal Audit. This role is contracted out to Mazars, who are responsible for the organisation's internal audit service, on behalf of the CFO, including drawing up the internal audit strategy and annual plan and giving the internal annual audit opinion.
- The Force's Operational Performance Review Meeting (OPR) provides an organisation-wide forum for thematic leads to discuss key areas of operational performance, identify any emerging opportunities and risks, and make decisions about future planning and activity.
- A dedicated Business Change department sits under the Corporate Services structure to manage Force Projects. The formal governance process is now fully embedded in Force which comprises of Enablers meeting chaired at Chief Insp level, Tactical Futures Board is chaired at Chief Supt level, and Strategic Futures Board chaired by the DCC. All projects have a full and complete auditable trail consisting of Activity requests, Business Cases, Project End Reports and where required Post Implementation Reviews. This ensures that Nottinghamshire Police has a full understanding of time, cost, resource implications and priority of work linked to strategic objectives.
- An internal review of the Force's approach to strategic risk management was undertaken in 2022 and a new governance process was introduced outlining a defined method for escalating risks to a strategic level. Risks are now discussed at all Senior Management Team meetings and escalated to the Risk Working Group (RWG) if they are unable to be managed. In the RWG, these emerging risks are discussed and agreed if they need to be escalated to the Strategic Risk Board, chaired by the DCC. Once a risk is added to the Strategic Risk Register it is then reviewed by FEB on a quarterly basis. This Risk Register also receives independent scrutiny at the Joint Independent Audit Committee (JIAC).
- Following the Force's exit from the Multi Force Shared Service (MFSS) arrangement, contracts were awarded in March 2021 to ABSS for the finance solution and Midland HR for payroll, human resources, and learning & development. A stage 2 plan from April 2022 to September 2022 for the Regain project took place, overseen by the DCC. Mazars conducted an internal audit of Project Regain for Q1 and Q2 in 2021. The findings of the audit were that there were well established governance arrangements in place along with good controls for the sign-off of key milestones within the programme.

- The Financial Performance and Insight Report, including revenue and capital budget monitoring are reported to the FEB monthly. This is also presented at the Strategic Resources and Performance quarterly meeting. An internal audit on Core Financial System Assurance found the Force to have limited assurance in relation to Income and Debtors, recommendations by the auditors were accepted and an improvement plan agreed.
- In accordance with the Financial Management Code of Practice for the police service, issued by the Home Office, the PCC and the Chief Constable established a Joint Audit and Scrutiny Panel (the Panel) in 2013. The role of the Panel is to advise the PCC and Chief Constable 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. In 2022 this panel was renamed, the Joint Independent Audit Committee (JIAC).
- The Panel complies with best practice as outlined in Audit Committees: Practical Guidance for Local Authorities and the Police (CIPFA, 2013).
- The Panel also assists the OPCC and the Chief Constable in fulfilling their responsibility for ensuring value for money and they oversee an annual programme of scrutiny of key areas of policing activity on behalf of the OPCC.
- A Strategic Risk Report is provided to the Joint Independent Audit Committee (JIAC) bi-annually to keep the Board informed as to the level of strategic risk within the Force and OPCC and provide assurance as to the effectiveness of risk management arrangements.
- Joint Independent Audit Committee (JIAC) receives an annual report on business continuity, which includes progress made against the business continuity testing timetable and a proposed schedule of forthcoming testing.
- Internal Audit, Review and Inspection Monitoring and assurance and improvement outcomes are presented to the Joint Independent Audit Committee quarterly.
- The Annual Audit letter where available is reported to the Joint Independent Audit Committee (JIAC) on an annual basis.
- The Force's Financial Regulations are designed to establish overarching financial responsibilities, to confer duties, rights and powers upon the PCC, the Chief Constable, and their statutory officers and to provide clarity about the financial accountabilities of groups or individuals. They apply to every member and officer of the service and anyone acting on their behalf.
- The Treasury Management Strategy and annual report are reported annually to the Joint Independent Audit Committee (JIAC).
- Regular reporting is made to Joint Independent Audit Committee (JIAC) on legislative compliance with the Freedom of Information Act and Data Protection Act legislation.

**Area for Improvement: Implementation of the Internal Audit Recommendations in respect of the Core Financial Systems.**

## 2.7 Principle G: Implementing good practices in transparency, reporting, and audit to deliver effective accountability

- Both the PCC and the Chief Constable have appointed Chief Financial Officers. The responsibilities of the CFOs for both the PCC and the Chief Constable are clearly set out in line with the Financial Management Code of Practice (Home Office, 2013).
- The Joint Independent Audit Committee (JIAC) operates within the CIPFA guidance and in accordance with the Financial Management Code of Practice.
- Progress reports against the Internal Audit Plan are submitted on a timely basis to the Joint Independent Audit Committee (JIAC) along with the findings from audits completed to date.
- The Force has a robust process to capture HMICFRS recommendations and track through their lifecycle to formulate the Audit and Inspection Report. This is prepared and presented to the Joint Independent Audit Committee (JIAC) on a quarterly basis. This process includes reporting on Super Complaints, which is determined by HMICFRS and the National Police Chiefs Council (NPCC).
- Existing collaborations have an established supporting governance structure and formal Collaboration Agreements as per Section 22A of the Police Act 1996.
- The OPCC has introduced Accountability meetings, with the purpose of providing the public, and other external stakeholders, with confidence that the PCC is effectively supporting, challenging and holding the Chief Constable to account for delivering efficient and effective and policing services. It also monitors progress in delivering the objective of the Commissioners Make Notts Safe Plan and setting the strategic direction of local policing services.
- A programme of internal audit is commissioned and undertaken which reflects published guidance and standards. This is presented to JIAC at the start of the financial year and progress is monitored throughout the year. Papers are available to view on the OPCC website.
- The Police and Crime Panel scrutinise the actions and decisions of the Police and Crime Commissioner and makes sure information is available for the public.
- Police officers, police staff operate within force policies and procedures; the corporate governance framework; disciplinary regulations; codes of conduct and the Code of Ethics. Assurance is provided via the Force and OPCC governance framework.
- The Annual Governance Statement assesses the extent to which the organisation is applying the principles contained within the CIPFA framework. This is published for public scrutiny alongside the Statement of Accounts.
- A policy and procedure framework are required to ensure that corporate documentation is reviewed on a timely basis.
- The Force provides reports in accordance with the Make Notts Safe Plan work programme including specific focus on the Commissioner's priority's documented.

## 2.8 Update on the recommendations from the Inspection Visit to Police Custody Suites

- HMICFRS conducted an unannounced custody inspection re-visit in September 2019 and found that the Force had made significant progress in relation to the above recommendations. They have confirmed they will undertake a further inspection when the new custody suite is embedded.
- A further internal audit was conducted by Mazars in July 2022 and the force received Limited Assurance. Recommendations were given in relation to the Annual Fire Drill, Adherence to Policies and Guidance, Detainee Complaints, Forensic Testing Surface, Detainees' Privacy and Individual Detainee Needs.
- The Custody Board was established in 2022, led by the Local Policing ACC. This board discusses and addresses KPI's, Health and Safety and any outstanding recommendations from HMICFRS and internal audits.

## 2.9 Update on the recommendations from the Crime Data Integrity Inspection 2018

- The Force continues to address the recommendations outlined in the 2018 HMICFRS inspection. It was re-inspected in 2021 under the new Integrated PEEL approach, which incorporated Crime Data Integrity together with Crime Investigations. Further areas for improvement, regarding crime data integrity, were included in the 2021/22 PEEL Inspection report. Progression of the work for each of the AFIs is being overseen by the DCC.

## 3.0 Chief Finance Officer

- As a key member of the leadership team, the Chief Financial Officer (CFO) helps to develop and implement strategy, resource, and deliver the PCC's strategic objectives sustainably and in the public interest.
- On 22<sup>nd</sup> December 2021 the Force's Chief Finance Officer also undertook the role of Interim Chief Finance Officer. There is a joint protocol in place to manage any conflicts relating to this joint role and the link to the Force and OPCC. On 31<sup>st</sup> July 2022 the joint Interim Chief Finance Officer role ceased.
- The CFO is actively involved and able to bring influence to bear, on all business decisions to ensure immediate and longer-term implications, opportunities and risks are fully considered and aligned with the financial strategy.
- The CFO leads and encourages the promotion and delivery of good financial management so that public money is always safeguarded and is used appropriately, economically, efficiently, and effectively.

- The CFO and Chief Constable agree the Force's risk based Internal Annual Audit Plan for delivery each year and this is presented to the Joint Independent Audit Committee for comment. Delivery of the plan is via external engagement of an appropriately trained and experienced organisation, currently this is provided by Mazar's. Award of the work was via a competitive tendering exercise.
- In respect of external audit, progress reports are provided to the Panel by Ernst Young to provide a summary of the work they plan to undertake for the audit year, together with a high-level assessment of the risks that have been considered as part of the initial planning process.
- The CFO is required to maintain continuous professional development to ensure they maintain knowledge, skills, and experience to enable them to fulfil the duties and statutory obligations of the post.

#### **4.0 Review of Effectiveness/Internal Audit Opinion**

- Nottinghamshire Police has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework. The review of effectiveness is informed by the work of the Chief Officer Team, the Heads of Departments and other senior managers within the Force who have responsibility for the development and maintenance of the systems of internal control. It is also informed by the reports of the Force's internal auditors and external inspectorates, such as HMICFRS.
- Where weaknesses in internal controls have been identified, improvement actions have been established, which will be addressed during the forthcoming financial year. Outcomes will be monitored by the FEB and the JIAC, on a quarterly basis.
- From the Internal Audit work undertaken in compliance with the Public Sector Internal Audit Standards (PSIAS) for the year ending 31<sup>st</sup> March 2022, our overall opinion is that generally effective processes are in place for MINT, Medium Term Financial Planning and Business Continuity. We have, however, identified weaknesses in respect of Custody, Cyber Security, Core Financials and Environmental Management that require addressing.
- Due to delays in completing the audits for 2020-21 a draft ISA 260 has not yet been issued, although the VFM opinion is still expected to have an exception in respect of financial reporting due to the delays in preparing the Statement of Accounts.

#### **5.0 Improvement actions**

The review process to support the production of the Annual Governance Statement identified several improvement actions, which are summarised below. These have been agreed with the respective Divisional and Departmental Heads to address weaknesses identified in the Force's systems of internal control. These issues are significant in that they cover a large proportion of the organisation's activities and/ or are key risk controls and therefore require a corporate solution rather than an individual approach. These are monitored by the Corporate Development Department and reported to the Chief Officer Team to ensure there is senior management oversight of the progress against each of these.



## Areas for improvement 2022-23

URN	Identified improvement action(s):	Update	Lead Officer
1.0	Undertake a review to address the effectiveness of vetting and counter corruption arrangements in Nottinghamshire police	Areas for Improvement continue to be addressed. Comprehensive updates are provided regularly to the NPCC and HMICFRS.	D/Supt Hayley Williams
2.0	Undertake a review to address the concerns and recommendations from the inspection of the east midlands regional response to serious and organised crime	Areas for Improvement continue to be addressed.	D/Supt Richard Bull



## Internal Audit Annual Assurance 2022-23 Report - Areas of Limited Assurance and No Assurance

Limited Assurance		Date	Lead Officer
1	Environmental Management	February 2023	Deputy Chief Constable
2	Cyber Security	March 2023	Chief Superintendent Donna Lawton
3	Custody	March 2023	Chief Inspector Emma Spencer
4	Core Financials	March 2023	Danny Baker, Head of Finance

Nottinghamshire Police was inspected by HMICFRS during 2022/23 in the following areas:

Inspection Area	Type of Inspection	Outcome
An Inspection of Armed Policing	Thematic Inspection  <b>Awaiting Report</b>	Awaiting Report
An Inspection into how well the Police and other Agencies use Digital forensics in their Investigations	Thematic Inspection  <b>Recommendations</b>  By December 2023, each force in England and Wales should develop a governance and oversight framework to better understand the local demand for digital forensic services.  By September 2023, the National Police Chief’s Council and all forces within England and Wales need to include the management of digital forensic kiosks in their governance and oversight frameworks.  By November 2024, Chief Constables should integrate digital forensic services under their existing forensic science structure.	Recommendations currently being addressed

Nottinghamshire Police was inspected by HMICFRS during 2022/23 in the following areas:

Inspection Area	Type of Inspection	Outcome
<p>Twenty years on, is MAPPA achieving its objectives? A Joint Thematic Inspection of Multi-Agency Public Protection Arrangements</p>	<p>Thematic Inspection</p> <p><b>Recommendations</b></p> <p>Police Forces should ensure:-</p> <p>All MAPPA nominals managed at Levels 2 and 3 are allocated to a suitably trained police offender manager.</p> <p>Workloads for staff managing sexual offenders are reviewed against national expectations and, where found to be excessive, take steps for mitigation and communicate this to affected staff.</p>	<p>All actions have been addressed and evidence submitted to HMICFRS. Force is awaiting formal sign off by HMICFRS.</p>
<p>An Inspection of How Well the Police Tackle Serious Youth Violence</p>	<p>Eighteen forces (including Nottinghamshire) Inspected</p> <p><b>Recommendations</b></p> <p>By 31<sup>st</sup> March 2024, Chief Constables should make sure their Officers are Trained in the use of Home Office Crime Outcome 22.</p> <p>By 31<sup>st</sup> March 2024, Chief Constables should make sure their forces, through data collection and analysis, understand the levels of racial disproportionality in serious youth violence in their force areas.</p>	<p>Recommendations currently being addressed.</p>

Nottinghamshire Police was inspected by HMICFRS during 2022/23 in the following areas:

Inspection Area	Type of Inspection	Outcome
<p>The Police Response to Burglary, Robbery and other Acquisitive Crime</p>	<p>Thematic Inspection</p> <p><b>Recommendations</b></p> <p>By March 2023, forces should make sure their crime scene management practices adhere to the authorised professional practice on managing investigations for SAC or provide a rationale for deviating from it. They should also include:</p> <p>Giving victims timely and appropriate advice during their initial call; and</p> <p>Applying a risk assessment process such as THRIVE, clearly recording it, and flagging those re-victimised for further support.</p> <p>By March 2023, all forces should ensure SAC investigations are subject to effective supervision and direction. This should focus on:</p> <ul style="list-style-type: none"> <li>• making sure supervisors have the capability and capacity to meaningfully supervise investigations;</li> <li>• making sure investigations meet the necessary standard and achieve suitable outcomes that consider the voice or opinion of victims;</li> <li>• applying investigative outcome codes appropriately; and</li> <li>• complying with the Victims' Code and recording evidence of compliance.</li> </ul>	<p>All actions have been addressed and evidence submitted to HMICFRS. Force is awaiting formal sign off by HMICFRS.</p>

Nottinghamshire Police was inspected by HMICFRS during 2022/23 in the following areas:

Inspection Area	Type of Inspection	Outcome
An Inspection of Vetting, Misconduct, and Misogyny in the Police Service	Thematic Inspection  <b>Recommendations</b>  Forty Three recommendations made in relation to Vetting, Misconduct and Misogyny.	All actions have been addressed and evidence submitted to both NPCC and HMICFRS. This is monitored on a monthly basis.

## Chief Constable and Chief Finance Officer Declaration

We propose over the coming year to take steps to address the improvement actions identified above to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvement that were identified in our review of effectiveness and will monitor their implementation as part of our next annual review.

Signed:

Signed:

Kate Meynell  
Chief Constable

Mark Kimberley  
Chief Financial Officer