



JOINT AUDIT AND SCRUTINY PANEL

TUESDAY 25 MAY 2021 at 10.00 AM
Virtual Meeting by Microsoft Teams

(separate virtual pre-meeting for Panel Members at 9:30 am)

Membership

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

A G E N D A

1. Appointment of Chair
2. Welcome and Introductions
3. Apologies for absence
4. Declarations of interest by Panel Members and Officers (see notes below)
5. To agree the minutes of the meeting held on 24 February 2021
6. Progress against Action Tracker
7. External Audit of the Accounts 2019-2020 (ISA 260)
8. Final Statement of Accounts and Annual Governance Statements 2019-2020
9. Internal Audit Annual Assurance Report

10. Draft Annual Governance Statements for 2020-2021
11. Treasury Management Year End Report
12. Strategic Risk Management Report – Force and OPCC
13. Audit and Inspection Update
14. Performance Update report to March 2021
15. Quarter 4 2020-2021 Capital Outturn
16. Quarter 4 2020-2021 Revenue Outturn
17. Complaints and Reviews Assurance Report
18. Complaint and Misconduct Investigations
19. IOPC Investigations, Recommendations and Actions
20. Professional Standards Confidential Reporting Procedure (Whistle Blowing)
21. Business Continuity Management
22. Custody Record Review Quarterly Update
23. Work Programme
24. Summary of Actions (verbal)

**MINUTES OF THE MEETING OF THE NOTTINGHAMSHIRE POLICE AND
CRIME COMMISSIONER JOINT AUDIT AND SCRUTINY PANEL HELD ON
WEDNESDAY 24TH FEBRUARY 2021 COMMENCING AT 10.00 AM VIA MS
TEAMS**

MEMBERSHIP

(A – denotes absent)

Mr Stephen Charnock (Chair)

Mr Leslie Ayoola

Dr Phil Hodgson

Mr Peter McKay

Alan Franks

ALSO PRESENT

Rachel Barber	Deputy Chief Constable, Nottinghamshire Police
Emma Foody	Deputy Police and Crime Commissioner
Helen Henshaw	EY
Gary Morris	EY
Mark Lunn	Mazars
Mark Kimberley	Head of Finance, Nottinghamshire Police
Noel McMenamin	Democratic Services, Nottinghamshire County Council
Charlie Radford	Chief Finance Officer, NOPCC
Ian Roberts	Chief Superintendent, Nottinghamshire Police
Paddy Tipping	Nottinghamshire Police and Crime Commissioner ()

1) APOLOGIES FOR ABSENCE

Neil Harris, EY, Kevin Dennis, OPCC, Chief Constable Craig Guildford.

2) DECLARATIONS OF INTEREST BY MEMBERS AND OFFICERS

Dr Phil Hodgson declared an interest in item 13 'Audit and Inspection Update' as he was the Head of Law and Social Services, University of Derby who had the contract for apprenticeship training.

3) MINUTES OF THE MEETING HELD ON 27 NOVEMBER 2020

The minutes of the last meeting held on 27 November 2020, having been circulated to all members, were taken as read and were confirmed and signed by the Chair.

4) **PROGRESS AGAINST ACTION TRACKER**

Action 035: Consideration of MFSS transfer back in-house – this was deferred to the May 2021 meeting at the Force's request in order to provide a more comprehensive update to the Panel.

The remaining outstanding actions had been factored into the Panel's Work Programme.

5) **EXTERNAL AUDIT OF THE ACCOUNTS 2019-2020 (ISA 260) – VERBAL UPDATE**

The Chief Finance Officer advised the panel that the audit of the accounts for 2019-2020 had not yet been completed and so were not yet available for consideration and approval. A verbal request was made to delegate approval to the Chair and Chief Finance Officer, and for outcomes to be reported back to a further meeting of the panel.

Several Panel members did not support this approach, and instead requested that an additional MS Teams meeting should be convened if necessary when both the External Audit of the Accounts and the Final Statement of Accounts and Annual Governance Statements for 2019-2020 were finalised for approval.

RESOLVED 2021/001

To agree to convene an additional MS Teams meeting, if required, to consider and sign-off both the External Audit of the Accounts and Final Statement of Accounts and Annual Governance Statements for 2019-2020, when available.

6) **FINAL STATEMENT OF ACCOUNTS AND ANNUAL GOVERNANCE STATEMENTS FOR 2019-2020**

It was agreed at Resolution 2021/001 above to consider this item, when available, at an additional meeting of the panel if this was required.

7) **ANNUAL AUDIT LETTER – EXTERNAL AUDIT**

The panel considered the report of the Chief Finance Officer, which provided members with the Annual Audit Letter relating to the accounts for 2018-2019.

It was explained that the letter had no additional information in respect of output, but did contain additional narrative in respect of the scale fee.

During discussion, the Panel expressed concern about in-house capacity issues highlighted in the letter, which had been addressed by hiring a consultant. In response, it was explained that a good permanent appointment had since been made to the role, though it was acknowledged that additional training would still be required. Governance and guidance had also been improved, mitigating the risk in future.

In response to a Panel member's question, it was confirmed that around 200 local authority organisations still had sign-off for their external audits for 2019-2020 outstanding. In respect of neighbouring Forces, Nottinghamshire's status was ahead of Lincolnshire, but behind that of Leicestershire.

RESOLVED 2021/002

To accept the Annual Audit Letter for 2018-2019.

At this point, the panel agreed to take Item 9: Internal Audit Progress Report

9) INTERNAL AUDIT PROGRESS REPORT

The Panel considered a report of the Chief Finance Officer, providing an update on progress against the Internal Audit Annual Plan for 2020-2021, and the findings of audits completed to date.

Mark Lunn of Mazars LLP advised that 3 final reports had been issued in relation to Workforce Planning, GDPR follow-up and Information Assurance follow-up. Mr Lunn also advised that the Business Change audit included within the 2020-2021 was to be carried forward into 2021-2022, given the number of changes that had taken place in this area.

Several issues were raised and points made during discussion:

- On workforce planning, it was explained that there were more flexible personalised career paths in place than was previously the case, where officers served for a specific period and then retired. Increased flexibility made workforce planning more complex, as officers could stay on beyond 30 years' service, but could also leave the Force at relatively short notice;
- It was acknowledged that the Force had to deal with the impact of a national shortage of detectives, but this had not as yet impacted performance. The recruitment of detectives to Regional Organised Crime Units had placed additional pressures on Forces in respect of retaining capacity;
- On the plus side, Nottinghamshire Police had a good reputation nationally as an employer, and had regularly attracted highly trained and skilled transferees from other Forces;
- On information assurance, it was acknowledged that fundamental issues remained on accreditation of information. The view was expressed that the Force was not an outlier nationally, and was in the best place it could be at the moment, with regular checks and mitigation in place.

RESOLVED: 2021/003

That the report be noted, and that it be further noted that the Panel had assurance from the internal audit work undertaken.

8) **INTERNAL AUDIT ANNUAL PLAN 2021-2022**

The Panel considered the report of the Chief Finance Officer, requesting approval of the Internal Audit Plan for 2021-2022.

The following points were raised during discussion:

- There was consensus that the Annual Plan was flexible and provided a good balance between statutory and focussed work;
- It was suggested, and the Chair agreed, that he be involved in future discussions on developing Internal Audit planning;
- The Chair reported that he had attended a Regional Chairs' meeting where focus appeared to be primarily on Value for Money. The view was expressed that at regional level, Value for Money considerations tended to refer back to the original business case, which in some instances were no longer fit for purpose.

RESOLVED: 2021/004

That the Internal Audit Annual Plan for 2121-2022 be approved.

At this point, the panel agreed to take Agenda Item 13 "Audit and Inspection Update'.

13) **AUDIT AND INSPECTION UPDATE**

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

The Panel considered the report, which provided an update on progress against recommendations arising from audits and inspections conducted in the quarter to end December 2020, as well as highlighting upcoming audits.

The Panel also received a presentation from Chief Superintendent Ian Roberts, highlighting Change Programme outcomes, and incorporating a summary of completed and future Annual Departmental Assessment proposals. The presentation is attached at Appendix A to these minutes.

During discussion, several issues were raised and points made:

- The view was expressed that the revised process was much more streamlined and focussed, and that relatively straightforward advancements, such as CRASH software for on-scene collision reporting and Teregance technology to assist missing persons investigations, had saved many hundreds of Police hours;

- Moving to Cloud based storage posed significant challenges but was vital to deliver in order to prevent future costs spiralling;
- It was confirmed that the return of fleet and vehicle services in-house, incorporating purchase, supply and management of vehicles, had happened, but was showing as an open project as TUPE arrangements were still in process;
- It was also confirmed that there had not been any liaison with the Ministry of Defence on how it had addressed similar issues;
- The Panel requested a copy of the Programme Board Schematic to show how Themes and Force Priority Programmes correlated.

The Panel raised no additional issues in respect of the report.

RESOLVED: 2021/005

That:

- 1) the status of audits and inspections carried out in the period to end December 2020 be noted;
- 2) the Panel receive a copy of the Programme Board Schematic to show how Themes and Force Priority Programmes correlated.

10) POLICE AND CRIME COMMISSIONER'S UPDATE REPORT TO DECEMBER 2020

The Panel considered the report, which provided an update on delivering the Police and Crime Plan 2018-2021, as well as an update on performance in Quarter 3 to end December 2020, financial outturns and key decisions taken.

During discussion, the following points were highlighted:

- Overall recorded crime figures had reduced by 16%, with steep decreases in burglary, vehicle crime and other theft offences;
- A dedicated Missing Persons Team and increased use of assistive technology had helped reduce reports of missing persons by 19%, while recorded domestic violence fell by 3%, despite increased domestic pressures arising from Covid restrictions;
- Operation Reacher continued to perform really well, with the benefits of early intervention reducing costs elsewhere within police and crime budgets;
- Levels of anti-social behaviour had spiked by 43%. This was mainly attributable to Police enforcement of Coronavirus restrictions under

Operation Bion, but also reflected increased domestic noise nuisance during the pandemic;

- It was confirmed that the new HQ capital project was on track and on budget, and that a good offer had been made for the Bridewell site;
- The Panel noted that around 18% of civil recoveries arising from the Proceeds of Crime Act were retained, and asked for a briefing note on how this funding was used.

RESOLVED: 2021/006

- 1) that the Panel had scrutinised and received assurance in respect of the performance and delivery against the Police and Crime Plan and of the Police and Crime Commissioner in fulfilling his core statutory duties
- 2) that further information be provided to the Panel on the usage of retained recovered assets under the Proceeds of Crime Act.

11) PRECEPT AND BUDGET REPORTS 2021-2022

The Panel considered and noted the contents of the report and appendices, which had previously been considered by the Police and Crime Panel when agreeing to the precept increase for 2021-2022.

RESOLVED: 2021/007

To note the report and appendices.

12) ASSURANCE MAPPING 2021-2022

The Panel considered the report, which provided a dashboard view of assurance levels against each business area of the Force, assessing individual areas against CIPFA Solace governance criteria.

The Panel welcomed both the strong performance indicated in the report and the user-friendly layout of the information provided.

RESOLVED: 2021/008

That the Panel was agreed that Finance, Workforce Planning, Information Services, Performance Management, Project Management, Business Continuity, Health and Safety, Archives and Exhibits, Firearms Licensing, Procurement and Cyber Security be included in the Internal Audit Plan 2021-2022, as outlined at Appendix 1 to the report.

14) NOTTINGHAMSHIRE POLICE INFORMATION MANAGEMENT – FREEDOM OF INFORMATION AND DATA PROTECTION INFORMATION REQUESTS FOR 2020

The Panel considered a report, providing information on legislative compliance for Information Requests under the Freedom of Information Act and Data Protection Act legislation for the calendar year January to December 2020.

During discussion, the following issues were raised and points made:

- There had been an increase in information requests over the lockdown period, which had in turn impacted on working through existing requests;
- There were a lot of repeat requests received from a relatively small cohort, and increasing resource would not by itself resolve the issue. It was also noted that the Force received relatively few complaints about delays in providing information.

RESOLVED: 2021/009

That the report be noted.

15) FORCE REPORT ON MONITORING REVIEW AND ASSURANCE OF THE PUBLICATION SCHEME END CALENDAR YEAR 2020

The Panel considered the report, which highlighted how the Force addressed the requirements of the Freedom of Information Act in respect of having a Publication Scheme.

During discussion, it was explained that while the Pay Grading Structure was not currently published, there was an ambition to have this available in due course. The Panel also asked that information on website uptake/usage from previous years be included in future reports in order better to understand usage trends.

RESOLVED 2021/010

- 1) to note the report;
- 2) to request that future reports included information on website usage from previous years in order to understand usage over time.

16) OPCC PUBLICATION SCHEME MONITORING, REVIEW AND ASSURANCE

The Panel considered the report, which provided assurance that the Office of the Police and Crime Commissioner was working in compliance with the Freedom of Information Act and associated legislation.

The Panel noted the report without substantive comment.

RESOLVED 2021/011

To note the report.

17) CUSTODY RECORD REVIEW QUARTERLY REPORT

The Panel considered the report, providing details in respect of 47 custody record reviews conducted during the third quarter of 2020-2021 to end December 2020.

The following points were made during discussion:

- Numbers in custody had dropped sharply during the first lockdown but had returned to near pre-Covid levels;
- While the Panel was happy with the current style of reporting, it was requested that future reports included a breakdown of custody records by ethnicity and duration.

RESOLVED: 2021/012

That:

- 1) the report be noted;
- 2) the Panel continued to support the continuation of reviews and the publication of their results;
- 3) subject to including data on ethnicity and duration in future reports, the Panel was content with the report style.

18) JOINT AUDIT AND SCRUTINY WORK PLAN 2020-2021

The Panel was advised that the Work programme in 2021 remained subject to further change, depending on progress in respect of completing audits and achieving sign-off of accounts. However, a meeting in June 2021 would no longer be required.

RESOLVED: 2021/013

that the Work Plan for 2020-2021 be noted and approved.

19) SUMMARY OF ACTIONS

RESOLVED 2021/014

To agree that the following actions be added to the action tracker:

Arising from Internal Audit Plan discussion – Chair to be involved in discussions on developing Internal Audit planning.

Arising from Change Programme Outcomes presentation – Request for Programme Board Schematic to show how Themes and Programmes correlate.

Arising from PCC Update – Briefing note for panel members on the usage of POCA receipts.

Arising from Force Publication Scheme – Update on format of future reports on use of website, to include data from previous years to compare usage trends

Arising from Custody Update – see details on ethnicity and young people.

Arising from Internal Audit Report -**Victims Code of Practice** - Update check on progress against recommendations.

The meeting concluded at 12 noon.



Change Programme Outcomes Summary of completed and future ADA proposals

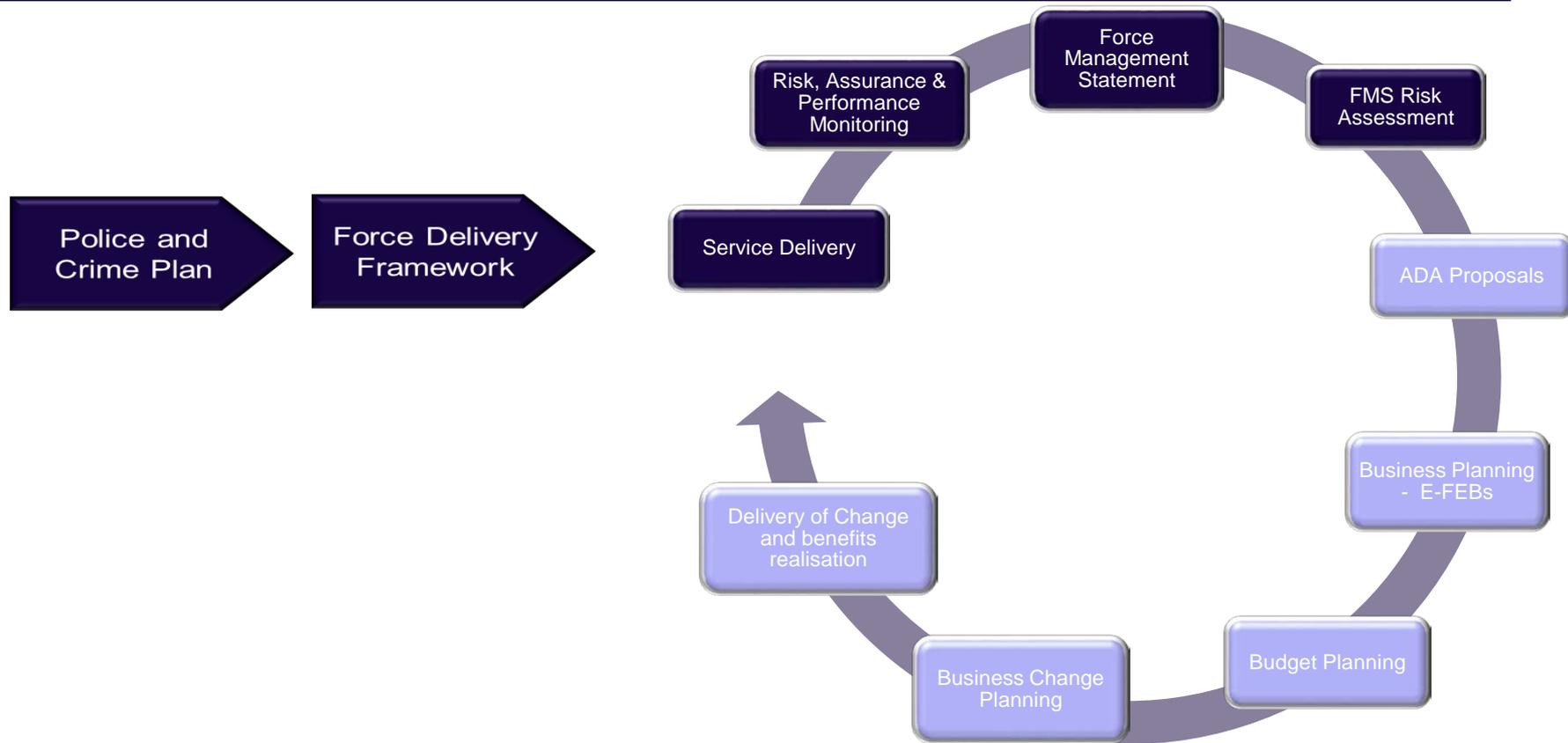
Joint Audit & Scrutiny Panel

February 2021



NOTTINGHAMSHIRE
POLICE
PROUD TO SERVE

Business Planning Cycle



NOTTINGHAMSHIRE
POLICE
PROUD TO SERVE

Corporate Development PMO

Force Priority Programmes

National Enabling Programmes (NEP)	Digital Improvements Including Digital Evidence Management System (DEMS)
Programme Regain (MFSS Service transition)	Public Contact Including Single Online Home and Livechat

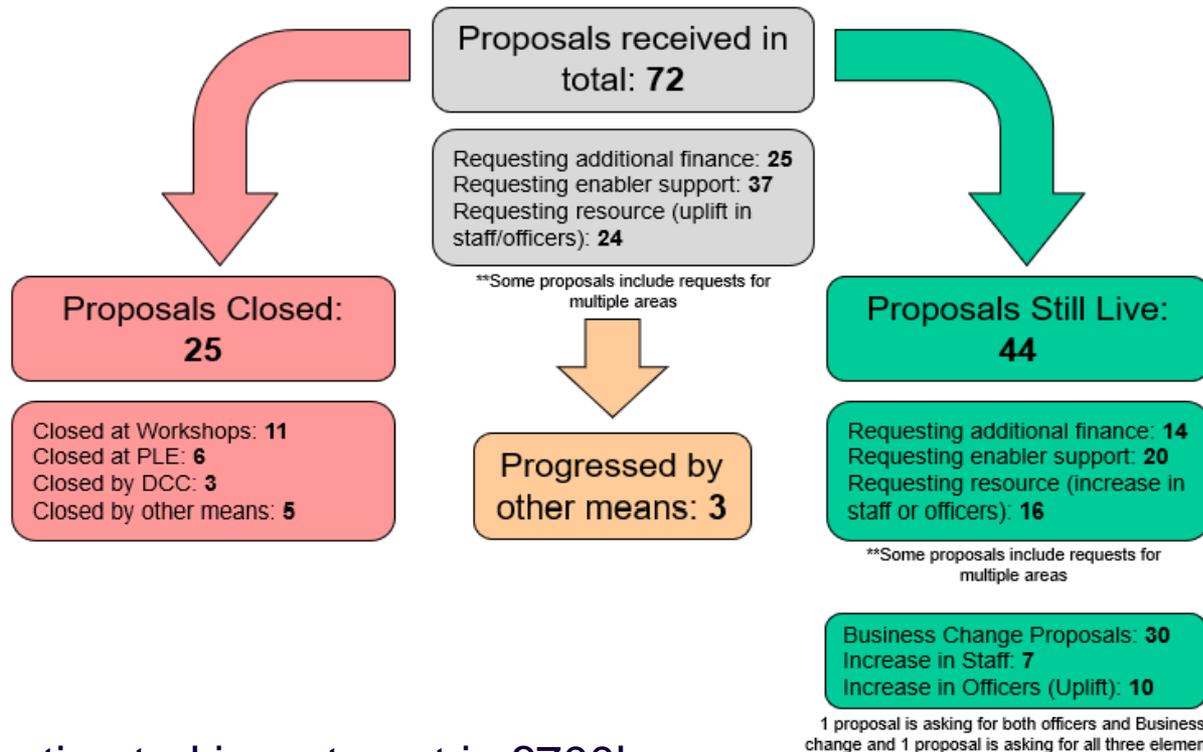
(Some are multi year projects that currently and will continue to demand significant enabler and financial support)



NOTTINGHAMSHIRE
POLICE
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Corporate Development PMO

Proposals for the forthcoming Financial Year (2021-2022)



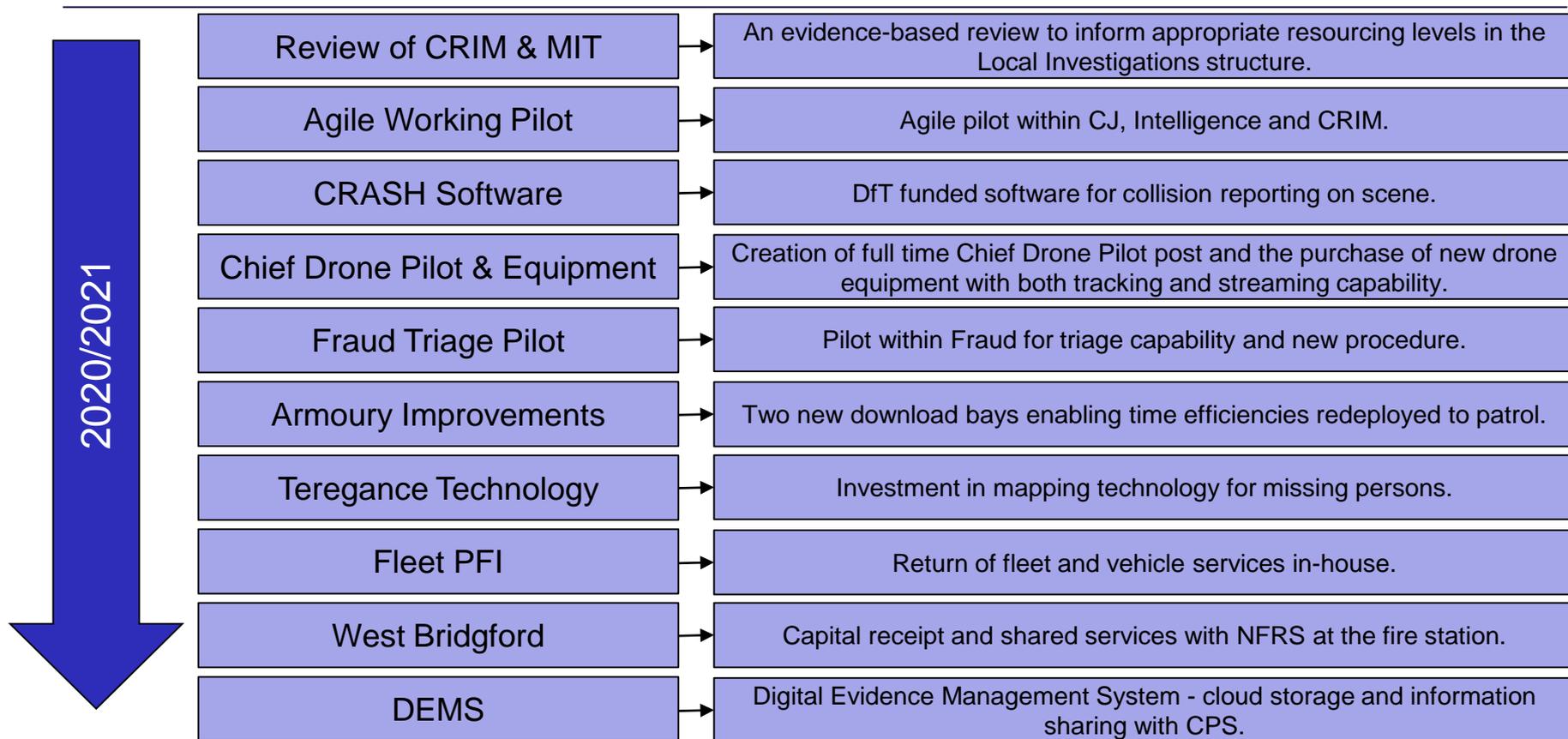
The total estimated investment is £700k



NOTTINGHAMSHIRE
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Corporate Development PMO

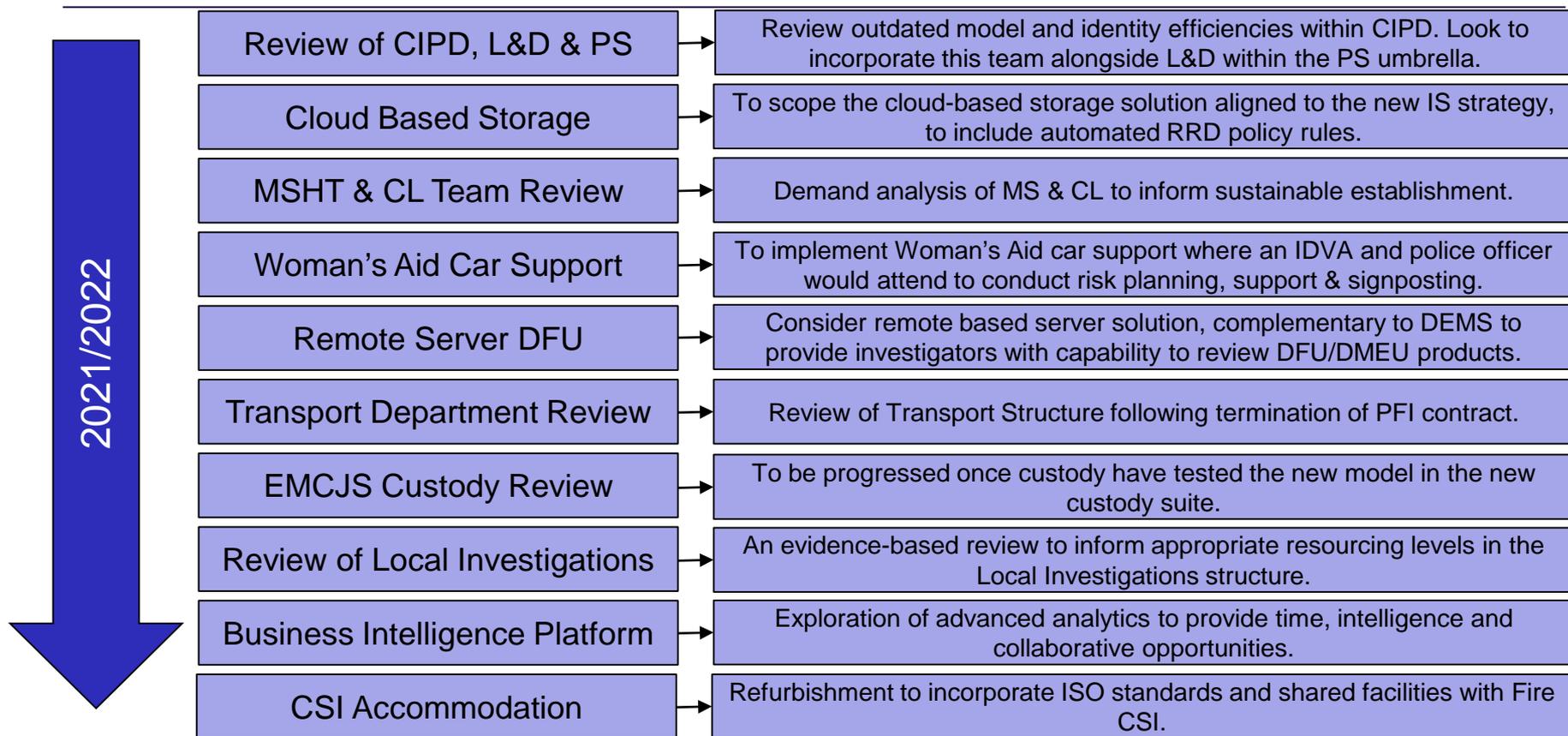
Completed and in-flight projects (2020/2021)



NOTTINGHAMSHIRE
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Corporate Development PMO

In-flight and scheduled projects (2021/2022)



Governance and Benefits Realisation

- CS Review – Several AFI 's
- Enhanced Governance – Thematic programmes
- Recruitment of specialist
- Better understanding of concept
- Incorporated into each Business Case
- Full evaluation of each project

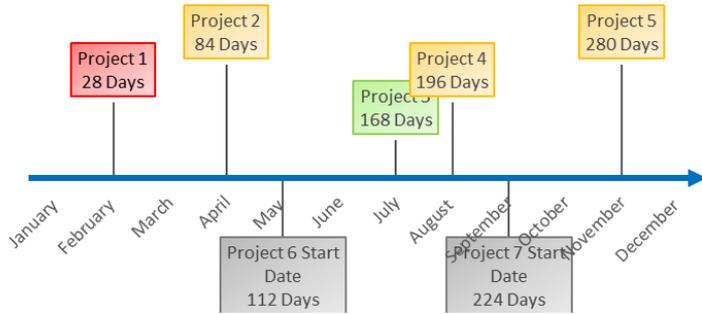


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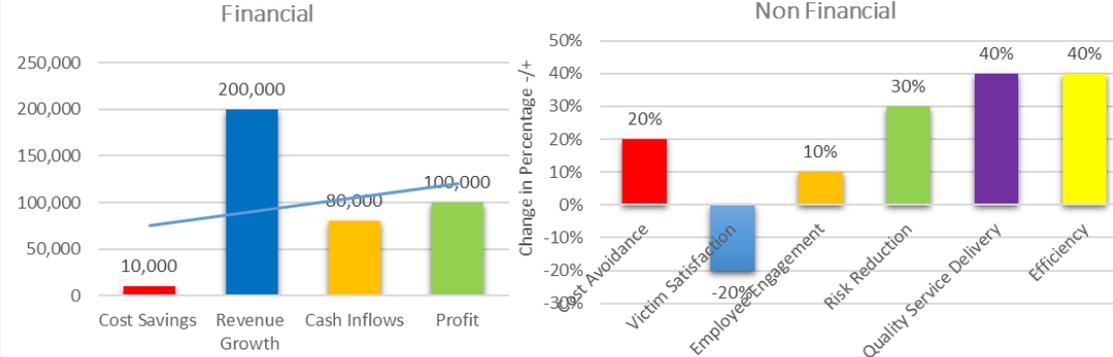
Tracking benefits & how they have been reinvested

Portfolio 1 Mission Statement

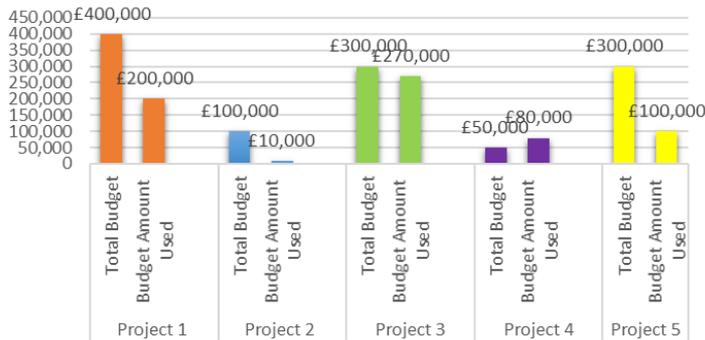
Portfolio Timeline: Live & Queued (Incl. RAG)



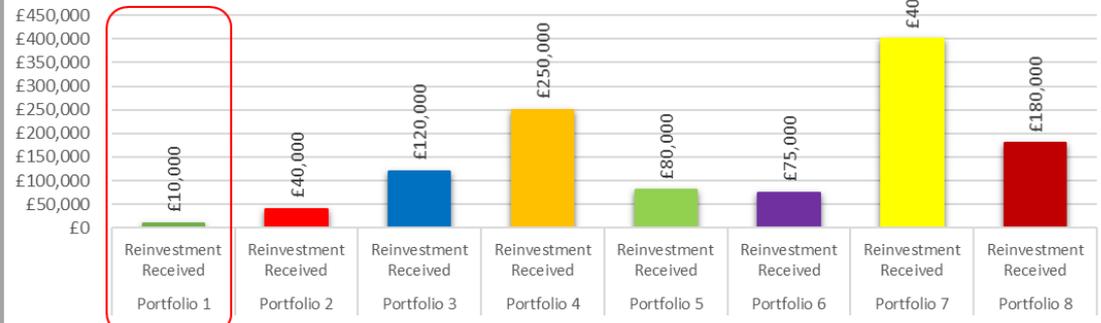
Benefit Measures



Portfolio Budget



Reinvestments (Benefits Realised)



Questions ?



NOTTINGHAMSHIRE
POLICE
PROUD TO SERVE

AUDIT & SCRUTINY PANEL MEETING

Actions arising from previous meetings and progress against action tracker

	ACTION	ALLOCATED TO	TIMESCALES FOR UPDATES	UPDATE
035	Update on how transfer of MFSS back in-house has gone	Force	May 2021	Deferred from November 2020 and February 2021 at Force's request. Presentation at May 2021 meeting, then complete and close
038	Arising from Internal Audit Report November 2020 meeting - Collaboration: Health and Safety – Update check on progress against recommendations	OPCC/Force	November 2021	Work plan has been revised to pick up updates. These updates will be in the form of a presentation by the Lead Officer
039	Arising from Internal Audit Report November 2020 meeting - Victims Code of Practice - Update check on progress against recommendations	OPCC/Force	July 2021	Work plan has been revised to pick up updates. These updates will be in the form of a presentation by the Lead Officer
040	Arising from Internal Audit Report November 2020 meeting - Estates Management - Update on meeting	OPCC/Force	May 2021	Work plan has been revised to pick up updates. These updates will be in the form of a presentation by the Lead

	CIPFA requirement to have 25-30 year strategies on estates			Officer. Presentation at May 2021 meeting, then complete and close
041	Future Force Complaints and Misconduct reports to have an appendix on best practice from Police College/ resume of lessons learnt in respect of complaints/misconduct.	Force	May 2021	For consideration at May 2021 meeting, then complete and close
042	Arising from Internal Audit Plan discussion February 2021 – Chair to be involved in discussions on developing IA planning	Force/Chair	May 2021	Chair to be invited to meeting in Quarter 4
043	Arising from Change Programme Outcomes presentation February 2021 – Request for Programme Board Schematic to show how Themes and Programmes correlate	Force	May 2021	For circulation to Panel members
044	Arising from PCC Update February 2021 – Briefing note for panel members on the usage of POCA receipts	OPCC	May 2021	For circulation to Panel members
045	Arising from Force Publication Scheme February 2021 – Update on use of website, with data from previous years to compare usage trends	Force	February 2022	For inclusion in future reports on Publication Scheme
046	Arising from Custody Update February 2021 – see details on ethnicity and young people	Force	May 2021	Included in May 2021 report – consider, complete and close

For Decision	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	May 2021
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Helen Henshaw
Agenda Item:	7

External Audit of the Accounts 2019-20 (ISA260)

1. Purpose of the Report

- 1.1 To provide members with the results of the review of the Statement of Accounts and supporting documentation for the Financial Year 2019-20.

2. Recommendations

- 2.1 Members are requested to:
- Consider the report of the External Auditor and recommend its findings to the Police & Crime Commissioner and Chief Constable

3. Reasons for Recommendations

- 3.1 This complies with good governance arrangements and relevant statutory and regulatory requirements.

4. Summary of Key Points

- 4.1 The attached report details the findings of the external auditors during the audit of the accounts for 2019-20.
- 4.2 The Auditor highlights in his report that she intends to issue an unqualified opinion in relation to the accounts.

5. Financial Implications and Budget Provision

- 5.1 None as a direct result of this report.

6. Human Resources Implications

- 6.1 None as a direct result of this report.

7. Equality Implications

7.1 None as a direct result of this report.

8. Risk Management

8.1 Risks identified are being managed.

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

9.1 None as a direct result of this report.

10. Changes in Legislation or other Legal Considerations

10.1 The report explains the requirements with legislation.

11. Details of outcome of consultation

11.1 Not applicable

12. Appendices

Appendix A – Report to those charged with governance (ISA 260)

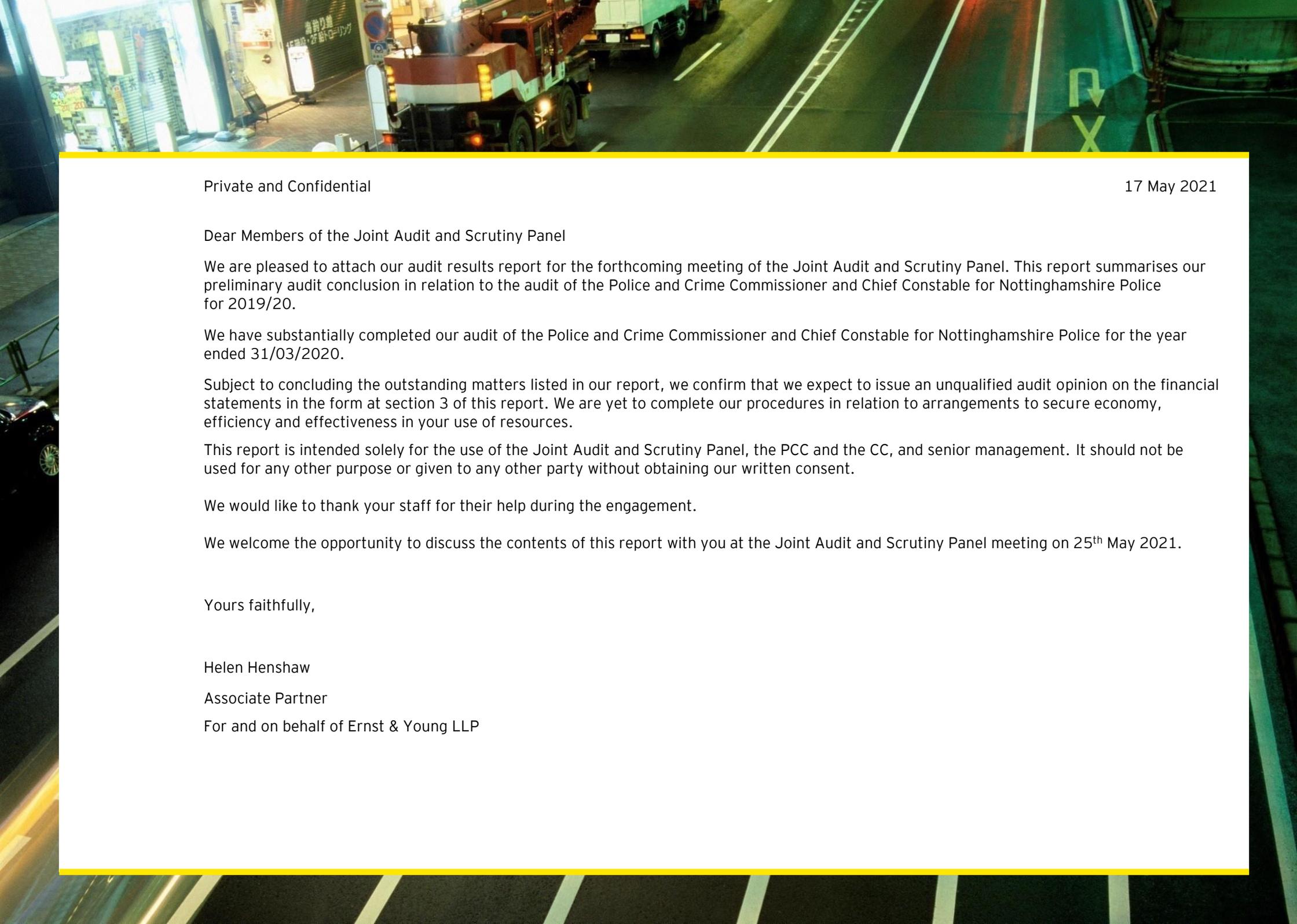
**Police and Crime
Commissioner and Chief
Constable for
Nottinghamshire Police
Audit Results Report**

Year ended 31 March 2020

May 2021

The EY logo consists of the letters 'EY' in a bold, white, sans-serif font. A yellow triangle is positioned above the 'Y', pointing downwards towards the top right corner of the logo area.

Building a better
working world



Private and Confidential

17 May 2021

Dear Members of the Joint Audit and Scrutiny Panel

We are pleased to attach our audit results report for the forthcoming meeting of the Joint Audit and Scrutiny Panel. This report summarises our preliminary audit conclusion in relation to the audit of the Police and Crime Commissioner and Chief Constable for Nottinghamshire Police for 2019/20.

We have substantially completed our audit of the Police and Crime Commissioner and Chief Constable for Nottinghamshire Police for the year ended 31/03/2020.

Subject to concluding the outstanding matters listed in our report, we confirm that we expect to issue an unqualified audit opinion on the financial statements in the form at section 3 of this report. We are yet to complete our procedures in relation to arrangements to secure economy, efficiency and effectiveness in your use of resources.

This report is intended solely for the use of the Joint Audit and Scrutiny Panel, the PCC and the CC, and senior management. It should not be used for any other purpose or given to any other party without obtaining our written consent.

We would like to thank your staff for their help during the engagement.

We welcome the opportunity to discuss the contents of this report with you at the Joint Audit and Scrutiny Panel meeting on 25th May 2021.

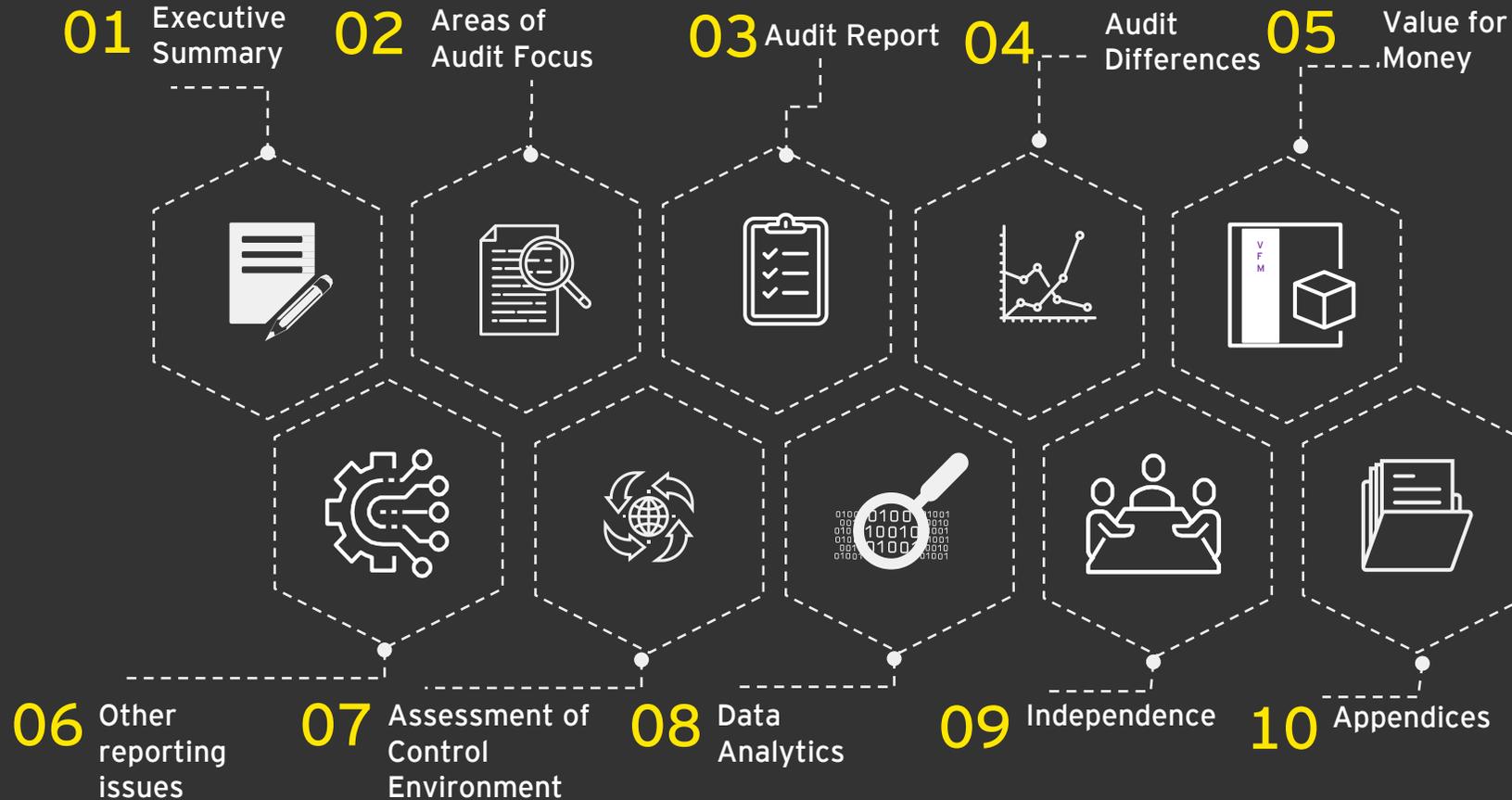
Yours faithfully,

Helen Henshaw

Associate Partner

For and on behalf of Ernst & Young LLP

Contents



Public Sector Audit Appointments Ltd (PSAA) have issued a 'Statement of responsibilities of auditors and audited bodies'. It is available from the Chief Executive of each audited body and via the PSAA website (www.psa.co.uk). This Statement of responsibilities serves as the formal terms of engagement between appointed auditors and audited bodies. It summarises where the different responsibilities of auditors and audited bodies begin and end, and what is to be expected of the audited body in certain areas.

The 'Terms of Appointment (updated April 2018)' issued by PSAA sets out additional requirements that auditors must comply with, over and above those set out in the National Audit Office Code of Audit Practice (the Code) and statute, and covers matters of practice and procedure which are of a recurring nature. This Audit Results Report is prepared in the context of the Statement of responsibilities. It is addressed to the Members of the audited body, and is prepared for their sole use. We, as appointed auditor, take no responsibility to any third party.

Our Complaints Procedure - If at any time you would like to discuss with us how our service to you could be improved, or if you are dissatisfied with the service you are receiving, you may take the issue up with your usual partner or director contact. If you prefer an alternative route, please contact Hywel Ball, our Managing Partner, 1 More London Place, London SE1 2AF. We undertake to look into any complaint carefully and promptly and to do all we can to explain the position to you. Should you remain dissatisfied with any aspect of our service, you may of course take matters up with our professional institute. We can provide further information on how you may contact our professional institute.



01 Executive Summary

Executive Summary

Scope update

In our audit planning report tabled at the 30 September 2020 Joint Audit and Scrutiny Panel meeting, we provided you with an overview of our audit scope and approach for the audit of the financial statements. We carried out our audit in accordance with this plan, with the following exceptions:

Changes to reporting timescales

As a result of COVID-19, new regulations, the Accounts and Audit (Coronavirus) (Amendment) Regulations 2020 No. 404, have been published and came into force on 30 April 2020. This announced a change to publication date for final, audited accounts from 31 July to 30 November 2020 for all relevant authorities.

Changes to our risk assessment as a result of Covid-19

Disclosures on Going Concern - Financial plans for 2020/21 and medium term financial plans will need revision for Covid-19. We considered the unpredictability of the current environment gave rise to a risk that the Local Authority would not appropriately disclose the key factors relating to going concern, underpinned by managements assessment with particular reference to Covid-19 and the Local Authority's actual year end financial position and performance.

- ▶ **Events after the balance sheet date** - We identified an increased risk that further events after the balance sheet date concerning the current Covid-19 pandemic will need to be disclosed. The amount of detail required in the disclosure needed to reflect the specific circumstances of the Local Authority.
- ▶ **Adoption of IFRS16** - The adoption of IFRS 16 by CIPFA/LASAAC as the basis for preparation of Local Authority Financial Statements has been deferred until 1 April 2021. The Authority will therefore no longer be required to undertake an impact assessment, and disclosure of the impact of the standard in the financial statements does not now need to be financially quantified in 2019/20. We therefore no longer consider this to be an area of audit focus for 2019/20.

In our Audit Planning Report, we communicated that our audit procedures would be performed using a materiality of £2.38m (PCC) £7.29m (CC), £7.49 (Group), with performance materiality, at 50% of overall materiality, of £1.19m (PCC), £3.65m (CC), £3.74 (Group), and a threshold for reporting misstatements of £0.119m (PCC), £0.365m (CC), £0.374m (Group). We have considered whether any change to our materiality is required in light of Covid-19. Following this consideration we remain satisfied that the basis for planning materiality, performance materiality and our audit threshold for reporting differences reported to you in our Audit Planning Report remain appropriate.

The basis of our assessment has remained consistent with prior years at 2% of gross operating expenditure (CC, Group) and 2% of assets (PCC).



Executive Summary

Scope update

Information Produced by the Entity (IPE): We identified an increased risk around the completeness, accuracy, and appropriateness of information produced by the entity due to the inability of the audit team to verify original documents or re-run reports on-site from the Authority's systems. We undertook the following to address this risk:

- Used the screen sharing function of Microsoft Teams to evidence re-running of reports used to generate the IPE we audited; and
- Agree IPE to scanned documents or other system screenshots.

Additional EY consultation requirements concerning the impact on auditor reports because of Covid-19: The changes to audit risks, audit approach and auditor reporting requirements changed the level of work we needed to perform. We have set out the impact on our audit fee on page 38.



Executive Summary

Status of the audit

We have substantially completed our audit of Nottinghamshire Police's financial statements for the year ended 31/03/2020 and have performed the procedures outlined in our Audit planning report. Subject to satisfactory completion of the following outstanding items we expect to issue an unqualified opinion on the financial statements in the form which appears at Section 4. However until work is complete, further amendments may arise:

- Pensions
- Property, plant and equipment
- Payables
- Staff related disclosures
- Other information (Narrative report)
- Reserves
- Going concern
- Value for money

We expect to issue the audit certificate at the same time as the audit opinion.

Audit differences

We are yet to receive a final set of financial statements, so the adjusted / unadjusted position of audit differences raised is not yet finalised.

We have identified a number of audit differences, which have been raised to management. Details can be found in Section 4 Audit Differences.

Executive Summary

Areas of audit focus

Our Audit Planning Report identified key areas of focus for our audit of Nottinghamshire Police's financial statements. This report sets out our observations and conclusions, including our views on areas which might be conservative, and where there is potential risk and exposure. We summarise our consideration of these matters, and any others identified, in the "Key Audit Issues" section of this report.

Audit findings and conclusions: significant risks:

- Misstatements due to fraud or error
- Risk of fraud in revenue and expenditure recognition (incorrect capitalisation of revenue expenditure (PCC))
- Valuation of property, plant and equipment

Audit findings and conclusions: other financial statement risks:

- Pension liability valuation
- Collaborative arrangements (CC)
- Private finance initiative (PFI) accounting (PCC)
- Going concern and compliance with ISA 570
- Impact of Covid-19

We ask you to review these and any other matters in this report to ensure:

- ▶ There are no other considerations or matters that could have an impact on these issues
- ▶ You agree with the resolution of the issue
- ▶ There are no other significant issues to be considered.

There are no matters, apart from those reported by management or disclosed in this report, which we believe should be brought to the attention of the Joint Audit and Scrutiny Panel at this stage.

Executive Summary

Control observations

As part of our audit of the financial statements, we obtained an understanding of internal control sufficient to plan our audit and determine the nature, timing and extent of testing performed. As we have adopted a fully substantive approach, we have therefore not tested the operation of controls.

Although our audit was not designed to express an opinion on the effectiveness of internal control we are required to communicate to you significant deficiencies in internal control. We have not identified any significant deficiencies in the design or operation of an internal control that might result in a material misstatement in your financial statements and which is unknown to you. However, we have set out one control observation in section 7 of this report as follows:

- ▶ *There are numerous assets which are maintained on the intangibles asset register which are of a significant age that are likely no longer in use. The result of this is that there is a possibility that the gross value of intangibles reported within Note 4.5 of the Group Financial Statements is incorrectly reported. We have agreed with management that the contents of the intangible register needs to be reviewed prior to the completion of the 2020/21 Financial Statements in order to give a more accurate reflection of the gross value of intangible assets that continue to be in use. Given that these assets are fully written down there is no impact on the net book value recorded in the balance sheet.*
- ▶ *Manual journals can be posted to the General Ledger with no approval or review process. Although we have not identified any issues within our testing of manual journals, there is an opportunity for fraudulent transactions to be posted without detection due to insufficient controls being in place. There is now a process of sample testing some manual journals each month which helps mitigate risk however it doesn't fully alleviate the risk.*
- ▶ *Multiple versions of accounts have still been present in the 2019/20 period, due to the number of audit findings. This was a control observation raised in the 2018/19 year and is still present.*
- ▶ *There have been improvements in relation to management's review of work performed by MFSS, working papers to support financial statements and PPE valuation report, which were raised as control observations in the prior year.*

Value for money

We have considered your arrangements to take informed decisions; deploy resources in a sustainable manner; and work with partners and other third parties. In our Audit Planning Report we identified the following significant risks:

- Multi-force shared services (MFSS)
- Joint headquarters with Nottinghamshire Fire
- Management of contracts to ensure value for money in the provision of core services used in operational policing
- Arrangements for financial reporting
- Securing financial resilience

We are yet to complete our procedures in relation to the significant risks identified above as we require additional information from management. We will report on the matters on completion of the procedures.



Executive Summary

Other reporting issues

We have reviewed the information presented in the Annual Governance Statement for consistency with our knowledge of the PCC and CC. We have no matters to report as a result of this work.

We have not yet performed the procedures required by the National Audit Office (NAO) on the Whole of Government Accounts submission.

We have no other matters to report.

Independence

Please refer to Section 9 for our update on Independence. We have no independence issues to bring to your attention.



02 Areas of Audit Focus





Areas of Audit Focus

Significant risk

Risk of fraud in revenue and expenditure recognition - Incorrect capitalisation of Revenue Expenditure (PCC)

What is the risk?

Under ISA 240 there is a presumed risk that revenue may be misstated due to improper revenue recognition. In the public sector, this requirement is modified by Practice Note 10 issued by the Financial Reporting Council, which states that auditors should also consider the risk that material misstatements may occur by the manipulation of expenditure recognition.

We identified the risk of expenditure recognition as lying within the incorrect capitalisation of revenue expenditure.

What judgements are we focused on?

We are focused on understanding the procedures and controls involved in the processes around the capitalisation of PPE. Particularly the appropriateness of management's criteria for capitalisation of expenditure.

What are our conclusions?

Our testing has not identified any material misstatements from revenue and expenditure recognition. Our conclusion was that all capitalised expenditure was categorised appropriately, and there was no identified incorrect capitalisation of expenditure.

Overall our audit work did not identify any material issues or unusual transactions to indicate any misreporting of the entity's financial position.

What did we do?

We increased our substantive testing of PPE additions to respond for the risk identified. For every PPE additions item sampled, we reviewed the classification of expenditure to test whether it was appropriately capitalised.



Areas of Audit Focus

Significant risk

Misstatements due to fraud or error (PCC & CC)

What is the risk?

The financial statements as a whole are not free of material misstatements whether caused by fraud or error.

As identified in ISA (UK and Ireland) 240, management is in a unique position to perpetrate fraud because of its ability to manipulate accounting records directly or indirectly and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. We identify and respond to this fraud risk on every audit engagement.

What judgements are we focused on?

The risk manifests specifically in whether year-end adjustment journals are appropriate and supported, the application of estimates and judgements, and whether significant or unusual transactions are identified and accounted for appropriately.

What did we do?

We will;

- Identifying fraud risks during the planning stages;
- Understand the oversight given by those charged with governance of management process over fraud;
- Review and discuss with management any changes the methodologies of existing and new accounting estimates, accruals and provisions for evidence of bias;
- Sample test year-end accruals and provisions for completeness and proper valuation;
- Evaluate the business rationale for significant unusual transactions; and
- Test the appropriateness of journal entries recorded in the general ledger and other adjustments made in the preparation of the financial statements.

What are our conclusions?

In our procedures to date, we have not identified any material weaknesses in controls or evidence of material management override.

We have not identified any instances of inappropriate judgements being applied.

We did not identify any other transactions during our audit which appeared unusual or outside Nottinghamshire Police's normal course of business.



Areas of Audit Focus

Significant risk

Valuation of Property, Plant and Equipment (PCC)

What is the risk?

Valuation of assets in previous years has been undertaken by an external valuer.

The fair value of Property, Plant and Equipment including assets held for sale, represent significant balances in the Group accounts and are subject to valuation changes and impairment reviews which are based on assumptions and judgements. The risk is if the these are inappropriate this could result in a material impact on the financial statements.

What judgements are we focused on?

In valuing the assets held by the Police and Crime Commissioner, management (with the support of it's external valuer) applies several judgements and estimations. The judgements that our audit has focused on include:

- identifying which assets to include within the rolling valuation program,
- how to assess the value of those not formally revalued in the year to determine whether the values remain free from material misstatement,
- which valuation method to apply, and
- what remaining useful life to assign to the asset.

What did we do?

- Documented our understanding of the processes and controls in place to mitigate the risks identified, and walk through those processes and controls to confirm our understanding;
- Tested the revaluation cycle, including instruction and completeness of information provided to the external valuer (e.g. floor plans to support valuations based on price per square metre);
- Reviewed each class of asset and the valuation approach adopted to assess where the risk of material misstatement is higher;
- Evaluated the competence, capabilities and objectivity of management's specialist;
- Reviewed the terms of engagement or instructions issued to the valuer to ensure these are consistent with accounting standards;
- Performed appropriate tests over the completeness and appropriateness of information provided to the valuer;
- Engaged our valuation specialist to support our testing strategy and help evaluate the work of the new management specialist;
- Reviewed the classification of assets and ensure an appropriate valuation methodology has been applied;
- Review assets not subject to valuation in 2019/20 to confirm that the remaining asset base is not materially misstated;
- Considered changes to useful economic lives as a result of the most recent valuation; and
- Tested accounting entries have been correctly processed in the financial statements.



Areas of Audit Focus

Significant risk



What are our conclusions

For those assets which were subject to revaluation in the year, supported by our EY Real Estate Specialists, we were able to conclude that the values determined by Management and included within the draft financial statements fell within an acceptable range, subject to confirmation of the appropriateness of the inputs to the valuation calculations.

For those assets which were not subject to formal revaluation in the year, via the use of relevant property valuation indices, we have been able to gain assurance that the assets would not have been expected to have moved in value by a material amount since their date of last valuation.

This work is still pending senior staff review. Until review has been finalised there is still a potential risk of material misstatement being present.

Audit risks

Other areas of audit focus



Pension Liability Valuation

The Local Authority Accounting Code of Practice and IAS19 require extensive disclosures within the financial statements regarding membership of the Local Government Pension Scheme administered by Nottinghamshire County Council.

The information disclosed is based on the IAS 19 report issued to the PCC and CC by the actuaries to the County Council and also the Police Pension Fund. Accounting for these schemes involves significant estimation and judgement and therefore management engages an actuary to undertake the calculations on their behalf. ISAs (UK and Ireland) 500 and 540 require us to undertake procedures on the use of management experts and the assumptions underlying fair value estimates.

We have performed the following procedures:

Local Government and Police Pension Schemes

- ▶ Updated our documentation of management's processes and controls over pension expenditure and deduction of employer and employee contributions;
- ▶ Liaised with the auditors of Nottinghamshire Pension Fund, to obtain assurances over the information supplied to the actuary;
- ▶ Reviewed the work of the Local Government actuary (Barnett Waddingham) and the Police Pension actuary (GAD) including the assumptions they have used by relying on the work of PWC - Consulting Actuaries commissioned by Public Sector Auditor Appointments for all Local Government sector auditors, and considered relevant reviews by the EY actuarial team to ensure they are in our expected range; and
- ▶ Reviewed and tested the accounting entries and disclosures made within the PCC and CC's financial statements to ensure consistency with the IAS 19 entries in both actuarial reports.

Police Pension Scheme (only)

- ▶ Tested a sample of lump sums and pension payments for new Police pensioners; and
- ▶ Completed a predictive analytical review for both the pensions payroll and employees and employers pension contributions.

Our conclusion:

Management obtained revised actuarial reports to reflect the recent McCloud remedy consultation. This resulted in material amendments being posted to the financial statements.

We have identified errors in the treatment of the pension fund accounting entries which are material to the financial statements. This relates to the incorrect reporting of return on pension assets as interest income. The issues were also present in the prior year (2018/19) financial statements. We await the updated financial statements. As a result are procedures are ongoing at present.

Audit risks

Other areas of audit focus



Collaborative Arrangements (CC)

Joint arrangements operate with partners across the East Midlands. Given the volume of transactions being accounted for across the various forces that participate in the joint arrangements and their value, we consider there to be a risk associated with the accuracy of the information being reported and accounted for (i.e. the measurement/valuation, completeness and presentation and disclosure of balances included in the financial statements)

We have performed the following procedures:

- ▶ Review the underlying allocation of expenditure in the Authority's own accounts against agreements in place; and
- ▶ Seek further assurance from external auditors at the other Police Authorities where required over any significant stream of expenditure not controlled by Nottinghamshire.

Our conclusion:

We conclude that the underlying allocations have been disclosed appropriately. The collaborative arrangement disclosures are free from material misstatement.



Private Finance Initiative (PFI) accounting (PCC)

The PCC has two PFI Schemes, being the provision and maintenance of the Riverside building and of the vehicle fleet. Correctly accounting for PFI schemes involves transactions which are derived from operating models for which assumptions and changes need to be updated accurately and reflected in the financial statements. There is a risk that disclosures in the financial statements are not consistent with the assumptions within the PFI operating model.

We have performed the following procedures:

- ▶ Review the consistency of the accounting transactions and disclosures with the PFI model
- ▶ Review the PFI model for consistency with the model applied in the prior period.

Our conclusion:

We conclude that PFI schemes have been reported correctly and the related disclosures are free from material misstatement. The model has been applied consistently in line with the prior year.

We have raised one audit finding in relation to the disclosure, to enhance the narrative in relation to Vensons PFI scheme.



03 Audit Report



Audit Report

Draft audit report

Our draft opinion on the financial statements

INDEPENDENT AUDITOR'S REPORT TO THE POLICE AND CRIME COMMISSIONER FOR NOTTINGHAMSHIRE

Opinion

We have audited the financial statements of the Police and Crime Commissioner for Nottinghamshire for the year ended 31 March 2020 under the Local Audit and Accountability Act 2014. The financial statements comprise the:

- Police and Crime Commissioner for Nottinghamshire and Group Comprehensive Income and Expenditure Statement;
- Police and Crime Commissioner for Nottinghamshire and Group Balance Sheet;
- Police and Crime Commissioner for Nottinghamshire and Group Movement in Reserves Statement;
- Police and Crime Commissioner for Nottinghamshire and Group Cash Flow Statement
- Related notes 1 to 32;
- Statement of Accounting Policies; and
- Police and Crime Commissioner for Nottingham Pension Fund Account Statements and related notes 1 to 3.

The financial reporting framework that has been applied in their preparation is applicable law and the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2019/20.

In our opinion the financial statements:

- give a true and fair view of the financial position of the Police and Crime Commissioner for Nottinghamshire and Group as at 31 March 2020 and of its expenditure and income for the year then ended; and
- have been prepared properly in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2019/20.

Basis for opinion

We conducted our audit in accordance with International Standards on Auditing (UK) (ISAs (UK)) and applicable law. Our responsibilities under those standards are further described in the Auditor's responsibilities for the audit of the financial statements section of our report below. We are independent of the Police and Crime Commissioner for Nottinghamshire and Group in accordance with the ethical requirements that are relevant to our audit of the financial statements in the UK, including the FRC's Ethical Standard and the Comptroller and Auditor General's (C&AG) AGN01, and we have fulfilled our other ethical responsibilities in accordance with these requirements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

Conclusions relating to going concern

We have nothing to report in respect of the following matters in relation to which the ISAs (UK) require us to report to you where:

- the Chief Financial Officer's use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the Chief Financial Officer has not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the Police and Crime Commissioner's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from the date when the financial statements are authorised for issue.

Other information

The other information comprises the information included in the narrative report and annual governance statement, other than the financial statements and our auditor's report thereon. The Chief Financial Officer is responsible for the other information.

Our opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated in this report, we do not express any form of assurance conclusion thereon.

In connection with our audit of the financial statements, our responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or our knowledge obtained in the audit or otherwise appears to be materially misstated. If we identify such material inconsistencies or apparent material misstatements, we are required to determine whether there is a material misstatement in the financial statements or a material misstatement of the other information. If, based on the work we have performed, we conclude that there is a material misstatement of the other information, we are required to report that fact.

We have nothing to report in this regard.

Opinion on other matters prescribed by the Local Audit and Accountability Act 2014

Arrangements to secure economy, efficiency and effectiveness in the use of resources

Work outstanding - to be confirmed



Audit Report

Our draft opinion on the financial statements (continued)

Matters on which we report by exception

We report to you if:

- in our opinion the annual governance statement is misleading or inconsistent with other information forthcoming from the audit or our knowledge of the entity;
- we issue a report in the public interest under section 24 of the Local Audit and Accountability Act 2014;
- we make written recommendations to the audited body under Section 24 of the Local Audit and Accountability Act 2014;
- we make an application to the court for a declaration that an item of account is contrary to law under Section 28 of the Local Audit and Accountability Act 2014;
- we issue an advisory notice under Section 29 of the Local Audit and Accountability Act 2014; or
- we make an application for judicial review under Section 31 of the Local Audit and Accountability Act 2014.

We have nothing to report in these respects

Responsibility of the Chief Finance Officer

As explained more fully in the Statement of Responsibilities for the Accounts set out on page 12, the Chief Finance Officer is responsible for the preparation of the Statement of Accounts, which includes the financial statements, in accordance with proper practices as set out in the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2019/20, and for being satisfied that they give a true and fair view.

In preparing the financial statements, the Chief Finance Officer is responsible for assessing the Police and Crime Commissioner's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the Police and Crime Commissioner either intends to cease operations, or have no realistic alternative but to do so.

The Police and Crime Commissioner is responsible for putting in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources, to ensure proper stewardship and governance, and to review regularly the adequacy and effectiveness of these arrangements.

Auditor's responsibilities for the audit of the financial statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

A further description of our responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website at <https://www.frc.org.uk/auditorsresponsibilities>. This description forms part of our auditor's report.

Scope of the review of arrangements for securing economy, efficiency and effectiveness in the use of resources

We have undertaken our review in accordance with the Code of Audit Practice, having regard to the guidance on the specified criterion issued by the Comptroller and Auditor General (C&AG) in April 2020, as to whether the PCC had proper arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people. The Comptroller and Auditor General determined this criterion as that necessary for us to consider under the Code of Audit Practice in satisfying ourselves whether the PCC put in place proper arrangements for securing economy, efficiency and effectiveness in its use of resources for the year ended 31 March 2020.

We planned our work in accordance with the Code of Audit Practice. Based on our risk assessment, we undertook such work as we considered necessary to form a view on whether, in all significant respects, the PCC had put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources.

We are required under Section 20(1)(c) of the Local Audit and Accountability Act 2014 to satisfy ourselves that the Police and Crime Commissioner has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources. The Code of Audit Practice issued by the National Audit Office (NAO) requires us to report to you our conclusion relating to proper arrangements.

We report if significant matters have come to our attention which prevent us from concluding that the Police and Crime Commissioner has put in place proper arrangements for securing economy, efficiency and effectiveness in its use of resources. We are not required to consider, nor have we considered, whether all aspects of the Police and Crime Commissioner's arrangements for securing economy, efficiency and effectiveness in its use of resources are operating effectively.

Certificate

We certify that we have completed the audit of the accounts of the Police and Crime Commissioner for Nottinghamshire in accordance with the requirements of the Local Audit and Accountability Act 2014 and the Code of Audit Practice issued by the National Audit Office.

Use of our report

This report is made solely to Police and Crime Commissioner for Nottinghamshire, in accordance with Part 5 of the Local Audit and Accountability Act 2014 and for no other purpose, as set out in paragraph 43 of the Statement of Responsibilities of Auditors and Audited Bodies published by Public Sector Audit Appointments Limited. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the Police and Crime Commissioner for Nottinghamshire, for our audit work, for this report, or for the opinions we have formed.

Helen Henshaw (Key Audit Partner)
Ernst & Young LLP (Local Auditor)
Birmingham
Date:



Audit Report

Draft audit report

Our draft opinion on the financial statements

INDEPENDENT AUDITOR'S REPORT TO THE CHIEF CONSTABLE OF NOTTINGHAMSHIRE

Opinion

We have audited the financial statements of the Chief Constable of Nottinghamshire for the year ended 31 March 2020 under the Local Audit and Accountability Act 2014. The financial statements comprise the:

- Chief Constable of Nottinghamshire Comprehensive Income and Expenditure Statement;
- Chief Constable of Nottinghamshire Balance Sheet;
- Chief Constable of Nottinghamshire Movement in Reserves Statement;
- Chief Constable of Nottinghamshire Cash Flow Statement;
- and the related notes 1 to 19;
- Statement of Accounting Policies; and
- Chief Constable of Nottinghamshire Pension Fund Account and related notes 1 to 3.

The financial reporting framework that has been applied in their preparation is applicable law and the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2019/20.

In our opinion the financial statements:

- give a true and fair view of the financial position of the Chief Constable of Nottinghamshire as at 31 March 2020 and of its expenditure and income for the year then ended; and
- have been prepared properly in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2019/20.

Basis for opinion

We conducted our audit in accordance with International Standards on Auditing (UK) (ISAs (UK)) and applicable law. Our responsibilities under those standards are further described in the Auditor's responsibilities for the audit of the financial statements section of our report below. We are independent of the Chief Constable for Nottinghamshire in accordance with the ethical requirements that are relevant to our audit of the financial statements in the UK, including the FRC's Ethical Standard and the Comptroller and Auditor General's (C&AG) AGN01, and we have fulfilled our other ethical responsibilities in accordance with these requirements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.

Conclusions relating to going concern

We have nothing to report in respect of the following matters in relation to which the ISAs (UK) require us to report to you where:

- the Chief Financial Officer's use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or

- the Chief Financial Officer has not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the Chief Constable's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from the date when the financial statements are authorised for issue.

Other information

The other information comprises the information included in the narrative report and annual governance statement, other than the financial statements and our auditor's report thereon. The Chief Financial Officer is responsible for the other information.

Our opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated in this report, we do not express any form of assurance conclusion thereon.

In connection with our audit of the financial statements, our responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or our knowledge obtained in the audit or otherwise appears to be materially misstated. If we identify such material inconsistencies or apparent material misstatements, we are required to determine whether there is a material misstatement in the financial statements or a material misstatement of the other information. If, based on the work we have performed, we conclude that there is a material misstatement of the other information, we are required to report that fact.

We have nothing to report in this regard.

Opinion on other matters prescribed by the Local Audit and Accountability Act 2014

Arrangements to secure economy, efficiency and effectiveness in the use of resources

Work outstanding - to be confirmed

Matters on which we report by exception

We report if:

- in our opinion the annual governance statement is misleading or inconsistent with other information forthcoming from the audit or our knowledge of the entity;
- we issue a report in the public interest under section 24 of the Local Audit and Accountability Act 2014;
- we make written recommendations to the audited body under Section 24 of the Local Audit and Accountability Act 2014;
- we make an application to the court for a declaration that an item of account is contrary to law under Section 28 of the Local Audit and Accountability Act 2014;



Audit Report

Our draft opinion on the financial statements (continued)

- we issue an advisory notice under Section 29 of the Local Audit and Accountability Act 2014; or
- we make an application for judicial review under Section 31 of the Local Audit and Accountability Act 2014.

We have nothing to report in these respects

Responsibilities of the Joint Director of Finance and Business Services

As explained more fully in the *Statement of Responsibilities for the Accounts* set out on page 15, the Joint Director of Finance and Business Services is responsible for the preparation of the Statement of Accounts, which includes the financial statements, in accordance with proper practices as set out in the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2019/20, and for being satisfied that they give a true and fair view.

In preparing the financial statements, the Joint Director of Finance and Business Services is responsible for assessing the Chief Constable's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the Chief Constable either intends to cease operations, or have no realistic alternative but to do so.

The Chief Constable is responsible for putting in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources, to ensure proper stewardship and governance, and to review regularly the adequacy and effectiveness of these arrangements.

Auditor's responsibilities for the audit of the financial statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

A further description of our responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website at <https://www.frc.org.uk/auditorsresponsibilities>. This description forms part of our auditor's report.

Scope of the review of arrangements for securing economy, efficiency and effectiveness in the use of resources

We have undertaken our review in accordance with the Code of Audit Practice, having regard to the guidance on the specified criterion issued by the Comptroller and Auditor General (C&AG) in April 2020, as to whether the Chief Constable had proper arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people. The Comptroller and Auditor General determined this criterion as that necessary for us to consider under the Code of Audit Practice in satisfying ourselves whether the Chief Constable put in place proper arrangements for securing economy, efficiency and effectiveness in its use of resources for the year ended 31 March 2020.

We planned our work in accordance with the Code of Audit Practice. Based on our risk assessment, we undertook such work as we considered necessary to form a view on whether, in all significant respects, the Chief Constable had put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources.

We are required under Section 20(1)(c) of the Local Audit and Accountability Act 2014 to satisfy ourselves that the *Chief Constable of Nottinghamshire* has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources. The Code of Audit Practice issued by the National Audit Office (NAO) requires us to report to you our conclusion relating to proper arrangements.

We report if significant matters have come to our attention which prevent us from concluding that the Chief Constable has put in place proper arrangements for securing economy, efficiency and effectiveness in its use of resources. We are not required to consider, nor have we considered, whether all aspects of the Chief Constable's arrangements for securing economy, efficiency and effectiveness in its use of resources are operating effectively.

Certificate

We certify that we have completed the audit of the accounts of the Chief Constable of Nottinghamshire in accordance with the requirements of the Local Audit and Accountability Act 2014 and the Code of Audit Practice issued by the National Audit Office.

Use of our report

This report is made solely to the Chief Constable of Nottinghamshire, in accordance with Part 5 of the Local Audit and Accountability Act 2014 and for no other purpose, as set out in paragraph 43 of the Statement of Responsibilities of Auditors and Audited Bodies published by Public Sector Audit Appointments Limited. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the Chief Constable of Nottinghamshire, for our audit work, for this report, or for the opinions we have formed.

Helen Henshaw (Key Audit Partner)
Ernst & Young LLP (Local Auditor)
Birmingham
Date:



04 Audit Differences





Audit Differences

In the normal course of any audit, we identify misstatements between amounts we believe should be recorded in the financial statements and the disclosures and amounts actually recorded. These differences are classified as “known” or “judgemental”. Known differences represent items that can be accurately quantified and relate to a definite set of facts or circumstances. Judgemental differences generally involve estimation and relate to facts or circumstances that are uncertain or open to interpretation.

Summary of adjusted differences - CC

We highlight the following misstatements relating to the Chief Constable greater than £364k which have been corrected by management that were identified during the course of our audit:

- ▶ Management obtained revised actuarial reports to reflect the recent McCloud remedy consultation which resulted in changes to the draft financial statements. The net pension liability of the entity decreased by £26m from the original draft set of financial statements to the updated financial statements.
- ▶ Various disclosure errors were identified including the omission of some notes which are mandatory under CIPFA guidance, the cash flow statements included errors and also narrative throughout the statements have been subject to change.

It is expected that all differences identified will be adjusted. We are yet to receive updated versions of the financial statements. Any unadjusted audit differences will be included within the letter of management representation

Summary of adjusted differences - PCC

We highlight the following misstatement relating to the Police and Crime Commissioner greater than £119k which have been corrected by management that were identified during the course of our audit:

- ▶ Note 2.5 (Taxation and Non-Specific Grant Income) had originally included £263k within the 'HO Police Pension Grant' which should not have been included - this has been removed from the disclosure.
- ▶ An accrual of income posted at year-end for £919k from the Home Office was identified to be overstated by £667k based on the evidence provided, therefore this has been adjusted.
- ▶ Overstatement of a creditor relating to the HQ Build Capital Scheme due to a duplication of a purchase order: this was a £312k adjustment.
- ▶ Understatement of an accrual relating to the new custody suite's Capital Scheme: this was a £1,124k adjustment.
- ▶ Understatement of an accrual in relation to settlement costs with MFSS: this was a £219k adjustment.
- ▶ Various disclosure errors were identified including the omission of some notes which are mandatory under CIPFA guidance, the cash flow statements included errors and also narrative throughout the statements have been subject to change.

It is expected that all differences identified will be adjusted. We are yet to receive updated versions of the financial statements. Any unadjusted audit differences will be included within the letter of management representation

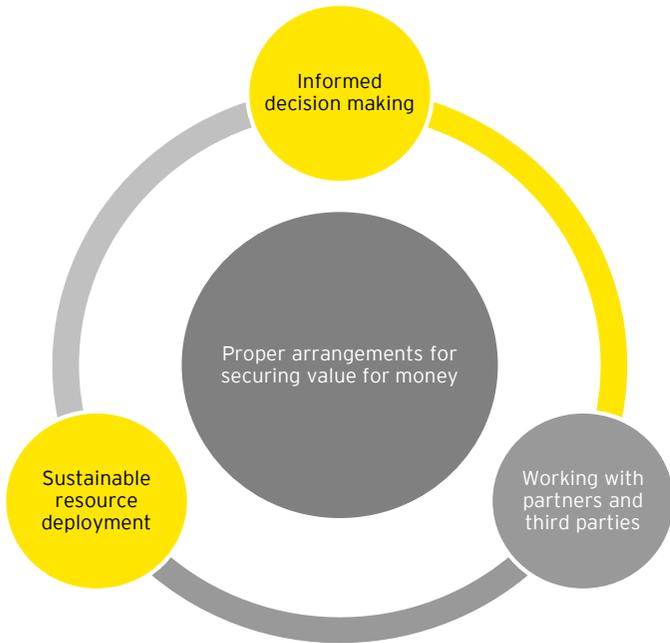


05

Value for Money



Value for Money



Background

We are required to consider whether the Council has put in place 'proper arrangements' to secure economy, efficiency and effectiveness on its use of resources. This is known as our value for money conclusion.

For 2019/20 this is based on the overall evaluation criterion:

"In all significant respects, the audited body had proper arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people"

Proper arrangements are defined by statutory guidance issued by the National Audit Office. They comprise your arrangements to:

- Take informed decisions;
- Deploy resources in a sustainable manner; and
- Work with partners and other third parties.

In considering your proper arrangements, we will draw on the requirements of the CIPFA/SOLACE framework for local government to ensure that our assessment is made against a framework that you are already required to have in place and to report on through documents such as your annual governance statement.

Impact of covid-19 on our Value for Money assessment

On 16 April 2020 the National Audit Office published an update to auditor guidance in relation to the 2019/20 Value for Money assessment in the light of covid-19. This clarified that in undertaking the 2019/20 Value for Money assessment auditors should consider Local Authorities' response to Covid-19 only as far as it relates to the 2019-20 financial year; only where clear evidence comes to the auditor's attention of a significant failure in arrangements as a result of Covid-19 during the financial year, would it be appropriate to recognise a significant risk in relation to the 2019-20 VFM arrangements conclusion.

Overall conclusion

We identified a number of significant risks around these arrangements. We are yet to complete our procedures in relation to your arrangements to secure economy, efficiency and effectiveness in your use of resources.



Value for Money Risks

We are only required to determine whether there are any risks that we consider significant within the Code of Audit Practice, where risk is defined as:

“A matter is significant if, in the auditor’s professional view, it is reasonable to conclude that the matter would be of interest to the audited body or the wider public”

Our risk assessment supports the planning of enough work to deliver a safe conclusion on your arrangements to secure value for money, and enables us to determine the nature and extent of any further work needed. If we do not identify a significant risk we do not need to carry out further work.

The table below presents the findings of our work in response to the risks areas in our Audit Planning Report.

What is the significant value for money risk?	What arrangements did the risk affect?	What are our findings?
Multi-Force Shared Services (MFSS)	<ul style="list-style-type: none"> - Take informed decisions - Deploy resources in a sustainable manner - Working with partners and other third parties 	We are yet to complete our procedures in relation to this risk
Joint headquarters with Nottinghamshire Fire	<ul style="list-style-type: none"> -Take informed decisions 	We reviewed the reporting and governance around decision making processes undertaken in the decisions undertaken in relation to the joint headquarters. We conclude that procedures undertaken were suitably robust to enable informed decisions to be taken to secure economy, efficiency and effectiveness.
Management of contracts to ensure value for money in the provision of core services used in operational policing	<ul style="list-style-type: none"> -Take informed decisions 	We are yet to complete our procedures in relation to this risk
Arrangements for financial reporting	<ul style="list-style-type: none"> -Take informed decisions -Deploy resources in a sustainable manner 	We are yet to complete our procedures in relation to this risk
Securing financial resilience	<ul style="list-style-type: none"> -Deploy resources in a sustainable manner 	We are yet to complete our procedures in relation to this risk



06 Other reporting issues

Other reporting issues

Consistency of other information published with the financial statements, including the Annual Governance Statement

We must give an opinion on the consistency of the financial and non-financial information in the statement of accounts 2019/20 with the audited financial statements

We must also review the Annual Governance Statement for completeness of disclosures, consistency with other information from our work, and whether it complies with relevant guidance.

We are yet to complete our procedures on other information

We have reviewed the Annual Governance Statement and can confirm it is consistent with other information from our audit of the financial statements and we have no other matters to report.

Whole of Government Accounts

Alongside our work on the financial statements, we also review and report to the National Audit Office on your Whole of Government Accounts return. The extent of our review, and the nature of our report, is specified by the National Audit Office.

We have not yet undertaken procedures in relation to Whole of Government Accounts.

Other reporting issues

Other reporting issues

Other powers and duties

We have a duty under the Local Audit and Accountability Act 2014 to consider whether to report on any matter that comes to our attention in the course of the audit, either for the Authority to consider it or to bring it to the attention of the public (i.e. “a report in the public interest”). We did not identify any issues which required us to issue a report in the public interest.

We also have a duty to make written recommendations to the Authority, copied to the Secretary of State, and take action in accordance with our responsibilities under the Local Audit and Accountability Act 2014. We did not identify any issues.

Other matters

As required by ISA (UK&I) 260 and other ISAs specifying communication requirements, we must tell you significant findings from the audit and other matters if they are significant to your oversight of the [Authority]'s financial reporting process. They include the following:

- Significant qualitative aspects of accounting practices including accounting policies, accounting estimates and financial statement disclosures;
- Any significant difficulties encountered during the audit;
- Any significant matters arising from the audit that were discussed with management;
- Written representations we have requested;
- Expected modifications to the audit report;
- Any other matters significant to overseeing the financial reporting process;
- Findings and issues around the opening balance on initial audits (if applicable);
- Related parties;
- External confirmations;
- Going concern;
- Consideration of laws and regulations; and
- Group audits

All matters significant to your oversight are included within this report.



07

Assessment of Control Environment

Assessment of Control Environment

Financial controls

It is the responsibility of Nottinghamshire Police to develop and implement systems of internal financial control and to put in place proper arrangements to monitor their adequacy and effectiveness in practice. Our responsibility as your auditor is to consider whether Nottinghamshire Police has put adequate arrangements in place to satisfy itself that the systems of internal financial control are both adequate and effective in practice.

As part of our audit of the financial statements, we obtained an understanding of internal control sufficient to plan our audit and determine the nature, timing and extent of testing performed. As we have adopted a fully substantive approach, we have therefore not tested the operation of controls. Although our audit was not designed to express an opinion on the effectiveness of internal control we are required to communicate to you significant deficiencies in internal control. We have not identified any new significant deficiencies in the design or operation of an internal control that might result in a material misstatement in your financial statements of which you are not aware. We considered whether circumstances arising from COVID-19 resulted in a change to the overall control environment of effectiveness of internal controls, for example due to significant staff absence or limitations as a result of working remotely. We identified no issues which we wish to bring to your attention/details of issues noted.

Challenges for the coming year

Description	Impact
<p>Review of draft financial statements</p> <p>In our view, a significant number of the proposed adjustments would have been detected by management had a thorough review of the draft financial statements been undertaken prior to publication and presentation for audit. We therefore recommend that sufficient time for a detailed review of the draft financial statements including completion/review of the CIPFA disclosure checklist be built into the timetable for the preparation of the 2020/21 financial statements.</p>	<p>Lack of detailed review has led to increased time and cost in the audit process, for both management and the external auditor.</p>

Status of previous year's recommendations:

Description	Update
<p>Journal controls</p> <p>We have previously reported that journals were not authorised prior to posting to the general ledger. The entity subsequently introduced a mitigating control to review journals on a sample basis each month to ensure accuracy of posting. We identified that this control did not take place throughout 2018/19.</p>	<p>We have confirmed that this control is now operating in 2019/20.</p>
<p>Management review of the work performed by MFSS</p> <p>There was a lack of review evidence in relation to work performed by MFSS for Nottinghamshire police, including evidence of reconciliation checks.</p>	<p>No issues have been identified in relation to reconciliations or the review of MFSS work</p>
<p>Working papers to support financial statements</p> <p>We have previously reported that working papers provided to the audit team have not readily available to show a breakdown of items included in year or reported positions</p>	<p>We have seen improvements in working papers provided in the 2019/20 closedown process.</p>
<p>Multiple versions of accounts</p> <p>We reported on the issue of production of multiple versions of the accounts and the impact on working papers not agreeing to the final version of accounts.</p>	<p>Due to the number of audit errors identified there have again been considerable amendments to the accounts and numerous versions of the accounts.</p>
<p>PPE valuation report</p> <p>We reported in the prior year that the valuation report provided to management was dated 4 months prior to the balance sheet date and no consideration had been given to the potential for material movement from the date of valuation to the balance sheet date.</p>	<p>No issues have been identified in relation to PPE valuation at this stage of the 2019/20 audit.</p>



08 Data Analytics



Use of Data Analytics in the Audit

► Data analytics

Analytics Driven Audit

Data analytics

We used our data analysers to enable us to capture entire populations of your financial data. These analysers:

- ▶ Help identify specific exceptions and anomalies which can then be the focus of our substantive audit tests; and
- ▶ Give greater likelihood of identifying errors than traditional, random sampling techniques.

In 2019/20, our use of these analysers in the Authority's audit included testing journal entries and employee expenses, to identify and focus our testing on those entries we deem to have the highest inherent risk to the audit.

We capture the data through our formal data requests and the data transfer takes place on a secured EY website. These are in line with our EY data protection policies which are designed to protect the confidentiality, integrity and availability of business and personal information.

Journal Entry Analysis

We obtain downloads of all financial ledger transactions posted in the year. We perform completeness analysis over the data, reconciling the sum of transactions to the movement in the trial balances and financial statements to ensure we have captured all data. Our analysers then review and sort transactions, allowing us to more effectively identify and test journals that we consider to be higher risk, as identified in our Audit Planning Report dated 30 September 2020.

Payroll Analysis

We also use our analysers in our payroll testing. We obtain all payroll transactions posted in the year from the payroll system and perform completeness analysis over the data, including reconciling the total amount to the General Ledger trial balance. We then analyse the data against a number of specifically designed procedures. These include analysis of payroll costs by month to identify any variances from established expectations, as well as more detailed transactional interrogation.

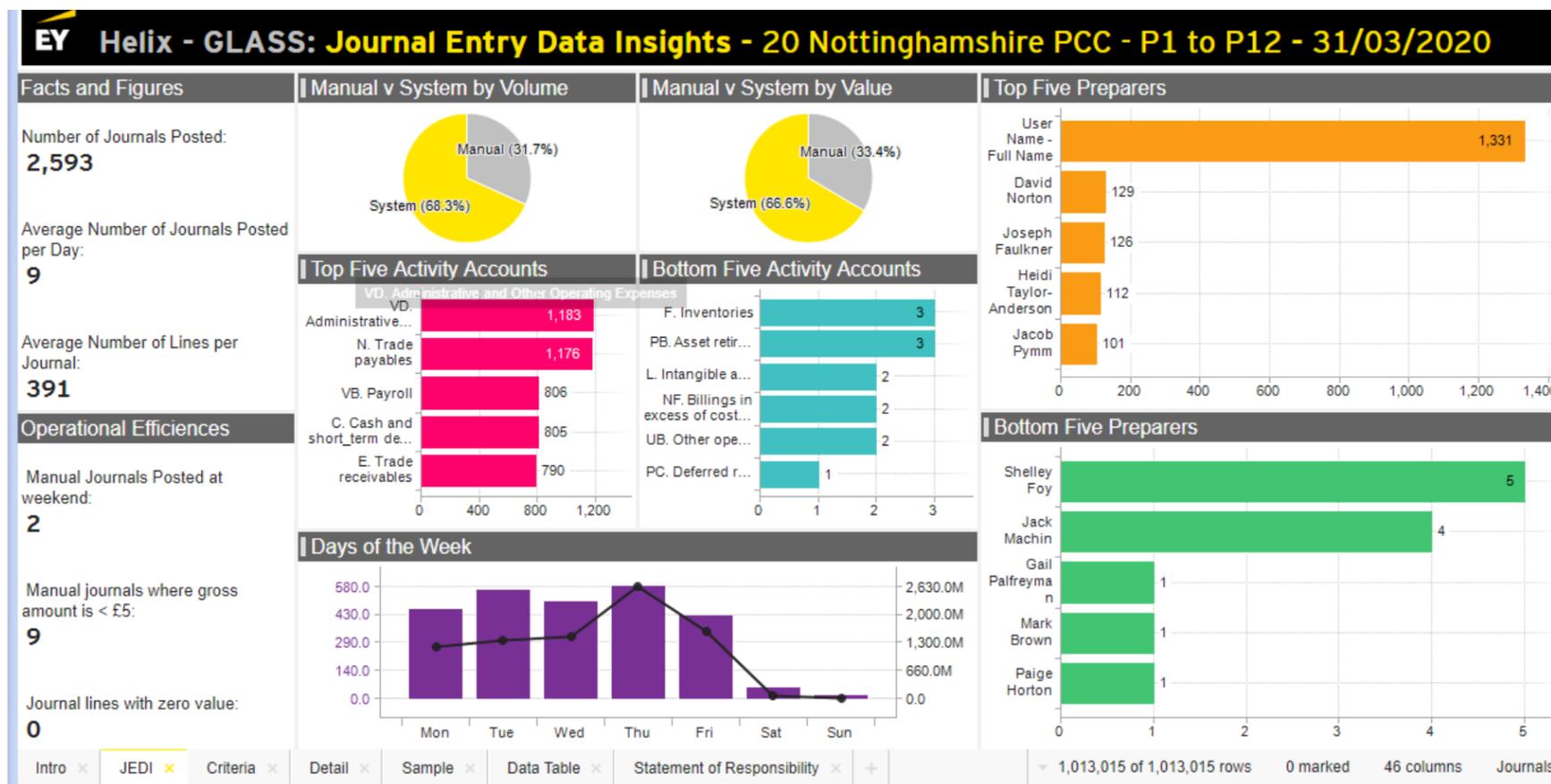


Data Analytics

Journal Entry Data Insights

The graphic outlined below summarises the journal population for 2019/20. We review journals by certain risk based criteria to focus on higher risk transactions, such as journals posted manually by management, those posted around the year-end, those with unusual debit and credit relationships, and those posted by individuals we would not expect to be entering transactions.

The purpose of this approach is to provide a more effective, risk focused approach to auditing journal entries, minimising the burden of compliance on management by minimising randomly selected samples.





Journal Entry Testing

What is the risk?

In line with ISA 240 we are required to test the appropriateness of journal entries recorded in the general ledger and other adjustments made in the preparation of the financial statements.

Journal entry data criteria – 31 March 2020

What judgements are we focused on?

Using our analysers we are able to take a risk based approach to identify journals with a higher risk of management override, as outlined in our audit planning report.



What did we do?

We obtained general ledger journal data for the period and have used our analysers to identify characteristics typically associated with inappropriate journal entries or adjustments, and journals entries that are subject to a higher risk of management override.

We then performed tests on the journals identified to determine if they were appropriate and reasonable.

What are our conclusions?

We isolated a sub set of journals for further investigation and obtained supporting evidence to verify the posting of these transactions and concluded that they were appropriately stated.



09

Independence

Confirmation and analysis of Audit fees

We confirm there are no changes in our assessment of independence since our confirmation in our audit planning report dated 18 September 2020.

We complied with the APB Ethical Standards. In our professional judgement the firm is independent and the objectivity of the audit engagement partner and audit staff has not been compromised within the meaning of regulatory and professional requirements.

We consider that our independence in this context is a matter that should be reviewed by both you and ourselves. It is therefore important that the Ethics, Transparency and Audit Panel consider the facts of which you are aware and come to a view. If you wish to discuss any matters concerning our independence, we will be pleased to do so at the forthcoming meeting of the Joint Audit and Scrutiny Panel on 25 May 2021.

We confirm we have undertaken non-audit work outside of the Statement of responsibilities of auditors and audited bodies as issued by the Public Sector Audit Appointments Ltd.

As part of our reporting on our independence, we set out below a summary of the fees you have paid us in the year ended 31 March 2020.

We confirm that we have not undertaken non-audit work.

	Final Fee 2019/20	Planned Fee 2019/20	Final Fee 2018/19
	£	£	£
Total Audit Fee - PCC Code work	TBC*	27,119	59,653**
Total Audit Fee - CC Code work	TBC*	11,550	25,470**
Total non-audit services	Nil	Nil	Nil

* The final fee for 2019/20 will be subject to additional fees for the work carried out in response to significant risks and change of scope, specifically the work identified in this report covering:

- Additional pensions procedures as a result of the McCloud consultation, including the review of an additional set of draft financial statements and the engagement of EY Pensions;
- Restatement of current and prior year pension disclosures in relation to LGPS;
- The engagement of EY Real Estate to assess the calculation of assets and challenge the Authority's valuer in respect of assumptions used;
- Use of lower materiality to respond to extent of errors found in the prior (and current) year audit;
- The VFM significant risks identified; and
- Additional procedures required in respect of the impact of Covid-19, including additional procedures and consultation on the going concern assessment, and consideration of the impact of C-19 on the control environment and governance arrangements.

We will discuss these fees with management in the first instance, before agreeing them with you and requesting approval from Public Sector Audit Appointments (PSAA).

** Final scale fee variation to be confirmed by Public Sector Audit Appointments (PSAA)

Relationships, services and related threats and safeguards



The FRC Ethical Standard requires that we provide details of all relationships between Ernst & Young (EY) and your Authority, senior management and its affiliates, including all services provided by us and our network to your Authority, senior management and its affiliates, and other services provided to other known connected parties that we consider may reasonably be thought to bear on the our integrity or objectivity, including those that could compromise independence and the related safeguards that are in place and why they address the threats.

There are no relationships from 1 April 2019 to the date of this report, which we consider may reasonably be thought to bear on our independence and objectivity.

Services provided by Ernst & Young

The previous page sets out a summary of the fees that you have paid to us in the year ended 31 March 2020 in line with the disclosures set out in FRC Ethical Standard and in statute.

We confirm that none of the services listed have been provided on a contingent fee basis.

As at the date of this report, there are no future services which have been contracted and no written proposal to provide non-audit services has been submitted.

New UK Independence Standards

The Financial Reporting Council (FRC) published the Revised Ethical Standard 2019 in December and it will apply to accounting periods starting on or after 15 March 2020. A key change in the new Ethical Standard will be a general prohibition on the provision of non-audit services by the auditor (and its network) which will apply to UK Public Interest Entities (PIEs). A narrow list of permitted services will continue to be allowed.

Summary of key changes

- Extraterritorial application of the FRC Ethical Standard to UK PIE and its worldwide affiliates
- A general prohibition on the provision of non-audit services by the auditor (or its network) to a UK PIE, its UK parent and worldwide subsidiaries
- A narrow list of permitted services where closely related to the audit and/or required by law or regulation
- Absolute prohibition on the following relationships applicable to UK PIE and its affiliates including material significant investees/investors:
 - Tax advocacy services
 - Remuneration advisory services
 - Internal audit services
 - Secondment/loan staff arrangements
- An absolute prohibition on contingent fees.
- Requirement to meet the higher standard for business relationships i.e. business relationships between the audit firm and the audit client will only be permitted if it is inconsequential.
- Permitted services required by law or regulation will not be subject to the 70% fee cap.
- Grandfathering will apply for otherwise prohibited non-audit services that are open at 15 March 2020 such that the engagement may continue until completed in accordance with the original engagement terms.
- A requirement for the auditor to notify the Audit Committee where the audit fee might compromise perceived independence and the appropriate safeguards.
- A requirement to report to the audit committee details of any breaches of the Ethical Standard and any actions taken by the firm to address any threats to independence. A requirement for non-network component firm whose work is used in the group audit engagement to comply with the same independence standard as the group auditor. Our current understanding is that the requirement to follow UK independence rules is limited to the component firm issuing the audit report and not to its network. This is subject to clarification with the FRC.

Next Steps

We will continue to monitor and assess all ongoing and proposed non-audit services and relationships to ensure they are permitted under FRC Revised Ethical Standard 2016 which will continue to apply until 31 March 2020 as well as the recently released FRC Revised Ethical Standard 2019 which will be effective from 1 April 2020. We will work with you to ensure orderly completion of the services or where required, transition to another service provider within mutually agreed timescales.

We do not provide any non-audit services which would be prohibited under the new standard.

Other communications

EY Transparency Report 2020

Ernst & Young (EY) has policies and procedures that instil professional values as part of firm culture and ensure that the highest standards of objectivity, independence and integrity are maintained.

Details of the key policies and processes in place within EY for maintaining objectivity and independence can be found in our annual Transparency Report which the firm is required to publish by law. The most recent version of this Report is for the year end 30 June 2020:

https://www.ey.com/en_uk/who-we-are/transparency-report-2020

A close-up photograph of a person's hand reaching into a filing cabinet to touch a folder. The cabinet is filled with numerous folders of various colors (yellow, blue, white) and sizes, each containing stacks of papers. The background is a textured, light-colored wall.

10 Appendices

Appendix A

Required communications with the Joint Audit and Scrutiny Panel

There are certain communications that we must provide to the Joint Audit and Scrutiny Panels of UK clients. We have detailed these here together with a reference of when and where they were covered:

		 Our Reporting to you
Required communications	 What is reported?	 When and where
Terms of engagement	Confirmation by the Joint Audit and Scrutiny Panel of acceptance of terms of engagement as written in the engagement letter signed by both parties.	The statement of responsibilities serves as the formal terms of engagement between the PSAA's appointed auditors and audited bodies
Our responsibilities	Reminder of our responsibilities as set out in the engagement letter.	Audit Planning Report dated 18 September 2020
Planning and audit approach	Communication of the planned scope and timing of the audit, any limitations and the significant risks identified.	Audit Planning Report dated 18 September 2020
Significant findings from the audit	<ul style="list-style-type: none"> ▶ Our view about the significant qualitative aspects of accounting practices including accounting policies, accounting estimates and financial statement disclosures ▶ Significant difficulties, if any, encountered during the audit ▶ Significant matters, if any, arising from the audit that were discussed with management ▶ Written representations that we are seeking ▶ Expected modifications to the audit report ▶ Other matters if any, significant to the oversight of the financial reporting process 	Audit results report dated 17 May 2021

Appendix A (Continued)

		 Our Reporting to you
Required communications	 What is reported?	  When and where
Going concern	<p>Events or conditions identified that may cast significant doubt on the entity's ability to continue as a going concern, including:</p> <ul style="list-style-type: none"> ▶ Whether the events or conditions constitute a material uncertainty ▶ Whether the use of the going concern assumption is appropriate in the preparation and presentation of the financial statements ▶ The adequacy of related disclosures in the financial statements 	Audit results report dated 17 May 2021
Misstatements	<ul style="list-style-type: none"> ▶ Uncorrected misstatements and their effect on our audit opinion ▶ The effect of uncorrected misstatements related to prior periods ▶ A request that any uncorrected misstatement be corrected ▶ Material misstatements corrected by management 	Audit results report dated 17 May 2021
Subsequent events	<ul style="list-style-type: none"> ▶ Enquiry of the Joint Audit and Scrutiny Panel where appropriate regarding whether any subsequent events have occurred that might affect the financial statements. 	To be provided to TCWG and management prior to the accounts being signed.
Fraud	<ul style="list-style-type: none"> ▶ Enquiries of the Joint Audit and Scrutiny Panel to determine whether they have knowledge of any actual, suspected or alleged fraud affecting the Authority ▶ Any fraud that we have identified or information we have obtained that indicates that a fraud may exist ▶ Unless all of those charged with governance are involved in managing the Authority, any identified or suspected fraud involving: <ol style="list-style-type: none"> a. Management; b. Employees who have significant roles in internal control; or c. Others where the fraud results in a material misstatement in the financial statements. ▶ The nature, timing and extent of audit procedures necessary to complete the audit when fraud involving management is suspected ▶ Any other matters related to fraud, relevant to Joint Audit and Scrutiny Panel responsibility. 	Audit results report dated 17 May 2021

Appendix A (Continued)

		 Our Reporting to you
Required communications	 What is reported?	  When and where
Related parties	<p>Significant matters arising during the audit in connection with the Authority's related parties including, when applicable:</p> <ul style="list-style-type: none"> ▶ Non-disclosure by management ▶ Inappropriate authorisation and approval of transactions ▶ Disagreement over disclosures ▶ Non-compliance with laws and regulations ▶ Difficulty in identifying the party that ultimately controls the Authority 	Audit results report dated 17 May 2021
Independence	<p>Communication of all significant facts and matters that bear on EY's, and all individuals involved in the audit, objectivity and independence.</p> <p>Communication of key elements of the audit engagement partner's consideration of independence and objectivity such as:</p> <ul style="list-style-type: none"> ▶ The principal threats ▶ Safeguards adopted and their effectiveness ▶ An overall assessment of threats and safeguards ▶ Information about the general policies and process within the firm to maintain objectivity and independence <p>Communications whenever significant judgments are made about threats to objectivity and independence and the appropriateness of safeguards put in place.</p>	<p>Audit Planning Report dated 18 September 2020</p> <p>and</p> <p>Audit results report dated 17 May 2021</p>

Appendix A (Continued)

		 Our Reporting to you
Required communications	 What is reported?	  When and where
External confirmations	<ul style="list-style-type: none"> ▶ Management's refusal for us to request confirmations ▶ Inability to obtain relevant and reliable audit evidence from other procedures. 	We have received all requested confirmations
Consideration of laws and regulations	<ul style="list-style-type: none"> ▶ Subject to compliance with applicable regulations, matters involving identified or suspected non-compliance with laws and regulations, other than those which are clearly inconsequential and the implications thereof. Instances of suspected non-compliance may also include those that are brought to our attention that are expected to occur imminently or for which there is reason to believe that they may occur ▶ Enquiry of the Joint Audit and Scrutiny Panel into possible instances of non-compliance with laws and regulations that may have a material effect on the financial statements and that the Joint Audit and Scrutiny Panel may be aware of 	We have not identified any material instances or non-compliance with laws and regulations.
Significant deficiencies in internal controls identified during the audit	<ul style="list-style-type: none"> ▶ Significant deficiencies in internal controls identified during the audit. 	Audit results report dated 17 May 2021

Appendix A (Continued)

		Our Reporting to you
Required communications	 What is reported?	 When and where
Group Audits	<ul style="list-style-type: none"> ▶ An overview of the type of work to be performed on the financial information of the components ▶ An overview of the nature of the group audit team's planned involvement in the work to be performed by the component auditors on the financial information of significant components ▶ Instances where the group audit team's evaluation of the work of a component auditor gave rise to a concern about the quality of that auditor's work ▶ Any limitations on the group audit, for example, where the group engagement team's access to information may have been restricted ▶ Fraud or suspected fraud involving group management, component management, employees who have significant roles in group-wide controls or others where the fraud resulted in a material misstatement of the group financial statements. 	Audit results report dated 17 May 2021
Written representations we are requesting from management and/or those charged with governance	<ul style="list-style-type: none"> ▶ Written representations we are requesting from management and/or those charged with governance 	To be provided to TCWG and management prior to the accounts being signed.
Material inconsistencies or misstatements of fact identified in other information which management has refused to revise	<ul style="list-style-type: none"> ▶ Material inconsistencies or misstatements of fact identified in other information which management has refused to revise 	Audit results report dated 17 May 2021
Auditors report	<ul style="list-style-type: none"> ▶ Any circumstances identified that affect the form and content of our auditor's report 	Audit results report dated 17 May 2021
Fee Reporting	<ul style="list-style-type: none"> ▶ Breakdown of fee information when the audit planning report is agreed ▶ Breakdown of fee information at the completion of the audit ▶ Any non-audit work 	Audit Planning Report dated 18 September 2020 Audit results report dated 17 May 2021

Appendix B

Accounting and regulatory update

Future accounting developments

Since the date of our last report to the Ethics, Transparency and Audit Panel, there have been a number of exposure drafts, discussion papers and other projects issues. The following table provides a high level summary of those that have the potential to have the most significant impact on you:

Name	Summary of key measures	Impact on Nottinghamshire Police
IFRS 16	<ul style="list-style-type: none">▶ The adoption of IFRS 16 by CIPFA/LASAAC as the basis for preparation of Local Authority Financial Statements has been deferred until 1 April 2021. The Authority will therefore no longer be required to undertake an impact assessment, and disclosure of the impact of the standard in the financial statements does not now need to be financially quantified in 2019/20.	<ul style="list-style-type: none">▶ Nottinghamshire Police need to ensure that all lease arrangements entered into are identified and quantified (including for the comparative period) prior to the new implementation date▶ Consider whether appropriate systems and processes are in place to embed the requirements of the new accounting standard going forward.

Regulatory update

Since the date of our last report to the Joint Audit and Scrutiny Panel, there have been a number of regulatory developments. The following table provides a high level summary of those that have the potential to have the most significant impact on you:

Name	Summary of key measures	Impact on Nottinghamshire Police
Code of Audit Practice 2020	<ul style="list-style-type: none">▶ The updated Code of Audit Practice issued by the National Audit Office has introduced some significant changes to the requirements regarding auditors' work on the value for money conclusion, which will be applicable from 2020/21.	<ul style="list-style-type: none">▶ The NAO have updated the Auditor Guidance Notes which set out how the new Code of Audit Practice should be applied when carrying out value for money work.

Appendix C

Reflections from the Redmond Review

Independent Review into the Oversight of Local Audit and the Transparency of Local Authority Financial Reporting

Published on the 8th September 2020, Sir Tony Redmond's findings and recommendations from his independent review provides a significant opportunity to shape the future sustainability of local government financial reporting and auditing. We believe this will help ensure audit continues to meet the evolving needs of local authorities, the public, and the public interest.

Guiding principles for reform

We believe reforms should be guided by the following principles:

- Reforms should enhance, or at least should not create risks to, the quality of financial reporting and external audit.
- The importance of the multidisciplinary audit firm model, to enable local auditors to respond efficiently and effectively to the increased reporting complexity, risks and financial resilience pressures we have seen facing the public sector pre and post Covid-19.
- There should not be a two-tier system of generally accepted accounting and auditing standards between the public and corporate sectors.
- To be effective and sustainable, reforms need to focus on the public sector financial reporting and external audit ecosystem as a whole.



Reflections from the Redmond Review (continued)

Taking our guiding principles, we broadly welcome the Redmond review and proposals, in particular:

Quality of financial reporting and external audit

- The recognition that all stakeholders in the ecosystem have a role to play to improve accountability, transparency and sustainability. This includes improving the effectiveness of Audit Committees, strengthening the training skills, capacity capability and attractiveness of the public sector finance and audit professions.
- His conclusion that the current procurement and fee structure does not support sustainable audit quality. We have provided you with our perspectives on how baseline audit fees need to change to take account of your risk profile, complexity as well as the regulatory and professional context which drive our audits.

Reforming the public sector financial reporting and external audit ecosystem

- Establishing the Office for Local Audit Regulation (OLAR), which provides a “system leader” and will bring clarity to the existing framework for local authority audit.
- The importance of MHCLG establishing a liaison committee of all key stakeholders to oversee reforms. To begin with MHCLG should take urgent action to implement primary legislation to establish OLAR, revise the timetable for financial reporting and revisit the procurement and fee structure for public sector audit.

Multidisciplinary audit firm model

- The importance of the auditors work to critically assess the financial resilience and viability of public sector bodies and his proposals on how this assessment could be enhanced within the NAOs code of audit practice.

Safeguarding professional accounting and auditing standards

- The need for CIPFA/LASAAC to revisit the accounting code and introduce summarised accounts. We agree that there is a need for more proportionality in the Code which also sets out the expectations of practitioners and auditors and how this could be applied in areas such as pensions and asset valuations. However, we believe that any future proposals on the accounting code should not create a two-tier system.

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ED None

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For Decision	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	May 2021
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Mark Kimberley
Agenda Item:	8

FINAL STATEMENT OF ACCOUNTS AND ANNUAL GOVERNANCE STATEMENTS FOR 2019-20

1. Purpose of the Report

- 1.1 To provide members with a copy of the audited statement of accounts and annual governance statements for 2019-20.
- 1.2 The External Audit report will be inserted once it is agreed.

2. Recommendations

- 2.1 Members are requested to:
 - Having examined the statements provided to recommend the accounts and governance statements to the Police & Crime Commissioner for approval.
 - Also recommend the accounts and governance statements to the Police & Crime Commissioner and Chief Constable for signing.

3. Reasons for Recommendations

- 3.1 This complies with the Accounts and Audit regulations and good financial governance.

4. Summary of Key Points

- 4.1 The attached statements provide a fair view of the financial position of the Chief Constable, Police & Crime Commissioner and group as a whole.
- 4.2 The statements of the Chief Constable show the cost of policing and provision of services to deliver the Police & Crime Plan.
- 4.3 The Group accounts also include the financial statement relating to the Office of the Police & Crime Commissioner.
- 4.4 These accounts represent fairly the financial position of the Group and its individual entities.

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 These accounts have not been published within the timescale required by legislation. Reasons for this have been documented at previous meetings and the potential impact on the 2020-21 statements being produced on time remains a risk.

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

9.1 This complies with the Financial Regulations, which underpin the achievement of all Police & Crime Plan priorities.

10. Changes in Legislation or other Legal Considerations

10.1 This complies with the current Accounts and Audit Regulations in that the accounts and their audit are finally complete.

11. Details of outcome of consultation

11.1 The draft accounts were made available for public inspection and published on the website for comment.

12. Appendices

A – The Chief Constables Statement of Accounts 2019-20

B – The OPCC and Group Statement of Accounts 2019-20

Note: Appendices not available at time of publication.

For Information / Consideration	
Public/Non Public*	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	25 May 2021
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Mark Lunn
Agenda Item:	9

INTERNAL AUDIT ANNUAL ASSURANCE REPORT

1. Purpose of the Report

- 1.1 To provide members with the Annual Assurance Report of the Internal Audit Manager for work undertaken in 2020-21.
- 1.2 To also provide detail of work in 2020-21 against the Audit Plan.

2. Recommendations

- 2.1 Members are recommended to consider the report and its implication for the draft Annual Governance Statements on today's agenda.

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 reports detail the work undertaken during 2020-21. The report summarises the audits undertaken and the findings of these audits.
- 4.2 The report also provides the assurance that members can obtain from the work undertaken. This is considered to be generally adequate with effective controls, processes and governance in place in both the OPCC and Force.
- 4.3 Significant areas of concern were identified in audits during 2020-21 and these will be followed-up in 2021-22.

5. Financial Implications and Budget Provision

- 5.1 None as a direct result of this report.

6. Human Resources Implications

6.1 None as a direct result of this report.

7. Equality Implications

7.1 None as a direct result of this report.

8. Risk Management

8.1 None as a direct result of this report. Recommendations will be actioned to address the risks identified within the individual reports and recommendations implementation will be monitored and reported within the audit and inspection report to this panel.

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

9.1 This report complies with good governance and financial regulations.

10. Changes in Legislation or other Legal Considerations

10.1 None

11. Details of outcome of consultation

11.1 Not applicable

12. Appendices

12.1 Appendix A – Internal Audit Annual Assurance Report 2020-21

12.2 Appendix B – Internal Audit Progress Report 2020-21

Note: Appendices not available at time of publication.

For Decision	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	May 2021
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Mark Kimberley and Amanda Froggatt
Agenda Item:	10

DRAFT ANNUAL GOVERNANCE STATEMENTS FOR 2020-21

1. Purpose of the Report

- 1.1 To provide members with a copy of the unaudited annual governance statements for 2020-21. The PCC CFO Narrative statement is also included to provide a full picture of what will be included in the final statements.

2. Recommendations

- 2.1 Members are requested to:
- Review the draft Annual Governance Statements provided and provide any feedback for the Chief Constable and the Commissioner

This feedback needs to be provided before the final statements are produced.

3. Reasons for Recommendations

- 3.1 This complies with the Accounts and Audit Regulations and good financial governance.

4. Summary of Key Points

- 4.1 The attached statements provide details of the governance and internal control arrangements in place within the OPCC and the Force.

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 complies with the Financial Regulations, which underpin the achievement of all Police & Crime Plan priorities.

10. Changes in Legislation or other Legal Considerations

10.1 This complies with the current Accounts and Audit Regulations.

11. Details of outcome of consultation

11.1 This forms part of the consultation process with the Audit & Scrutiny Panel

12. Appendices

A – The Chief Constables Annual Governance Statement 2020-21

B – The PCC's Narrative Statement and Annual Governance Statement 2020-21

**Nottinghamshire Police
Annual Governance Statement 2020/21**

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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.

The Statement also identifies how any changes made to governance as a result of Covid-19 have been put in place and how this has impacted on governance arrangements during the year.

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 have been effective and supports the aims of the OPCC, 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.
- Student Officers 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 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 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.
- The Police Staff Misconduct Policy provides a clear framework for all Police Staff in terms of expected standards of conduct and professional behaviour and the likely consequence of failure in meeting those standards. This is to be renewed in line with new regulatory reforms and is currently being rewritten (April 2021).

- There are clear processes in place around confidential reporting 'whistleblowing' outlined in the Professional Standards Reporting Procedure. Staff are also able to report breaches confidentially to PSD confidentially. There is has been a reinvigoration of integrity messenger to ensure officers/staff feel able to report confidentially.
- 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 Force has dedicated reasonable and proportionate handlers (Sergeants) complaints and Learning Sergeants, embedded within local policing. Their purpose is to deliver learning from complaints back to the workforce thus creating a learning culture rather than a punitive one. Guidance around local resolutions is available on the intranet.*
- Assurance reporting is submitted to the Joint Audit and Scrutiny Panel (JASP) on a regular basis relating to complaint recording and the nature of complaints.
- Bi-annually, a report on IOPC investigations is presented at the JASP to inform the OPCC of the Force's application of the IOPC Statutory Guidance.
- Standards are governed by the quarterly Organisation Risk, Learning, Standards and Integrity Board, chaired by the Deputy Chief Constable (DCC). Its remit is to provide a forum to discuss key areas of learning and identify emerging strategic opportunities and risks, whilst monitoring compliance with Force values.
- In the latest (2018) Her Majesty's Inspectorate of Constabulary and Fire and Rescue (HMICFRS) PEEL Inspection the Force were deemed to be 'good' in respect of 'How legitimately the Force treats the public and its workforce'.
- The outcome of misconduct proceedings are published to reinforce standards and learning. The appointment of the new meetings and hearings officer will ensure this is published and all learning shared across the organisation.
- The Force has a Strategic Threat Assessment identifying the risks from corruption and control strategy plans underpin this. Specifically, the force has a comprehensive plan in place to tackle Abuse of Position of Trust for a Sexual Purpose. Audited meetings take place to discuss the Counter Corruption Unit approach to Abuse of Position of Trust for a Sexual Purpose. A risk matrix exists with a cohort of individuals monitored within the organisation.
- An Ethics Board has been established to consider and discuss ethical issues in an advisory and consultative capacity. It considers issues raised at the Organisational Risk and Learning Board and any issues which are referred from officers, staff or external groups.
- A procedure is in place for the monitoring of business interests and additional employment for Police Officers and Police Staff.
- Business Interests, Additional Employment and Notifiable Associations are reviewed annually within the Integrity Health check, this forms part of the PDR process.
- 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.
- A register of Refused and Approved Business Interests is published on the Force website biannually; any changes are reported on a monthly basis to the Organisational Risk and Learning Board.
- A record of gifts gratuities and hospitality is published biannually on the Force website.

- The Chief Constable will ensure 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 Joint Code of Corporate Governance and Working Together document.
- 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.
- 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.

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 Force's Neighbourhood Policing Priority Survey is Nottinghamshire Police's biggest public consultation exercise in a decade, giving the public an opportunity to help shape local policing priorities in their area. This is branded locally as *#NottsMatters*.
- Consultation and engagement are undertaken with local residents and business communities and form 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 (IAGs).
- The HMICFRS 2018 PEEL Report recommended that the Force should work with local people to improve its understanding of local communities, and demonstrate what action has taken place as a result of their concerns. In response, an external trainer provided a 2-day input on problem solving to all Neighbourhood staff (PCSO, Constable, Sergeant, Inspector and Chief Inspector) alongside partners from City, District and County Councils and Nottinghamshire Fire and Rescue Service (NFRS) in 2020. The training was enhanced in February 2021 when 40 Problem Solving Tactical Advisors were equipped with additional Problem-Solving training, who will be able to help mainstream the training.
- Nottinghamshire Police record and store our 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 specific problem.
- Being cognisant of the recommendations of the HMICFRS, sharing good examples of 'what works' will enable 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 review-by a quarterly 'what works' board. This evaluation explores effectiveness what learning the police and partners can adopt. Each successful submission is uploaded to the neighbourhood portal and promoted via a regular 'what works' digest to share good practice and support the force in planning its future activities. Case studies are shared via an agenda item on the quarterly neighbourhood Inspectors meetings, promoted as good news stories and considered for further acknowledgement through the force awards and recognition scheme. Successful submissions will also be shared with other forces, local partners and the College of Policing 'what works'

website and Knowledge Hub. We recognise successes, identify best practice and actively share this locally and nationally. Promotion of the National Tilley Awards is already taking place.

- Recent investment has also taken place by launching the Neighbourhood Policing Hub (NPHub) which has essentially brought together the key functions of problem solving and crime prevention under one umbrella. Formed with the support of our key partners, the NPHub will assist front line practitioners through learning and professional development and addressing issues in their particular area; from the provision of data and analysis, to the deployment of Crime Prevention and Designing out Crime specialists.
- The Force has a strategic IAG, 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 website is updated pro-actively with force information in a FoI Disclosure Log. 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 Audit and Scrutiny Panel on an annual basis to provide a current Force position on the Publication Scheme Requirements. This report, along with all other JASP reports, is available to view on the OPCC website.
- The Force contributes to the OPCC's Annual Report to provide assurance on what has been delivered against the Police and Crime Plan.

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 2019-22 sets out the overall aims, delivery, and performance framework of the partnership to deliver the 'safer' agenda of the 'Nottingham Plan to 2020'. The Partnership Plan has been developed with regard 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 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 produces performance information monthly. This includes reporting on current performance against targets, comparison against most similar force peers and performance of Partnership Plus areas. The SNB Performance Group brings together the CSP Chairs 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 & Crime Commissioners.

- An annual Extraordinary Force Executive Board (E-FEB) is held which is attended by senior internal and external stakeholders, including the Fire Service, City and County Council to provide an open forum for decision making regarding business change proposals for the forthcoming financial year and beyond.

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

- The Police and Crime 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.
- 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 Police and Crime 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 Force takes an active part in working with the OPCC to refresh the Police and Crime Plan delivery plan each year in order to set out what activities will be undertaken to deliver the PCC's key strategic priority themes. Activities are broken down into further operational detail in the Force Delivery Framework.
- The strategic priorities set out in the Police and Crime Plan are aligned to the Force's Annual Departmental Assessment (ADA), business planning process.
- A report is submitted on a quarterly basis to the Police and Crime Panel to provide an update against each of the strategic priority themes; this is made available on the Nottinghamshire County Council website.
- A Performance and Insight Report is provided to the Strategic Resources and Performance meeting on a quarterly basis 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 Police and Crime Plan.
- Collaboration agreements are in place to outline how business will be undertaken jointly in order 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 Audit and Scrutiny Panel on a quarterly basis.
- A Medium Term Financial Strategy builds on the proposed budget for 2020/21 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 also to comply with good financial management and Financial Regulations. This is reviewed and updated regularly to remain adaptable 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 Police and Crime Plan and the Force Delivery Framework, departmental planning via Annual Departmental Assessments (ADAs) and review and update of the Medium Term Financial Strategy.
- 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.
- HMICFRS 2018 PEEL Report recommended that the Force should improve its approach to planning within Information Services to ensure there is a clear vision and direction which links to operational planning. In response the force has created a Prioritisation Matrix which will report into the Futures Board. This will ensure ICT planning is closely aligned to future plans and wider change programmes, so current and future demand can be effectively managed.
- We are delivering the Digital Policing Strategy 2025 with work scheduled for 2021 to deliver the Digital Public Contact programme alongside Single Online Home. The Nottinghamshire Digital Evidence Management System is schedule to go live in 2021 and our local Digital Strategy will be updated to include our Cloud Adoption Journey, capitalising on Cloud technology, with Digital Forensics as our first use case.
- Each Head of Department completes an ADA as part of the annual planning cycle. The ADA is a planning tool used to assess current structure, processes and cost in light of the current operating context. Options for change are proposed which are aligned to the Strategic Priority Themes.
- Budget meetings with departmental heads take place following E-FEB to ensure future budgets account for any project savings or spend within the department.
- Business change 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 at E-FEB, a comprehensive analysis of approved change proposals are progressed in the form of an options appraisal (business case) which is presented to the Futures Board for decision. The business case will indicate how intended outcomes would be achieved and any risks associated with those options.
- Business change continues to be assessed according to viability and desirability throughout the project lifecycle. Governance is flexible and responsive so that outputs can be adapted to changing circumstances.
- HMICFRS 2018 PEEL Report recommended that the force should ensure that its governance arrangements for managing current and future demand track benefits, including how it has reinvested savings. The force appointed a Business Benefits Officer in 2020 who has worked

closely with Finance to formalise a process that captures savings and how they have been invested. This will be captured through the Annual Departmental Assessment (ADA) process. To align with every financial quarter savings from project delivery will be reported to the Strategic Futures Board on a quarterly basis by the Business Benefits Officer. This will identify any cashable savings that have been realised and will be re-directed from the area in which the saving occurred into the Futures Board budget to be reinvested by the Force as per currently Force Policy. A financial tracking tool has been built alongside reporting dashboards that complement each other by structuring data in a smooth user experience enabling clear and accurate audit.

- Decisions for change are, in part, informed by the HMICFRS' Value for Money (VfM) Profile, which is published on an annual basis. The Force benchmarks its functions against others in its Most Similar Group (MSG) to determine whether VfM is being achieved. Generally, over time, the force has moved from average/upper quartile to below average/lower quartile for many of our enabling services.
- All business change is governed according to the Force Corporate Portfolio Management Office (PMO) Framework and Guidance which sets out in detail the governance framework, roles and responsibilities and project management methodology in order to plan, delegate, monitor and control all aspects of the business change portfolio.
- The business change governance framework provides a robust reporting structure, which includes project boards, the 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 is maintained to outline what information is required for each strategic meeting, the SRO and expected timescales.

Area for improvement: The Force should ensure that planning in Information Services is more closely aligned with strategic and operational planning and is able to optimise intended outcomes.

Area for improvement: The force should ensure that its governance arrangements for managing current and future demand track benefits, including how it has reinvested savings.

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

- The DCC 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. The meeting also has the remit of determining and prioritising training and learning activities to ensure they are aligned to business and workforce planning.
- HMICFRS recommended in the 2018 PEEL Inspection Report that the Force needs to understand fully its workforce capabilities, to identify any gaps, and put plans in place to address them. This is being addressed as an area for improvement through a training needs analysis, which is being undertaken on a departmental basis to ensure the workforce is adequately skilled and the appropriate training is scheduled.

- Our new talent management programme, 'Career Conversation', has been launched and this replaces the PDR process. This is stored locally, with HR maintaining a record of completion rates and individual career matrix grading. Career Conversations clearly captures talent across the force via a career matrix grading system. This will be reviewed at a meeting chaired by the ACC to ensure consistency across the organisation. Leadership and development training initiatives will become targeted around talent matching.
- For staff and transferees new to the organisation there is a one-day induction course, which is complemented by additional specialist training where required. A staff handbook has also been developed. Student officers go through initial training, including induction into the organisation.
- 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 leadership development programme invests in first and second line supervisors; it is also complemented by coaching, mentoring and 360 degree feedback for staff and officers progressing to senior leadership.
- The NOPCC and Force operate under a comprehensive 'Joint Code of Governance and Working Together Agreement' which comprises of the scheme of consent, the Joint Code of Corporate Governance, Financial Regulations and Contract Standing Orders.
- The roles and authorities of the PCC, the Chief Constable and their respective officers are set out in the Joint Code of Corporate Governance and Working Together document. The document outlines how the parties will work together in cooperation to ensure that effective and efficient delivery of policing services. This was reviewed during 2018.
- The governance structure is underpinned by a statutory framework which incorporates the Police Reform and Social Responsibility Act 2011, the Policing Protocol Order 2011 and the Financial Management Code of Practice, amongst other legislation.
- The Scheme of Delegation sets out the delegation of responsibility from the PCC to his staff and delegation to the Chief Constable and his own staff in the exercise of their statutory responsibilities.
- Clear roles and responsibilities are delegated to Chief Officers. The Chief Financial Officer, as Section 151 Officer, has an up to date job description and person specification which outlines their responsibilities.
- 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.

Area for improvement: The force should undertake appropriate activities to understand fully its workforce's capabilities, identify any gaps, and put plans in place to address these gaps.

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

- The Risk Management approach was redeveloped in 2018 for the force to adopt a more sophisticated approach which links risks to our governance methods and internal audit processes.

- The Force and OPCC have agreed a joint policy for the management of risk, in line with the Cabinet Office approved Management of Risk (MoR) approach.
- A Strategic Risk Report is provided to the JASP bi-annually in order to keep the Board informed as to the level of strategic risk within the Force and NOPCC and provide assurance as to the effectiveness of risk management arrangements.
- 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.
- Annual reporting is made to JASP on business continuity, this includes progress made against the business continuity testing timetable and notes on forthcoming testing.
- 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.
- Since 2019/20 all projects have been closed with a formal end project report from the Project Manager/Lead that includes the content of a post implementation review (PIR). PIRs have been introduced and are scheduled for medium and large projects and all staff restructures including the 2018 Force Restructure and 2018 Analytical Restructure PIRs that were completed during 2019/20.
- The Financial Performance and Insight Report, including revenue and capital budget monitoring are reported to the Force Executive Board on a monthly basis. It is also presented at the Strategic Resources and Performance quarterly meeting.
- Decision making protocol is illustrated in the joint Scheme of Delegation which is part of the Joint Code of Governance and Working Together document.
- A forward plan of 'Decisions of Significant Public Interest' is provided to the Police and Crime Panel on a regular basis in the interests of accountability and transparency, this is made available on the Nottinghamshire County Council website.
- 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.
- JASP complies with best practice as outlined in Audit Committees: Practical Guidance for Local Authorities and the Police (CIPFA, 2013).
- The Panel also assist 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.
- 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 Annual Statement of Accounts is published on the website 'what we spend' and includes accounting policies and also the report of the auditors.
- The Annual Audit letter is report to the Joint Audit and Scrutiny Panel on an annual basis.

- The Treasury Management Strategy and annual report are reported annually to the Joint Audit and Scrutiny Panel.
- Budget monitoring reports are presented to the Strategic Resources and Performance meeting on a quarterly basis.
- 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.
- Internal Audit, Review and Inspection Monitoring and assurance and improvement outcomes are presented to the Joint Audit and Scrutiny Panel at every meeting.
- An internal audit on Core Financial System Assurance found the force to have satisfactory assurance in relation to General Ledger, Cash, Bank and Treasury Management, Payments and Creditors, Income and Debtors but Limited assurance in respect of Payroll.
- Regular reporting is made to JASP on legislative compliance with the Freedom of Information Act and Data Protection Act legislation.
- Effective arrangements are in place to monitor risks arising from Brexit. The ACC Chairs a regular Gold Group meeting.
- The decision was made in 2019/20, along with other partner forces (Northamptonshire, Cheshire and Civil Nuclear Constabulary), to exit from the Multi Force Shared Service (MFSS) arrangement before November 2022, which is when the contract concludes with Oracle and CapGemini. As a result, the Force established Project Regain to bring back in-house the services currently provided by MFSS. This has involved the procurement of new IT solutions for finance, payroll, human resources and learning and development. The procurement process, and due diligence, was undertaken during 2020/21, resulting in contracts being awarded in March 2021 to ABSS for the finance solution and Midland HR for payroll, human resources and learning & development. Work continues through the MFSS management board to ensure service levels are maintained during the transition to full local service delivery in April 2022. The DCC is taking an active role in the Regain Project as SRO for the Force and continues to chair the MFSS management board.
- Mazars undertook an internal audit on the Force's approach to risk management in February 2021 and the following recommendations were included in their report:

Recommendation 1: The Force should ensure that a thorough review is undertaken of the Force's departmental risk registers, so that risks that are inherent to the respective departments are identified and scored, as stated in the Risk Management Strategy.

Recommendation 2: The Force should ensure that all risk registers are complete and that appropriate controls are recorded for each risk. Where risk controls are being reviewed, the Force should ensure that interim controls are in place to effectively monitor risks.

Recommendation 3: The Force should ensure that further training is provided to users of the JCAD system to ensure that appropriate controls are recorded to mitigate the risks identified.

Recommendation 4: Furthermore, the Force should ensure that where controls and other risk mitigation activities are inserted that these are reviewed to ensure their appropriateness.

Recommendation 5: The Force could consider introducing guidance for users of the JCAD system, which outlines a criterion for controls and risk mitigation activities.

Recommendation 6: The Force should ensure the meeting minutes for the Organisational Risk, Learning, Standards and Integrity Board are well documented, which demonstrate at the very least:

- The registers presented;
- The risks discussed; and
- The decisions reached / action plans devised.

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

- The PCC and Chief Constable's functions are set out in the Police Reform and Social Responsibility Act 2011. The functions are undertaken in line with the Policing Protocol Order 2011 to achieve the outcomes of the Police and Crime Plan.
- 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 JASP operates within the CIPFA guidance and in accordance with the Financial Management Code of Practice.
- A programme of internal audit is commissioned and undertaken which reflects published guidance and standards. This is available on the OPCC website.
- Progress reports against the Internal Audit Plan are submitted on a timely basis to the JASP along with the findings from audits completed to date.
- 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 Police and Crime Panel scrutinise the actions and decisions of the Police and Crime Commissioner and makes sure information is available for the public. The Force provides reports in accordance with the Police and Crime Panel work programme including specific focus on each of the seven Strategic Priority Themes included in the Police and Crime Plan.
- 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.
- 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 JASP on a quarterly basis.

- The Force has an established reporting procedure for our response to HMICFRS recommendations to be received by the NOPCC in line with the timescales dictated in the Police and Crime Bill.
- A policy and procedure framework is required to ensure that corporate documentation is reviewed on a timely basis; this is an area for improvement.
- Existing collaborations have an established supporting governance structure and formal Collaboration Agreements as per Section 22A of the Police Act 1996.
- Both the CC CFO and PCC CFO have applied the CIPFA guidance in relation to the Management Code of Practice. This assessment of compliance and sustainability has identified potential areas for improvement which will be implemented in 2021-22. When the methodology relating to sustainability has been defined for Policing we will undertake a review to ensure ongoing financial sustainability.

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

- All of the recommendations, and the areas for improvement, continue to be monitored by the ACC Local Policing and through the Custody HMICFRS Action Plan Review meeting, which is chaired by the DCC.
- 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. HMICFRS have confirmed that when the new custody suite is complete, they will undertake a further re-inspection.

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

- The Force has made significant improvements across all of the recommendations from the Crime Data Integrity Inspection 2018 and are monitored via the HMICFRS Portal.

2.10 COVID-19

Following the Government announcement on March 23 2020 and recommended social distancing guidance, the operational focus and working practices of the police have been significantly affected.

Nottinghamshire has maintained business continuity as far as possible, and in response to COVID-19, have implemented a number of measures to enable this.

These new ways of working have enabled delivery across our critical areas. The caveat on these measures is that whilst they are benefitting the organisation in the current crisis, further evaluation, wider risk management and consideration will be required as the Force looks towards the recovery stage and if these measures can continue to improve efficiency beyond the current crisis.

Measures that have been to support different ways of working have been demonstrated in the following areas:

- **Use of technology:** The force has been rolling out Microsoft Teams to enable conference facilities and meetings to continue to take place. We have also introduced Cisco Jabba, an internal interactive piece of software to allow greater communication across the organisation, reducing internal meetings and the requirement for attendees to travel. The greater use of technology has allowed home working for employees who have had to self-isolate. We have issued more laptops to staff enabling greater flexibility during lockdown. There is potential for the force to consider further agile working across the organisation to increase efficiency and reduce costs. This is of particular benefit to the Police travel plan outlined in the new joint Police and fire service headquarters plans.
- **Working with partners:** We have continued our partnership working through the use of technology. Microsoft Teams and other forums have enabled these meetings to continue and the Force is looking to use this means of communication as a permanent arrangement.
- **Policies/procedures:** In order to manage the challenges of the pandemic the Force reviewed a number of policies and procedures related to workforce wellbeing and amended these where appropriate.
- **Domestic Abuse Safe and Support:** Introduced in May 2020 to ensure that victims who declined to engage with partner agencies were still safe and well with access to any support they need during lockdown restrictions. This process ensured a consistent, transparent and auditable process of engaging with medium risk domestic abuse victims. Due to the success of this programme, it will continue post lockdown alongside the usual domestic abuse victim satisfaction surveys.
- **HMICFRS Policing in the Pandemic report:** The Force was inspected during 2020 on its response to Covid-19 and the thematic report was published in April 2021. Nottinghamshire Police is praised in the report for the use of VLOGs and the content about vulnerability to update staff and

officers about how to identify concerns. The report also highlights the Force's redeployment of staff from other safeguarding teams to add to our online paedophile investigation capabilities.

- **Operation Bion Gold Group:** A Gold group is chaired by the ACC Local Policing on a weekly basis to monitor the Force response to the pandemic. Departmental Heads provide updates on their areas of business in this context and business continuity testing and planning are discussed. Updates are also reported from the Strategic Coordinating Group (SCG) and the Tactical Coordination Group (TCG). Emerging issues are also raised through this forum.

2.11 Brexit

- There are no significant risks or issues relating to Brexit for the organisation.

3.0 Chief Finance Officer Role

- As a key member of the leadership team, the Chief Finance Officer (CFO) helps to develop and implement strategy and resource and deliver the PCC's strategic objectives sustainably and in the public interest.
- 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 encourage the promotion and delivery of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively.
- The CFO and Chief Constable agree the Force's risk based Internal Audit Annual Plan for delivery each year and this is presented to the Joint Audit and Scrutiny Panel 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 KPMG 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.
- With effect from 1st January 2021 a new role of Head of Finance has been created to assist the CFO in the delivery of their duties. This role also acts as deputy to the CFO.

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 Joint Audit and Scrutiny Panel, on a quarterly basis.

From the Internal Audit work undertaken in compliance with the Public Sector Internal Audit Standards (PSIAS) for the year ending 31st March 2021, our overall opinion is that generally effective processes are in place for Core Financials, Balance Transfers, Business Continuity, Data Quality, GDPR, Performance Management and Programme Management. We have, however, identified weaknesses in respect of Archives and Exhibits, Payroll, Wellbeing, Information Assurance and Risk Management that require addressing.

We have also undertaken an assessment against the Financial Management Code of Practice, identified areas for improvement and will review sustainability in line with the CIPFA model.

5.0 Improvement actions

The review process to support the production of the Annual Governance Statement in 2018/19 identified a number of 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.

Areas for improvement 2019/20

URN	Identified improvement action(s):	Update	Lead Officer
1.0	Undertake a full review to address the concerns and recommendations from the HM Inspectorate of Constabulary and Fire and Rescue Services Integrated Peel Inspection 2018	Cause of Concerns and Areas for Improvement continue to be addressed. The force is due a further inspection in 2020 to ensure all work is complete	Various
2.0	Undertake a full review to address the concerns and recommendations from the HM Inspectorate of Prisons and HM Inspectorate of Constabulary and Fire and Rescue Services (Section 2.8)	All actions have been addressed and the force was revisited by HM Inspectorate of Prisons and HM Inspectorate of Constabulary and Fire and Rescue Services in November 2019. The force was found to have made significant progress.	Chief Inspector Justine Wilson
3.0	Develop a plan to ensure there is improved understanding and use by its officers and staff of the N100 classification, for those reports of rape which are not immediately recorded as a crime; and improve how it collects diversity information from victims of crime and how it uses this to comply with its equality duty (Section 2.9).	All actions have been addressed and additional training given by the Force Crime Registrar. The force has taken a view it complies with its equality duty and, to collect further diversity information, would not be in compliance with GDPR.	Paul Cook, Force Crime Registrar

Internal Audit Annual Assurance 2020-21 Report – Areas of Limited Assurance

Limited Assurance	Lead Officer
1. Archives and Exhibits	Chief Superintendent Ian Roberts
2. Information Assurance	Chief Superintendent Ian Roberts
3. Risk Management	Chief Superintendent Ian Roberts
4. Wellbeing	Claire Salter

Nottinghamshire Police was inspected by HMICFRS during 2020/21 in the following areas:

Inspection Area	Type of Inspection	Outcome
Response to COVID-19	Force inspection	Awaiting report. Anticipated early 2021.
Fraud	Thematic inspection	Awaiting report. Anticipated June 2021.
Neurodiversity	CJS Prison, Probation, and Police	Awaiting report.

Signed

Signed

Date

Date

Craig Guildford
Chief ConstableMark Kimberley
Chief Financial Officer



Draft Statement of Accounts 2020-21

Nottinghamshire Police & Crime Commissioner and Group





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**COMMISSIONER'S
FOREWORD**

Every neighbourhood deserves a fully-resourced policing team. Nottinghamshire's frontline has grown significantly over the past 12 months and we've been able to increase visibility in our communities in the way people so desperately want.

By the end of March 2021, we will have an extra 300 police officers working in our communities, recruited as part of my recent budget and the national uplift. Almost 150 of these have already been appointed and many have been deployed across our communities. The exceptional speed at which the Force has bolstered the ranks has been nothing short of remarkable and has put Nottinghamshire out in front nationally.

Since I've been doing this job, increasing police visibility has been a top priority. It means we can do so much more to keep people safe and I'm really proud of the efforts we've taken to make it possible. I know our communities will really appreciate the extra reassurance and expertise they will bring.

Of course, accessibility isn't just about having more police officers on the street. We've also expanded the ways people can reach the police and seek help, working with our partners to create multiagency hubs like the Customer Service Centre in West Bridgford which offers a multitude of services from one place.

We continue to build an organisation that remains resilient and well-prepared to meet the challenges of today. This means putting our

resources in the best place to maximise public safety and drawing on the strengths of our partners.

In the past year, we established the new tri-base in Hucknall, accommodating officers from Nottinghamshire Police, the Fire & Rescue Service and the East Midlands Ambulance Service (EMAS). The new shared base, within the existing ambulance station at Annesley Road, is the first of its kind in Nottinghamshire. It keeps neighbourhood officers, response teams and CID officers in the heart of the community and allows them to work collaboratively where it makes sense.

A few years ago, we invested in the launch of a specialist knife crime team adopting the robust techniques of Operation Sceptre nationally, utilising targeted stop and search, test purchase operations, knife amnesties, weapon sweeps and intelligence-led activity in hotspots. We also created a new robbery team which is better equipped to investigate robberies.

Now, we are one of few forces in the country to buck the rising trend in knife crime, recently recording a reduction of 8.4% across the county and an 18% drop in the city. This compares to a national increase of 7% and an East Midlands increase of 16% in the year to September 2019.

The results spring from real partnership work with colleagues in councils, education and health and I do not underestimate the value of

supportive parents, young people themselves and the voluntary sector. Fighting knife crime remains a real team effort and I think in Nottinghamshire we do this very well.

We now have the added benefit of the Violence Reduction Unit (VRU) in place, bringing together a whole host of experts and justice professionals to prevent violence and knife crime in Nottinghamshire. The VRU has the funds to get to the root of problems and is already supporting a number of innovative projects involving those at high risk of being harmed or causing harm through violence.

All these efforts appear to be working but we will never become complacent. There is so much more to do and with the planned reinforcements ahead we can start to build on the good work already underway.

**Nottinghamshire Police and Crime
Commissioner**



**WRITTEN STATEMENT AND
CHIEF FINANCE OFFICER'S
NARRATIVE REPORT**

NOTTINGHAMSHIRE

Nottinghamshire is a diverse county. It has a mixture of affluent communities and those developing from being former mining areas. The County's major urban area of the City and surrounding conurbation is mainly in the south with the majority of the north and east of the County being rural.

There is a population of approximately 1.1m within the City and County.

The majority of properties across the City and County fall within Council Tax bands of A and B.

Nottinghamshire is one of five regional forces in the East Midlands and works closely with the other four to provide a seamless and efficient service.

Nottinghamshire also collaborates with other forces for the provision of transactional services relating to Human Resources, Payroll and Finance.

Central Government funding provides the Commissioner with approximately 66% of the funding required to police Nottinghamshire. The remainder is met from local council tax payers.

For 2020-21 the Government Grant was maintained at £146.1m. This includes an increase in core grant for the main streaming of additional officers recruited as part of the national uplift.

For 2020-21 precept freedoms to raise council tax by £10pa (Band D equivalent) were given.

The Force still needed to achieve savings of £2.0m to balance the budget. Whilst those efficiencies have been met other costs have been incurred resulting in an overspend position of

The impact of the COVID 19 Pandemic is reflected in the Statement of Accounts for 2020-21 and will continue to impact in 2021-22. However, to date the impact has not been as severe on the police budget as initially anticipated.

The impact of Brexit has yet to be felt and could also impact on future financial statements and public sector funding.

GOVERNANCE

The Commissioner is responsible for the totality of policing within the policing area; with operational policing being the responsibility of the Chief Constable.

The Commissioner is also responsible for ensuring that public money is safeguarded, properly accounted for and used economically, efficiently and effectively. To discharge this accountability the Commissioner and senior officers must put in place proper procedures for the governance and stewardship of the resources at their disposal.

The annual review of Governance and Internal Control is included within the arrangements for producing the Annual Governance Statement. This also includes the governance arrangements of the Chief Constable.

PRIORITIES

Protecting People from Harm

Helping and Supporting Victims

Tackling Crime and Antisocial
Behaviour

Transforming Services and
Delivering Quality Policing

PERFORMANCE

Achievements 2020-21

During 2020-1 the PCC continued to fund safe and effective victim support services. He further developed sexual violence support during the year, with specific action including:

- Leading local discussions with clinical commissioning groups and the City and County Councils to ensure safe and effective sexual violence therapeutic support. This resulted in agreement of nearly £1m pa for new support.
- Leading work with survivors to co-produce a new therapeutic support service.
- Leading the co-commissioning of a new sexual violence hub and therapy service with Bassetlaw Clinical Commissioning Group, Nottingham and Nottinghamshire Clinical Commissioning Group, Nottingham City Council and Nottinghamshire County Council. The new service began operating on 2 January 2021.
- During 2020 the PCC extended his contracts for Victim CARE and both sexual assault referral centres (SARCs). Victim CARE will be recommissioned during 2021 and the SARCs during 2022. The PCC also extended his pilot of non domestic stalking, as the service was heavily impacted by the Covid pandemic.
- The PCC also maintained his financial investment into outcomes focussed domestic abuse support services and has

agreed to fund a new pilot domestic abuse car initiative which will begin in April 2021

- The PCC continued to work with local authorities to ensure that high quality substance misuse support has been provided to offenders in the criminal justice system.
- The Covid pandemic and the measures taken to slow its spread presented a variety of complex challenges for all victim support services, particularly domestic abuse. Necessary lockdowns and other restrictions are widely considered to have exacerbated and escalated the risk of domestic abuse in some situations. In addition, the PCC's Independent Sexual Violence Adviser (ISVA) services have faced increased demand from survivors whose court cases are being substantially delayed.
- The PCC worked closely with local authorities to ensure that all PCC commissioned victim support services responded quickly and well to the Covid pandemic. Support services (with the exception of sexual assault referral centres) were swiftly adapted to telephone and online support. Sexual assault referral centres adapted services and have remained fully open during Covid. Some victim support

initiatives (for example group programmes) were put on hold, however the vast majority of victims have continued to access support remotely. Support services incurred additional costs in equipping staff and adapting services to work remotely and in meeting additional and changed demand. To help services manage, the PCC successfully secured £954,429 of Ministry of Justice emergency Covid funding for both commissioned and non-commissioned domestic and sexual violence support services. In addition, during 2020 the PCC secured £295,313 of new MoJ funding for 3.5 full time equivalent additional ISVAs for 2020-1 and 2021-2

- During 2020-1 the PCC's commissioned services supported over 6,000 victims in the Victim CARE service, over 650 in ISVA services and over 3,000 in domestic abuse support services. In addition Victim CARE expanded its community points (local access points) to 41, supporting many of them with small grants.
- During 2020 the PCC developed, consulted on and published his Domestic Abuse Position Paper "Improving the response to domestic abuse in Nottinghamshire, a whole systems approach". The paper identifies 23 actions, all of which are either complete or at the expected progress point.
- In March 2020 the PCC developed, consulted on and published his Violence Against Women and Girls Strategy.

Achievements 2020-21

- The PCC has continued to fund work to manage domestic abuse perpetrators by funding Independent Domestic Violence Advisers to support the partners of offenders who are being managed through Nottinghamshire DVA Integrated Offender Management (IOM) scheme.
- In addition to the Domestic Abuse IOM Scheme, the PCC has begun expand the range of domestic abuse prevention activity in Nottinghamshire. He successfully secured just over £200k of funding from the Home Office to pilot the delivery of domestic abuse perpetrator programmes in Nottinghamshire. The programmes will run in 2021. They will be independently evaluated and contribute to the national evidence base.
- The PCC awarded just over £0.4m in small grants to 36 community organisations and charities as part of his 2020-21 joint Community Safety and Violence Reduction Unit Fund. The funding enabled third sector organisations to undertake a variety of project tackling pressing issues such as knife crime, domestic violence, serious violence, hate crime and sexual violence.
- The Nottingham and Nottinghamshire Violence Reduction Unit (VRU) received funding from the Home Office for the second year in 2020/21. Working in partnership with both local authorities, Nottinghamshire Police, health, education and the community sector, the role of the VRU is to lead and coordinate the response to serious violence by taking an early intervention, preventative approach, which is evidence and data led.
- Between April 2020 and December 2021 the VRU have supported 1547 young people at risk of being impacted by serious violence, through commissioned interventions. This has included targeted outreach, counselling and mentoring and diversionary activity, as well as reaching 142,181 through a commissioned social media campaign, which was co-produced with young people.
- Outcomes from participants have included increased access to pathways of support, reduced offending, improved emotional resilience, decreased substance misuse and readiness for education, training and employment. The team have also commissioned research and evaluation to increase the local and national evidence base around what works to prevent and reduce serious violence. Latest performance has shown a 14.4% decrease in serious violence offences from November 2019 to October 2020.

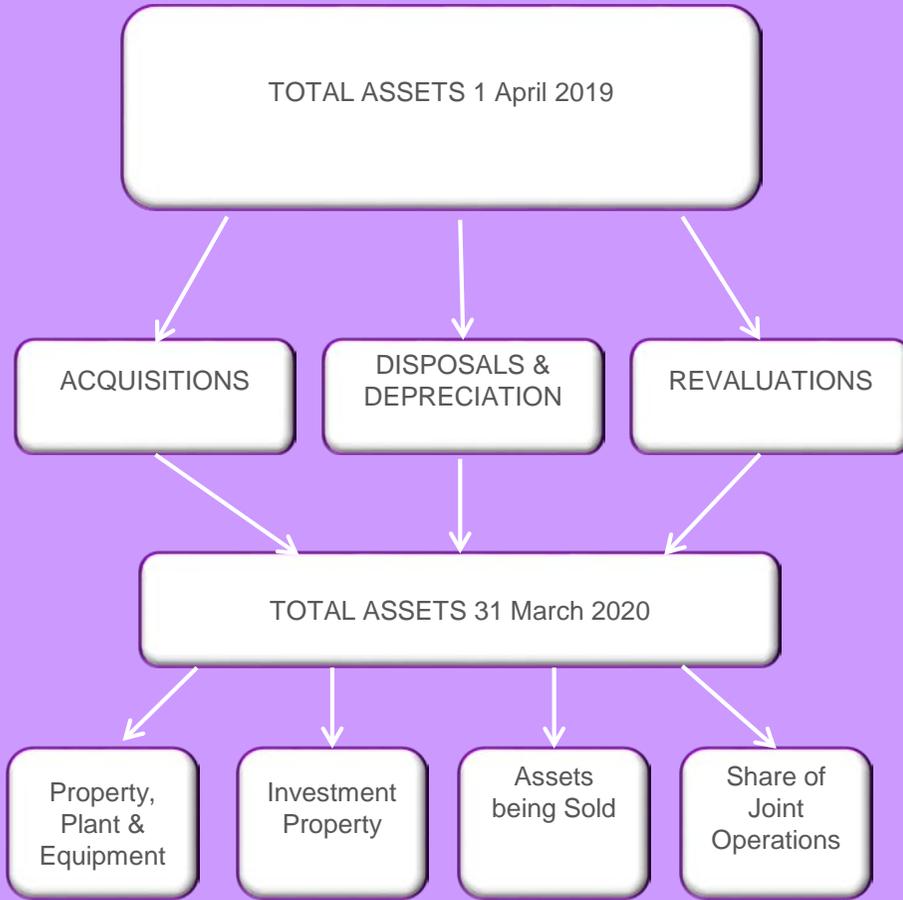
During the year overall crime reduced by

- 20.3% compared to no significant change in the previous year (-0.5%). The City saw a reduction of 24.0% and the County had a reduction of 17.5%.
- Victim based crime reduced by 22.6%.
- Some key performance successes include:
 - All theft offences down 31.2%
 - Vehicle crime down 36.2%
 - Burglary down 34.4%
 - Robbery down 35.9%
 - Violence against the person offences down 11.5%
 - Domestic crimes and incidents (non crime) down 7.9%
 - Hate crimes and incidents (non crime) down 4.9%
 - Sexual Offences down 23.3%
 - Arson and criminal damage down 17.7%
 - Possession of weapon offences down 16.3%
 - Public order offences down 7.5%

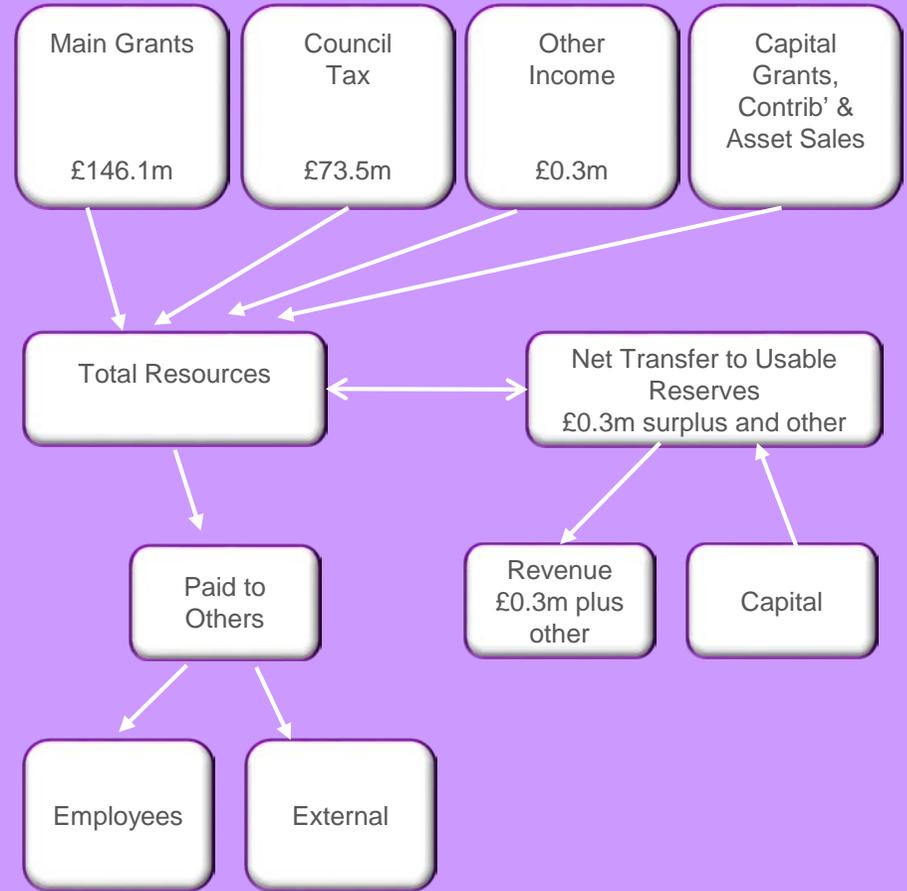
More information regarding performance can be found within the Annual Report published on the Commissioner's website.

Capital Cash Flows

Nottinghamshire is responsible for managing non-current assets and assets being sold in excess of



Revenue Cash Flows



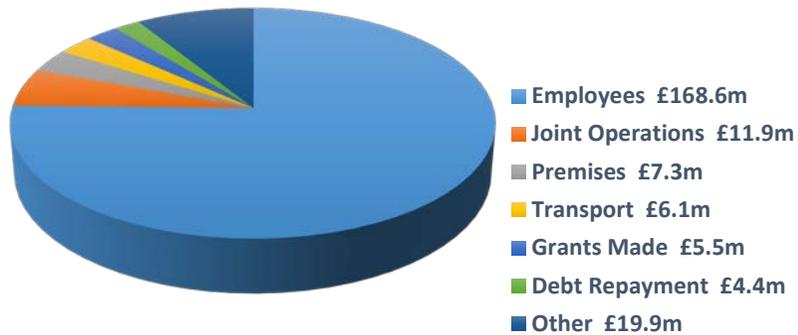
Active Treasury management of these cash flows involved of transactions in 2020-21

The revenue figures illustrated above do not include the adjustments made for IFRS or balances held in Joint Operations. These are included within the main financial statements which comply with the Accounting Code.

FINANCIAL PERFORMANCE (cont.)

Revenue Expenditure

Revenue Expenditure



Capital Expenditure

Capital Expenditure



Financed by:	£m
Police & Crime Grant	136.4
Legacy Grant	9.7
Precept	73.5
Other Income	0.3
Net Contribution to Reserves	(0.3)
	<hr/>
	223.9

The net difference between total expenditure and financing relates to Council Tax surplus transferred directly to reserves.

Financed by:	£m
Reserves	2.9
Capital Grants	0.3
Capital contributions	1.0
Capital receipts	2.9
Revenue Financing	10.2
External borrowing	13.0
	<hr/>
	30.3

Note: these revenue figures reflect the approved expenditure for the year. They do not include any adjustments required for IFRS as detailed within the financial statements.

FINANCIAL PERFORMANCE (cont.)

Capital Expenditure

Nottinghamshire continues to have an ambitious capital programme. The main areas of expenditure for the next few years are:

- New custody suite.
- New Joint HQ building with Fire.
- Maintaining the existing estate.
- Updating and replacing IT.
- Vehicle replacements.
- Exploring opportunities with the Fire Service and East Midlands Ambulance Service (EMAS).

There was some delay due to the pandemic affecting progress in 2020-21, but this was just a few weeks and is being caught up.

Provisions and Reserves

The Insurance Provision required additional contributions during the year to meet the cost of potential claims outstanding.

Reserves continue to be replenished to finance significant capital expenditure over the medium term.

At 31 March 2021	£m
TOTAL PROVISION	
TOTAL USABLE REVENUE RESERVES	
TOTAL USABLE CAPITAL RESERVES	

WHO WORKS FOR NOTTINGHAMSHIRE POLICE

Nottinghamshire Police (including the Office of the Police and Crime Commissioner) employs approximately 2,188 police officers, 164 PCSOs, 140 specials and 1,416 staff in full-time and part-time positions.

Overall Equality Characteristics

Gender	Headcount	Force %
Male	2,137	54.68%
Female	1,771	45.32%
Totals	3908	100.00%

Age Band	Headcount	%
25 and under	498	12.74%
26 to 40	1552	39.71%
41 to 55	1532	39.20%
Over 55	326	8.34%
Totals	3,908	100.00%

Self-Declared Disability	Headcount	%
Yes	151	3.86%
No or not specified	3757	96.14%
Totals	3908	100.00%

Ethnicity	Headcount	%
Asian or Asian British	138	3.53%
Black or Black British	46	1.18%
Mixed	75	1.92%
Other	1	0.03%
White	3622	92.68%
Not Stated	19	0.49%
Not known	7	0.18%

PRINCIPLE RISKS

A risk management strategy is in place to identify and evaluate risk. There are clearly defined steps to support better decision making through the understanding of risk, whether a positive opportunity or threat and the likely impact. The risk management processes are subject to regular review and updates. The key strategic notes are:

RISK	IMPACT	MITIGATION
Significant Incidents	Response to COVID 19 Pandemic. Detrimental impact of Brexit on public sector financing.	Additional funding provided by grant. Monitor national activity by the Government – consider lobbying through representative bodies.
Comprehensive Spending Review	Delay by a further year impacts on the total amount available for funding policing nationally.	The Commissioner is a lead for this work at a national level. The pandemic delay will be followed by a 3 year CSR
Funding Formula Review	Could result in either a positive or negative impact on the amount of police grant Nottinghamshire receives.	Proactive work by the Commissioner on the National Review Body.
Level of Reserves	Insufficient reserves to meet significant risks.	This continues to be managed within the resources available. The General Reserve will be reviewed fully in Summer 2021.
System Reviews	Within the next few years there will be need to change our Core Finance System providers.	This is being managed as a major project and a business case developed which includes a risk register.
Expansion of business to create LLPs Procurement LLP went live 1 st October 2020	Impact of this change on accounting treatment and accountability (e.g. Companies House and VAT implications).	Advice from consultants experienced in this field and specific advice from our tax advisors. This continues to be monitored.
Changes to Crime Types	The need for officers to be trained in new areas of growing crime such as on-line crime. Whilst continuing to manage traditional crime such as burglary.	Recruitment and training of officers with these skills.
Changes affecting the Pension Administration	The impact of McCloud	

Explanation of Accounting Statements	The Core Statements	The Supplementary Financial Statements
<p>The Statement of Accounts sets out the Group income and expenditure for the year and its financial position at 31 March 2021. It comprises core and supplementary statements, together with disclosure notes. The format and content of the financial statements is prescribed by the CIPFA Code of Practice on Local Authority Accountancy in the United Kingdom 2020-21; which in turn is underpinned by International Financial Reporting Standards.</p> <p>A new financial management code comes into effect on 1 April 2021. The 2020-21 financial year is a transition year to prepare for this.</p> <p>A Glossary of terms can be found at the end of this publication.</p>	<p>The Comprehensive Income and Expenditure Statement (CIES). This records all income and expenditure for the year. The top half of the statement includes policing activity. The bottom half of the statement deals with corporate transactions and funding. It includes actuarial valuations in accordance with the code.</p> <p>The Movement in Reserves Statement – is a summary of the changes to the Reserves during the course of the year. Reserves are divided into “useable”, which can be invested in capital projects or service improvements, and “unusable”, which must be set aside for specific accounting purposes.</p> <p>The Balance Sheet is a “snapshot” of the assets, liabilities, cash balances and reserves at the year-end date.</p> <p>The Cash Flow Statement – shows the reasons for changes in cash balances during the year, whether the change is due to operating activities, new investment or financing activities (such as the repayment of borrowing and other long term liabilities).</p>	<ul style="list-style-type: none"> • The Annual Governance Statement – this sets out the governance arrangements in place and the key internal controls. • The Pension Fund Account – these provide detail about the transactions in relation to the pension fund account for police officers. Details relating to the Local Government Pension Scheme for staff (including PCSO's) are provided in the notes to the accounts. • The Notes to the Accounts – these provide more detail about the accounting policies and individual transactions.

INDEPENDENT AUDITORS REPORT

To be added later in the year, please see the note on our website explaining the audit situation.



Independent auditor's report for the Police and Crime Commissioner for Nottinghamshire

The Responsibilities of the Commissioner

The Commissioner is required to:

- Make arrangements for the proper administration of the financial affairs for the group and to secure that one of his officers has the responsibility for the administration of those affairs, in line with statute this is the Section 151 Officer.
- Manage the groups affairs to secure economic efficient and effective use of resources and safeguard its assets.
- Approve the statement of accounts.
- Ensure that the Section 151 Officer is a key member of their strategic management team and is adequately resourced and trained to fulfil this role.

The Responsibilities of the Chief Finance Officer

The Section 151 Officer is responsible for the preparation of the Group Accounts. The statements are required by the CIPFA Code of Practice on Local Government accounting, to present fairly the financial position of the Group at the accounting date and the income and expenditure for the year then ended.

In preparing the Statement of Accounts the Section 151 Officer has:

- Selected suitable accounting policies and then applied them consistently except where policy changes have been noted in these accounts.
- Made judgements and estimates that were reasonable and prudent.
- Complied with the Code.
- Keeps up to date with professional development.

The Section 151 Officer has also:

- Kept proper accounting records which are up to date, and
- Taken reasonable steps for the prevention and detection of fraud and other irregularities.

Certification

I certify that in my opinion this Statement of Accounts present a true and fair view of the financial position of the Nottinghamshire Office of the Police and Crime Commissioner as at 31 March 2021 and its income and expenditure for the year ended 31 March 2021.

C Radford CPFA
Chief Finance Officer
Nottinghamshire Police and Crime
Commissioner
30 September 2020

Approval
The Statement of Accounts was
approved by the Joint Audit and Scrutiny
Panel on **TBC**

C Henry
Nottinghamshire Police & Crime
Commissioner
TBC

INTRODUCTION

Police and Crime Commissioner are designated as Local Authority for accounting purposes. As such they are required to annually review the Governance procedures in place for the Office of the Police and Crime Commissioner and the Group.

The preparation and production of the Annual Governance Statement is in accordance with the CIPFA/SoLACE Delivering Good Governance in Local Government Framework (the Framework). This Framework requires Commissioners to be responsible for ensuring that:

- Their business is conducted in accordance with all relevant laws and regulations
- Public money is safeguarded and properly accounted for
- Resources have been used economically, efficiently and effectively to achieve agreed priorities within the Police & Crime Plan

The Framework also expects that the Commissioners will put in place proper arrangements for the governance of their affairs, which facilitate the effective exercise of functions and ensure that the responsibilities set out above are being met.

The Commissioner is compliant with the CIPFA Statement on the Role of the Chief Finance Officer (particularly relating to Policing).

KEY ELEMENTS OF THE COMMISSIONER’S GOVERNANCE FRAMEWORK

Police & Crime Plan

- Sets the priorities for policing
- Sets the priorities for supporting victims
- Sets direction for the use of resources and commissioning

Scrutiny & Review

- Public meetings – Strategic Resources and Performance to hold the Chief Constable to account
- Joint Audit & Scrutiny Panel – to challenge and review the governance and actions of the OPCC and Force
- Public Consultation, Stakeholder events and surveys – to seek public opinion on priorities, police activity and the budget

Police & Crime Panel

- Formalise the appointment of the Commissioner and Deputy Commissioner
- Independent body to review decisions of the Commissioner
- Challenge and support the aims of the Police & Crime Plan
- Review and agree the proposed level of precept
- Agree the appointment of the Chief Constable

Decision making

- Public meetings recorded
- Decision records published on the Commissioner’s website
- Risk management reported to Audit & Scrutiny Panel regularly

Effective Management Team

- Chief Executive is the Monitoring Officer responsible for governance
- Chief Finance Officer is the Section 151 Officer responsible for safeguarding the financial position of the group

Governance during Covid 19

During 2020-21 we needed to work differently, but still remain effective and legally compliant. Therefore, our governance meetings went online and were supported by our decision record process. Claim forms, contracts and returns requiring signature were checked and use of electronic signature approved where the signatories were working from home. This ensured timely decision making and business as usual during the year.

HOW WE COMPLY WITH THE CIPFA SOLACE FRAMEWORK	PRINCIPLE A Behaving with integrity, demonstrating strong commitment to ethical values and respecting the law.	PRINCIPLE B Ensuring openness and comprehensive stakeholder engagement
<p>The Commissioner has approved and adopted:</p> <ul style="list-style-type: none"> • Code of Corporate Governance • The requirements of the CIPFA/SoLACE Framework: Delivering Good Governance in Local Government Framework • A number of specific strategies and processes for strengthening corporate governance <p>Set out below is how the Commissioner has complied with the seven principles set out in the CIPFA/SoLACE Framework during 2020-21.</p>	<p>The Commissioner has endorsed the Code of Corporate Governance, which provides guidance on expected standards of behaviours to ensure integrity.</p> <p>The Commissioner has approved the Anti-Fraud, Bribery and Corruption policies. The Audit and Scrutiny Panel receives reports on how these arrangements have been applied during the year. There is a Whistle Blowing policy in place, which together with declaration of interests from the Commissioner, staff and police officers, ensures ethical standards are being monitored and adhered to. Any whistle blowing activities notified are investigated by the Professional Standards Directorate and appropriate action is taken.</p> <p>The Section 151 Officer and Monitoring Officer have specific responsibility for ensuring legality, for investigating any suspected instances of failure to comply with legal requirements, and for reporting any such instances to the Commissioner and Audit and Scrutiny Panel or Police and Crime Panel.</p>	<p>All meetings of the Joint Audit and Scrutiny Panel, Strategic Resources and Performance Panel, and the Police and Crime Panel, are open to the public. Papers, reports and decisions made by the Commissioner, are published on the Commissioners website together with consultation and public surveys.</p> <p>The Commissioner has a public engagement consultation strategy which sets out how we engage with stakeholders, partners and the public, through a combination of collaborative working, representation on boards, stakeholder consultation meetings and attendance at public community events.</p> <p>During the pandemic, public engagement continued wherever possible. Meetings such as the Police and Crime Panel were recorded and put on-line. Surveys continued to gauge public opinion.</p>

PRINCIPLE C**Defining outcomes in terms of sustainable, economic, social and environmental outcomes**

The Police and Crime Commissioner publishes a four year Police and Crime Plan, which is refreshed annually. This is informed by the Strategic Policing Requirement, strategic assessments of the Force and local partners combining into the Police and Crimes Needs assessment, and is reflective of emerging priorities for policing in Nottinghamshire.

This plan is used to direct the resources of the Commissioner and Chief Constable. It informs the revenue budget on where resources are most needed and the capital investment programme to identify the priority needs for investment.

The capital investment must meet the requirements of the prudential code in that they must be affordable. There are regular reports in compliance with the code during the year.

The Commissioner has also invested in environmental outcomes by making funding available for electric cars and bicycles. He also ensures that new buildings are as efficient as possible.

PRINCIPLE D**Determining the intervention necessary to optimise the achievement of intended outcomes**

All new areas of business require a formal business case to be submitted. These business cases go through an internal approval process within the Force before sign off by the Chief Constable or Commissioner depending on the value or public interest.

The same is true of business cases relating to Regional collaborations. The approval process is slightly different in that groups of officers form layers of approval (e.g. Operation Group, Deputy Chief Constable Board, Chief Finance Officer Board, Chief Constable Board and Police and Crime Commissioner Board). The end result is the same with the Police and Crime Commissioners signing off the final business cases.

PRINCIPLE E**Developing capacity and capability**

The Commissioner and Chief Constable have taken full advantage of the funding made available to uplift the number of Police Officers. The Chief Constable has ensured that recruitment is ahead of schedule.

he Force works closely with the College of Policing to ensure we maximise our investment in officers and staff.

This now includes the apprenticeship scheme for new recruits and further development of officers aspiring into senior ranks.

Nottinghamshire is the first force to recruit new officers on the national apprenticeship scheme.

Internally, the Force and OPCC are identifying posts within the staffing structures that could be provided through the apprenticeship scheme.

We have worked with local authority partners in the training and development of CIPFA qualified staff and will continue to identify other joint training schemes wherever possible.

PRINCIPLE F**Managing risks and performance**

The Force continues to ensure compliance with the National Crime Recording Standard (NCRS) and has a dedicated Force Crime Registrar who monitors performance and reports progress to the Crime & Data Quality Board chaired by an Assistant Chief Constable.

End of year performance is estimated to be 94% compliance against the NCRS standard which could merit a Good grade if assessed by HMICFRS.

Performance is monitored against a comprehensive Police and Crime Performance Framework and risks identified in the bimonthly Performance and Insight Report. The OPCC is represented at the Force Performance Board where risks are reviewed and mitigation activity undertaken.

The joint PCC and Force Risk Management Strategy details how corporate risks are managed and mitigated. In addition, the independent Joint Audit and Scrutiny Panel receives a copy of the Force and PCC Strategic Risk Progress Report every six months, as per the Policy.

There are joint policies in place for risk management, anti-fraud, corruption and bribery and together with the financial regulations set out expected processes and internal controls.

We have a regional contract for the provision of Internal Audit. The Internal Audit team regularly provides reports on the effective operation of control and an annual report of the overall control environment.

Lessons are learnt across forces through this shared contract.

The Professional Standards Directorate provides reports on actions within the disciplinary process and on lessons learnt nationally from the IPCC.

An external community panel is being set up to review discrimination complaints, use of force and stop and search.

All recommendations from external and internal reviews (e.g. Audit and HMICFRS) are collated, reviewed and regularly reported on.

PRINCIPLE G**Implementing good practices in transparency, reporting and accountability**

All decisions of the Commissioner are published on the website, together with any supporting information to explain why any particular option was taken.

The Police and Crime plan together with financial strategies and internal policies are also published and reviewed regularly.

Reporting of performance both operational and financial is undertaken on a regular basis. The Commissioner meets with the Chief Constable on a weekly basis to challenge where the performance is slipping.

The Police and Crime Panel meet regularly to hold the Commissioner to account for the decisions being taken. The minutes of this public meeting are published on the County Council website.

Both the CC CFO and PCC CFO have applied the CIPFA guidance in relation to the Management Code of Practice. This assessment of compliance and sustainability has identified potential areas for improvement which will be implemented in 2021-22. When the methodology relating to sustainability has been defined for Policing we will undertake a review to ensure ongoing financial sustainability.

REVIEW OF EFFECTIVENESS

The Commissioner uses a number of ways to review and assess the effectiveness of its governance arrangements, as set out below:

Assurance from Internal Audit

One of the key assurance statements that the Commissioner receives is the annual audit report and opinion of the Head of Internal Audit.

During 2020-21, 18 areas, including collaboration areas, were reported on. Of which three were given substantial assurance and eight were deemed to be satisfactory (65% of local recommendations and 100% of regional recommendations).

During 2020-21 all Key Financial systems were audited and considered satisfactory, with the exception of Payroll which was given limited assurance. This will be followed up in 2020-21.

6 out of 12 other audits were also issued with limited assurance. These were: OPCC Business Continuity, Custody Arrangements, OPCC Supplier, Information Assurance, Force Management of MFSS and Health and Safety follow-up. These will be followed-up in 2020-21.

Assurance from External Audit

The External Auditor, Ernst & Young, provides assurance on the accuracy of the year-end Statement of Accounts and the overall adequacy of arrangements for securing value for money.

The Annual Governance report (ISA 260) will be issued to the Audit and Scrutiny Panel with the final statements including this Annual Governance Statement.

Self-Assessment and Review of Key Performance Indicators

The Chief Executive and Chief Finance Officer of the OPCC have undertaken a review to confirm that the arrangements described above have been in place throughout the year. Assurance questionnaires have been completed and signed to provide confirmation that Codes of Conduct, Financial Regulations and other

corporate governance processes, have been operating as intended throughout the year so far as they are aware.

A number of key outcome indicators exist to assess the quality of governance arrangements. Performance is set out below:

Governance Issues Identified	Performance Indicator
Formal Reports Issued by the Section 151 or Monitoring Officer	None issued
Outcomes from Monitoring Officer's Investigations	None 2020-21
Proven frauds by members of staff or officers	None
Objections received from local electors	None
Ombudsman referrals upheld exceed national averages	None identified 2020-21
Limited assurance from Internal Audit Reports	4 out of 11 Internal Audit reports were issued with limited assurance
ISA 260 2018-19 issues identified	Please refer to Chief Constable's Annual Governance Statement for full details
Follow-up of issues identified in 2018-19	
Issues identified:	Action taken:
Levels of Reserves were considered to be low, but compared with the previous year this was improving significantly.	This remains a pressure and risk. Although significantly better than previous years. Reserves are now being generated to finance major capital spend to reduce the impact on future revenue budgets. A full review of the General Reserve is planned for 2021.
Internal Audit – limited assurance on Key Financial Systems.	The key financial systems- the payroll was given limited assurance in 2019-20. this was followed up in 2020-21 and was given substantial assurance. Of the six other audits in 2019-20 Information Assurance was followed up in 2020-21 progress had been made, but remains with a limited assurance opinion. Four were not followed up in 2020-21: Custody Arrangements is monitored through the 'tracker; and relates to an HMICFS recommendation OPCC supplies was a one off informing an OPCC decision at that time Force Management of MFSS has transformed into advisory work on move to new system Health and Safety follow up will be in 2021-22. The OPCC Business continuity plan was completely refreshed in 202-21 and will be followed up in 2022-23. the previously outstanding follow up audits for 2018-19 are complete. GDOPR was found to be satisfactory and seized property was given no assurance,
VFM Qualification of MFSS	This continues to be a challenge and this service will be brought in house for the 2022-23 financial year.
HMCFRS "requires improvement"	This relates to data integrity and Police Custody. Further details can be found in the Chief Constables AGS and reports to Audit and Scrutiny Panel.
Economic Outlook.	The pandemic and to a lesser extent Brexit have had a significant impact on national funding. It will take years for the additional national borrowing to be replaced. This will impact the funding available for the public sector and the NHS will be the priority. We will continue to monitor and make representation on this at a national level. The continuous delay in the next CSR and Funding Formula Review provides ongoing uncertainty over the future financial health. However, the additional funding for 20,000 police officers nationally is positive.

REVIEW OF EFFECTIVENESS – Response to COVID19

The COVID 19 Pandemic took hold in March 2020 and therefore a review of Governance subsequent to this and into the 2021-22 financial year is set out below:

Governance Meetings

The usual Governance meetings have continued where possible. This has been through a variety of mediums. Initially telephone conferencing was used for Audit & Scrutiny Panel meetings, moving to Microsoft Teams meetings. The latter being the preferred option for all Governance meetings going forward. Public meetings have been recorded and uploaded to the websites.

This will continue to be monitored and where appropriate delegation to complete key tasks will be approved through the decision making process.

Risks continue to be monitored and managed including those specific to Covid-19.

Decision making

Decision making has continued in the usual way with meeting reports or decision records and all are published on the Commissioners website.

Sustainability

As mentioned previously, we have undertaken the assessment within the Financial Management Code of Practice, identified areas for improvement and will review sustainability in line with the CIPFA model.

Financial impact

There has been some financial impact mainly in relation to the purchase of PPE for staff and officer protection. This is now part of a national procurement process.

The Home Office requests monthly returns on expenditure relating to Covid-19 and it is expected that some grant will be made available.

As at 31 March 2021 Covid related expenditure submitted on claims Government totalled £ m.

During 2020-21 the Home Office and Ministry of Justice made several amounts of funding available. Most of this was passported to the third sector organisations we work closely with for protecting victims and reducing crime.

CONCLUSION

The Commissioner is satisfied that a sound system of Governance is in place. This includes the system of internal control which is a significant part of the governance framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness. However he remains committed to maintaining and wherever possible improving these arrangements, in particular by:

- Addressing the issues identified by internal audit as requiring improvement.
- Addressing the issues identified by HMICFRS as requiring improvement.
- Continued dialogue with the public through the Engagement Strategy and public meetings.
- Investigating efficiently and effectively all complaints that he receives.

SIGNED

Caroline Henry
Nottinghamshire Police and Crime Commissioner
TBC

Kevin Dennis
Chief Executive
TBC

Charlotte Radford CPFA
Chief Finance Officer
TBC

For Information / Consideration	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	May 2021
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Amanda Harlow
Agenda Item:	11

TREASURY MANAGEMENT YEAR END REPORT

1. Purpose of the Report

- 1.1 To provide members with details of compliance with the Treasury Management Strategy and prudential indicators for 2020-21.

2. Recommendations

- 2.1 Members are recommended to consider the report and the assurance it provides.

3. Reasons for Recommendations

- 3.1 This complies with good governance.

4. Summary of Key Points

- 4.1 The attached report details the Treasury Management activity for 2020-21 and how this compares with the approved treasury and prudential code indicators for the year.
- 4.2 Treasury Management is a significant activity within the finance function of the OPCC. It ensures that there are sufficient funds available to meet day to day expenditure such as paying creditors and salaries. It is also responsible for investing income from grants and precept to meet future expenditure requirements.
- 4.3 The Treasury Management Strategy is approved annually by the Police & Crime Commissioner and sets out the parameters within which the activity performs. The essential element of this is to protect the assets of the OPCC, with the ability to generate additional income secondary to this.
- 4.4 A key element to the performance of this activity is the completion of the capital programme. Unfortunately, capital projects by their nature are large and take time to complete as various factors can affect them (e.g. other partners involved in the project, planning permission, availability of staff). Any delay in capital

projects can impact on when payments are made and when borrowing is actually needed. COVID has had some impact in 2020-21, but major projects have continued and the delay on completion is minimal.

- 4.5 Income from investments in the money markets has remained static and low for quite some time. This will continue as austerity continues and market returns remain low. However, compared to market averages the returns made from investments are relatively high. And investments have only been made with those organisations with an approved rating.

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

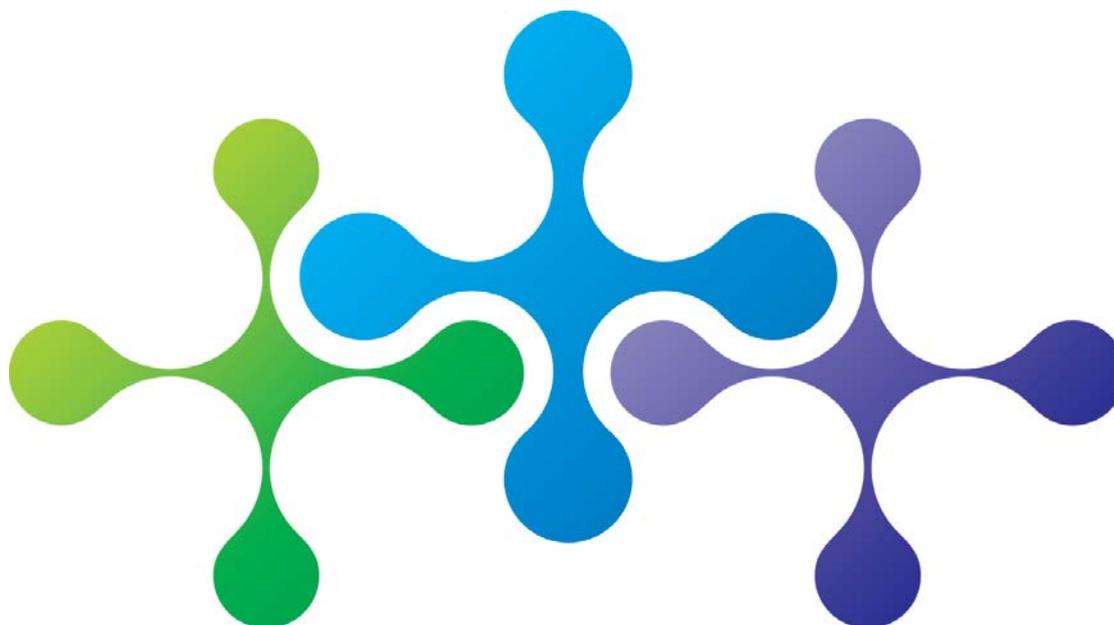
- 10.1 None

11. Details of outcome of consultation

- 11.1 Not applicable

12. Appendices

- 12.1 Appendix A – Treasury Management Report 2020-21



The Nottinghamshire Office of the Police & Crime Commissioner

Treasury Management Annual Review

2020-21

1. Introduction

The Nottinghamshire Office of the Police and Crime Commissioner is required by regulation issued under the Local Government Act 2003 to produce an annual treasury management review of activities and the actual prudential and treasury indicators for the year. This report meets the requirements of both the CIPFA Code of Practice on Treasury Management and the CIPFA Prudential Code for Capital Finance in Local Authorities.

During 2020-21 the minimum reporting requirements were that the Commissioner should receive the following reports:

- an Annual Treasury Strategy in advance of the year (February 2020)
- a Mid-year Treasury Update report (November 2020)
- an annual review following the end of the year describing the activity compared to the strategy (this report)

There is a continued requirement for scrutiny within the regulatory framework and this report is an important aspect including adherence to policies and performance against previously set indicators.

The Chief Financial Officer to the Commissioner also confirms that they have complied with the requirement under the Code to give prior scrutiny to all of the above treasury management reports prior to presentation. The Prudential Indicators for the year are attached as an addendum to this report.

2. Economic Background

The key quarterly Monetary Policy Report meeting of the Bank of England's Monetary Policy Committee kept Bank Rate and quantitative easing (QE) unchanged on 4th February, (as it also did at its 18th March meeting). However, it revised its economic forecasts to take account of a third national lockdown which started on 5th January, which is going to further delay economic recovery and do further damage to the economy. Although its short-term forecasts were cut for 2021 due to the start of a third lockdown in early January, the medium-term forecasts were more optimistic than in November, based on an assumption that the current lockdown will be gradually eased after Q1 as vaccines are gradually rolled out and life can then start to go back to some sort of normality.

COVID-19 vaccines. These have been the game changer which have enormously boosted confidence that life in the UK could largely return to normal during the second half of 2021 after a third wave of the virus threatened to overwhelm hospitals around the start of the year. With the household saving rate having been exceptionally high since the first lockdown in March 2020, there is plenty of pent-up demand and purchasing power stored up for services in the still-depressed sectors like restaurants, travel and hotels. The UK has made fast progress with giving a first job to half of all adults and this programme should be completed in the second half of the year. The big question is whether mutations of the virus could develop which render current vaccines ineffective, as opposed to how quickly can vaccines be modified to deal with them and enhanced testing programmes be implemented to contain their spread.

The Budget on 3rd March increased fiscal support to the economy and employment during 2021 and 2022 followed by substantial tax rises in the following three years to help to pay the cost for the pandemic. This will help further to strengthen the economic recovery from the pandemic and to return the government's finances to a balanced budget on a current expenditure and income basis in 2025-26. This will stop the Debt to GDP ratio rising further from 100%. An area of concern, though, is that the government's debt is now twice as sensitive to interest rate rises as before the pandemic due to QE operations substituting fixed long-term debt for floating rate debt; there is, therefore, much incentive for the Government to promote Bank Rate staying low e.g. by using fiscal policy in conjunction with the monetary policy action by the Bank of England to keep inflation from rising too high, and/or by amending the Bank's policy mandate to allow for a higher target for inflation.

Brexit. The final agreement on 24th December 2020 eliminated a significant downside risk for the UK economy. The initial agreement only covered trade so there is further work to be done on the services sector where temporary equivalence has been granted in both directions between the UK and EU; that now needs to be formalised on a permanent basis. There was much disruption to trade in January as form filling has proved to be a formidable barrier to trade. This appears to have eased somewhat since

then but is an area that needs further work to ease difficulties, which are still acute in some areas.

US. The Democrats won the presidential election in November 2020 and have control of both Congress and the Senate, although power is more limited in the latter. This enabled the Democrats to pass a \$1.9trn (8.8% of GDP) stimulus package in March on top of the \$900bn fiscal stimulus deal passed by Congress in late December. These, together with the vaccine rollout proceeding swiftly to hit the target of giving a first jab to over half of the population within the President's first 100 days, will promote a rapid easing of restrictions and strong economic recovery during 2021. The Democrats are also planning to pass a \$2trn fiscal stimulus package aimed at renewing infrastructure over the next decade. Although this package is longer-term, if passed, it would also help economic recovery in the near-term.

EU. Both the roll out and take up of vaccines has been disappointingly slow in the EU, at a time when many countries are experiencing a sharp rise in cases which are threatening to overwhelm hospitals in some major countries; this has led to renewed severe restrictions or lockdowns during March. This will inevitably put back economic recovery after the economy had staged a rapid rebound from the first lockdowns in Q3 but contracted slightly in Q4 to end 2020 only 4.9% below its pre-pandemic level. Recovery will now be delayed until Q3 of 2021 and a return to pre-pandemic levels is expected in the second half of 2022.

China. After a concerted effort to get on top of the virus outbreak in Q1, economic recovery was strong in Q2 and then into Q3 and Q4; this has enabled China to recover all of the contraction in Q1. Policy makers have both quashed the virus and implemented a programme of monetary and fiscal support that has been particularly effective at stimulating short-term growth. After making a rapid recovery in 2020-21, growth is likely to be tepid in 2021-22.

Japan. A third round of fiscal stimulus in early December took total fresh fiscal spending in 2020 in response to the virus close to 12% of pre-virus GDP. That is huge by past standards, and one of the largest national fiscal responses. The budget deficit is now likely to reach 16% of GDP in 2020-21. Coupled with Japan's relative success in containing the virus without draconian measures so far, and the roll out of vaccines gathering momentum, the government's latest fiscal effort should help to ensure a strong recovery and to get back to pre-virus levels by Q3 2021 – around the same time as the US and much sooner than the Eurozone.

World growth. World growth was in recession in 2020. Inflation is unlikely to be a problem in most countries for some years due to the creation of excess production capacity and depressed demand caused by the coronavirus crisis.

Deglobalisation. Until recent years, world growth has been boosted by increasing globalisation i.e. countries specialising in producing goods and commodities in which

they have an economic advantage and which they then trade with the rest of the world. This has boosted worldwide productivity and growth, and, by lowering costs, has also depressed inflation. However, the rise of China as an economic superpower over the last 30 years, which now accounts for nearly 20% of total world GDP, has unbalanced the world economy. In March 2021, western democracies implemented limited sanctions against a few officials in charge of government policy on the Uighurs in Xinjiang; this led to a much bigger retaliation by China and is likely to mean that the China/EU investment deal then being negotiated, will be torn up. After the pandemic exposed how frail extended supply lines were around the world, both factors are now likely to lead to a sharp retrenchment of economies into two blocs of western democracies v. autocracies. It is, therefore, likely that we are heading into a period where there will be a reversal of world globalisation and a decoupling of western countries from dependence on China to supply products and vice versa. This is likely to reduce world growth rates.

Central banks' monetary policy. During the pandemic, the governments of western countries have provided massive fiscal support to their economies which has resulted in a big increase in total government debt in each country. It is therefore very important that bond yields stay low while debt to GDP ratios slowly subside under the impact of economic growth. This provides governments with a good reason to amend the mandates given to central banks to allow higher average levels of inflation than we have generally seen over the last couple of decades. Both the Fed and Bank of England have already changed their policy towards implementing their existing mandates on inflation, (and full employment), to hitting an average level of inflation. Greater emphasis could also be placed on hitting subsidiary targets e.g. full employment before raising rates. Higher average rates of inflation would also help to erode the real value of government debt more quickly.

3. Overall Treasury Position as at 31 March 2021

Commissioner's treasury position in comparison to the previous financial year:

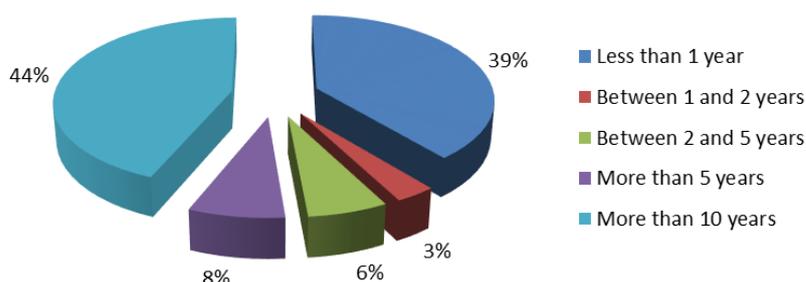
	31-03-20 £m	31-03-21 £m
Total Capital Debt	59.4	58.8
Capital Financing Requirement	70.2	79.8
Over/-Under borrowing	-10.8	-21.0
Total Investments	45.1	54.5
Net Capital Debt	14.3	4.3

4. Strategy - 2020-21

The Commissioner had maintained an under borrowed position throughout the year until March; meaning that the capital borrowing need (the Capital Financing Requirement) had not been fully funded through external borrowing, with reserve balances being utilised to finance the capital spend. This is a pragmatic and cautious approach at a time of high risk coupled with low return on investments. The CFO to the Commissioner has carefully monitored this situation, whereby investments continue to receive low returns compared to borrowing rates. The primary focus for investments continues to be security and liquidity over return.

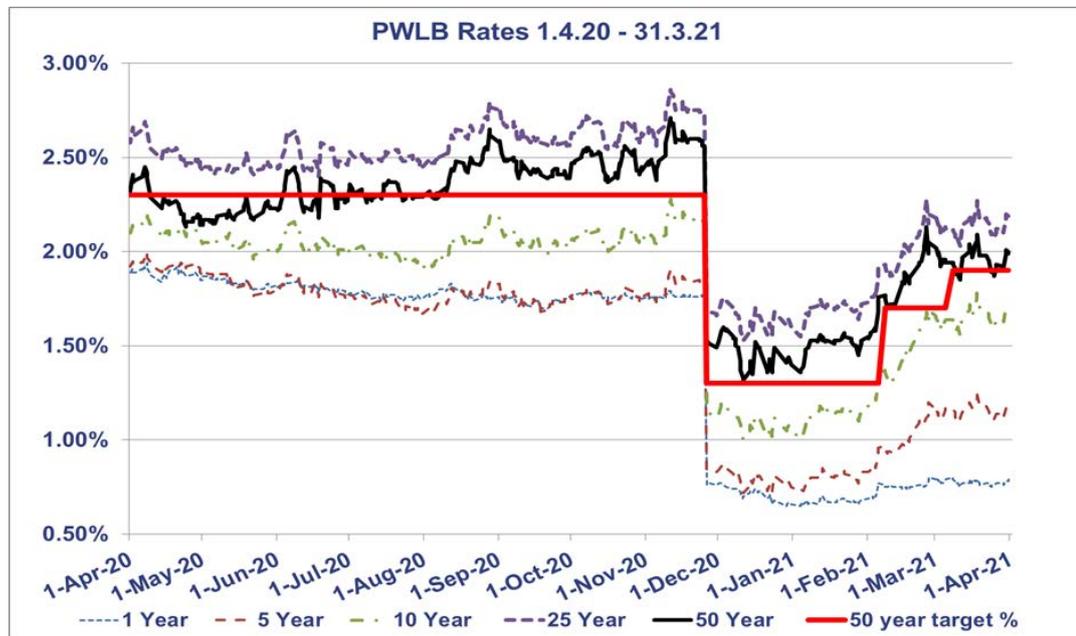
Short term borrowing from local authorities was utilised to maintain cash flow liquidity and fund short life asset purchases within the capital programme.

The borrowing maturity at the end of the year is illustrated below:



5. Borrowing Rates - 2020-21

The graph below shows PWLB maturity certainty rates throughout the year. The 50 year PWLB target certainty rate for new long-term borrowing was unchanged at 2.30% all year until the margin change on 25th November 2020 when it fell to 1.30%. It then rose to 1.70% in February 2021 and to 1.90% in March.



6. Borrowing Activity - 2020-21

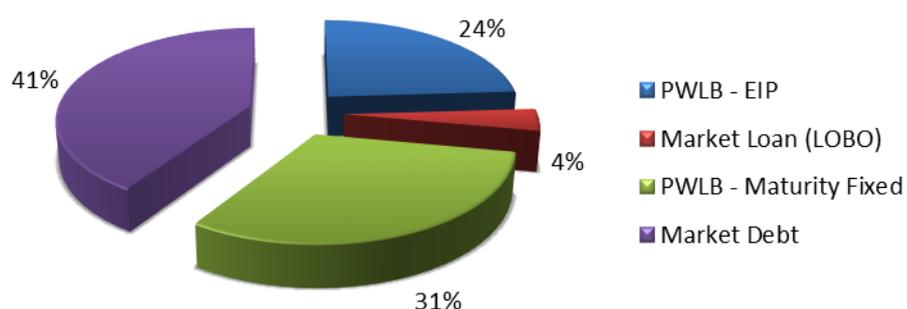
As per the Treasury Management Strategy up to £18.065m borrowing was authorised for the year, with £13m actually being borrowed. This includes borrowing in advance of need (£10m) which was undertaken in March 2020, when due to the coronavirus outbreak borrowing rates fell to a point where it was considered optimal to do so in order to finance capital expenditure which would be incurred within the time frame of the forward approved Capital Financing Requirement estimates. In taking this decision, careful consideration of achieving best value, the risk of having to borrow at higher rates at a later date, the carrying cost of the difference between interest paid on such debt and interest received from investing funds which would be surplus until used, and that the security of such funds placed on temporary investment could be ensured.

The budget for interest was £1.926m and savings of £0.074m were possible due to borrowing being available at a lower rate than initially estimated. Short term borrowing for cashflow purposes was obtained at the best rate available. There has been no opportunity for rescheduling debt for more advantageous rates during the year, although this has been considered on a regular basis.

The summary of borrowing activity is as follows:

	Position @ 01-04-20 £	Loans taken £	Loans repaid £	Position @ 31-03-21 £
<u>Long Term Borrowing</u>				
PWLB	53,894,681	0	(3,557,396)	50,337,285
LOBO	3,500,000	0	0	3,500,000
Local Authorities	2,000,000	3,000,000	0	5,000,000
Total Long Term Borrowing	59,394,681	3,000,000	(3,557,396)	58,837,285
<u>Temporary Borrowing</u>				
Local Authorities	10,000,000	93,500,000	(71,500,000)	32,000,000
Banks & Other Institutions	0	0	0	0
Total Temporary Borrowing	10,000,000	93,500,000	(71,500,000)	32,000,000
Total Borrowing	69,394,681	96,500,000	(75,057,396)	90,837,285

The borrowing (by loan type) at the end of the year is illustrated in the following pie chart:

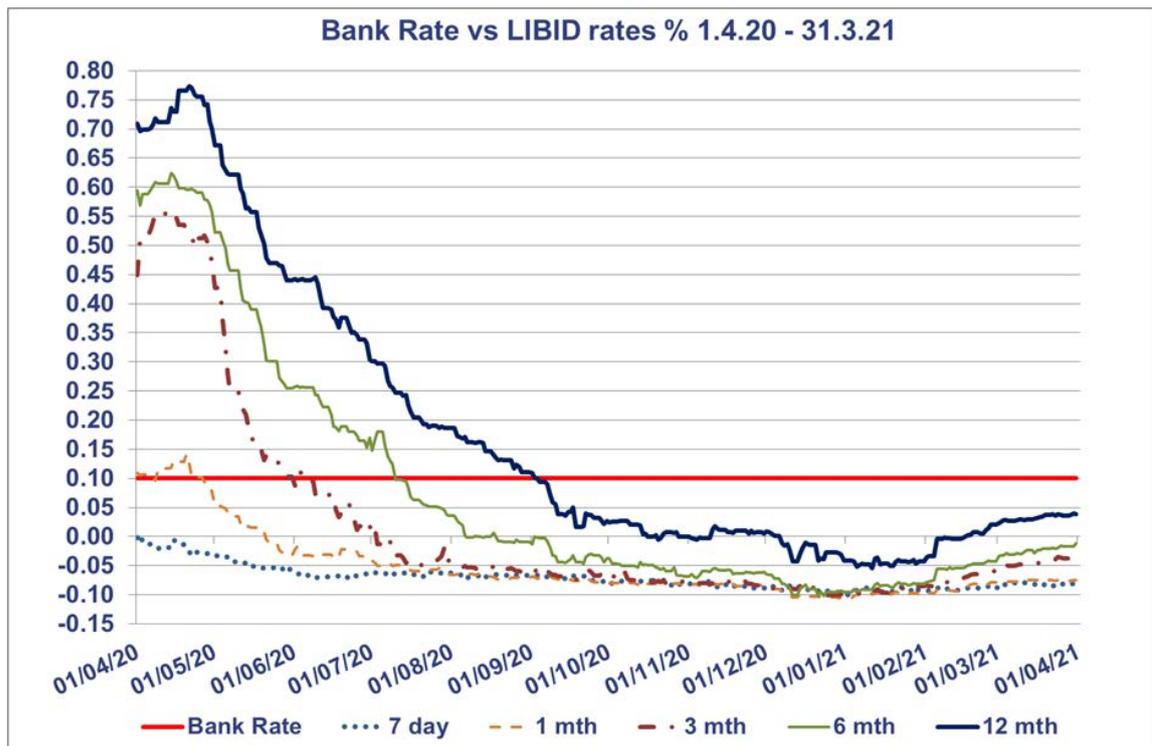


7. Minimum Revenue Provision (MRP) - 2020-21

The MRP policy has remained unchanged. There has been no additional revenue provision this year therefore the accumulated balance remains at £1m.

8. Investment Rates - 2020-21

Investment returns remained low during 2020-21. The coronavirus outbreak has done huge economic damage to the UK and to economies around the world. After the Bank of England took emergency action in March 2020 to cut Bank Rate to first 0.25%, and then to 0.10%, it left Bank Rate unchanged at its subsequent meetings, although some forecasters had suggested that a cut into negative territory could happen. However, the minutes of the Monetary Policy Committee in February 2021 made it clear that commercial banks could not implement negative rates within six months, and by that time the economy would be expected to be recovering strongly and so there would be no requirement for negative rates.



9. Investment Outturn - 2020-21

The Authority's investment policy is governed by the annual investment strategy incorporated within the Treasury Management Strategy. This policy sets out the approach for choosing investment counterparties, and is based on credit ratings provided by the three main credit rating agencies supplemented by additional market data (such as rating outlooks, credit default swaps, bank share prices etc.).

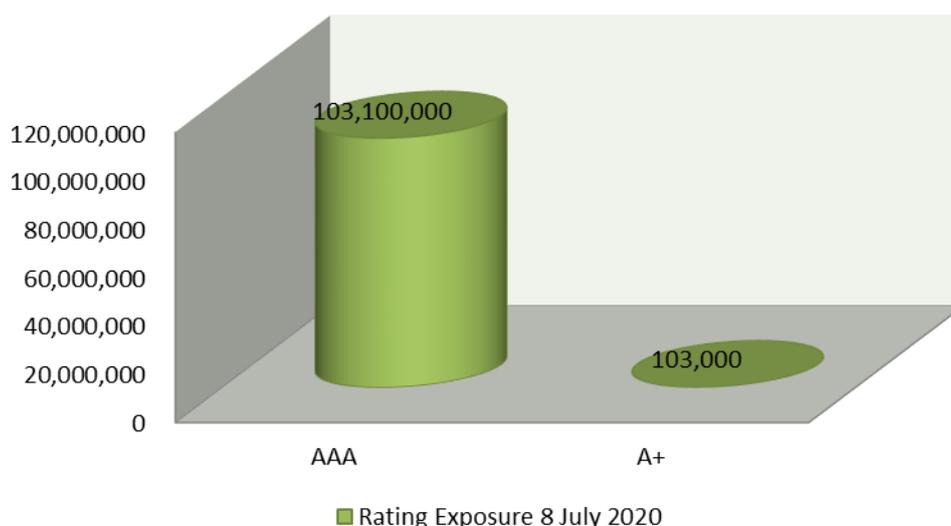
The investment activity during the year conformed to the approved strategy. There were no liquidity difficulties. The strategy has two levels of maximum investment allowable in Low Volatility Net Asset Values (LVNAVs) - successor of Money Market Funds - the general ceiling of £12m and an increased ceiling of £15m, which requires the authority of the CFO to the Commissioner to utilise. During the year there were 58 days which fell into the latter category. For clarity this is days per fund. On 53 days the increased ceiling of £15m was breached (with authority of the CFO to the Commissioner) when one of the LVNAVs dropped to a 0% return, the maximum held in one fund was £30m for 9 days. The average invested balance was £70.036m and earned 0.60% (£0.417m). This compares favourably to the average 7 day LIBID rate of -0.07%.

The following table gives information on the investments held at the start and end of the year:

	Position @ 01-04-20 £	Investments made £	Investments withdrawn £	Position @ 31-03-21 £
Temporary Investment				
Banks	(3,051,000)	(9,000,000)	8,023,000	(4,028,000)
Local Authorities	(30,000,000)	(85,000,000)	72,000,000	(43,000,000)
MMF	(12,090,000)	(334,760,000)	339,350,000	(7,500,000)
Total Investment	(45,141,000)	(428,760,000)	419,373,000	(54,528,000)
Investment:				
	Position @ 01-04-20 £	Investments made £	Investments withdrawn £	Position @ 31-03-21 £
Fixed Term Investment	(30,000,000)	(90,000,000)	77,000,000	(43,000,000)
Variable Term Investment	(15,141,000)	(338,760,000)	342,373,000	(11,528,000)
	(45,141,000)	(428,760,000)	419,373,000	(54,528,000)
Proportion of Fixed Term Investment held	78.86%			
Proportion of Variable Term Investment held	21.14%			

10. Security of Investment

The quality of counterparties for investment is governed by the approved Treasury Management Strategy. This is monitored on a daily basis and an important part of this is the credit agency ratings. The maximum investment held during the year was £103.203m held on 08-07-20, when pension top up grant, other grants and precept had been received. The following graph shows the rating exposure on that day.



The majority of investments are made in LVNAVs which all carry a AAA rating, being the most secure available. The three being used by The Commissioner are as follows.

	Maximum Investment exposure 08-07-20	Interest (Net 7 day yield) 08-07-20
	£m	%
LVNAVs		
Federated Investors	30.00	0.22
Aberdeen Liquidity	27.35	0.21
Black Rock	15.75	0.18

LVNAVs operate by spreading risk across a wide variety of counterparties many of which are not available to smaller investors. The impact of any counterparty failure is therefore minimised. It is also important that the Commissioner forms a minor part of the fund. At all times the PCC has formed less than 0.1 % of any fund.

11. Prudential and Treasury Indicators

During 2020-21 all legislative and regulatory requirements have been complied with.

The net borrowing and the Capital Financing Requirement (CFR) indicator ensures that borrowing levels are prudent over the medium term and that external borrowing, net of investments, must only be for a capital purpose. This essentially means that the borrowing cannot support revenue expenditure. In order to ensure this, the following key indicator of prudence is in place. External borrowing does not (except in the short term) exceed the total of CFR in the preceding year plus the estimates of any increases in CFR in the current and next two financial years.

The authorised limit is the “affordable borrowing limit” required by s3 of the Local Government Act 2003. It reflects a level of borrowing which, while not desired, could be afforded but may not be sustainable. The table below demonstrates that gross borrowing has remained within the authorised limit.

The operational boundary is based on expectations of the maximum external debt according to probable – not simply possible – events and is consistent with the maximum level of external debt projected by the estimates. Periods where the actual position is either below or over the boundary is acceptable subject to the authorised limit not being breached.

Actual financing costs as a proportion of net revenue stream - this indicator identifies the trend in the cost of capital (borrowing and other long term obligation costs net of investment income) against the net revenue stream.

Prudential Indicator Monitoring 2020-21

	2018-19 Authority Approved Indicator	2018-19 Outturn @ 31 Mar 19	2019-20 Authority Approved Indicator	2019-20 Outturn @ 31 Mar 20	2020-21 Authority Approved Indicator	2020-21 Outturn @ 31 Mar 21
Section 1 - Indicators Based on Expected Outcomes						
Affordability:						
Ratio of Financing Costs to Net Revenue Stream	2.1%	1.8%	2.0%	1.9%	2.1%	2.2%
Incremental Impact of Capital Investment Decisions	£1.20	-	£1.43	-	£1.17	-
Capital Expenditure	-	£9.653m	-	£8.850m	-	£30.369m
Capital Financing Requirement	£68.851m	£66.350m	£68.399m	£70.192m	£85.258m	£79.804m
Section 2 - Indicators Based on Limits						
Affordability:						
Actual External Debt	-	£51.349m	-	£69.395m	-	£90.837m
External debt for Capital purposes		£46.349m		£59.395m		£58.837m
External Debt for Cashflow purposes		£5.000m		£10.000m		£32.000m
Authorised Limit for External Debt	£80.000m	-	£85.000m	-	£95.000m	-
Operational Boundary for External Debt	£70.000m	-	£75.000m	-	£85.000m	-
Prudence:						
Gross Debt & CFR	£72.227m	£75.748m	£79.287m	£81.931m	£91.599m	£88.272m

For Information	
Public/Non-Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	May 2021
Report of:	DCC Barber
Report Author:	Amanda Froggatt, Corporate Development Manager
E-mail:	amanda.froggatt@nottinghamshire.pnn.police.uk
Other Contacts:	Laura Spinks, Force Assurance Lead
Agenda Item:	12

Strategic Risk Management Report for Force and Nottinghamshire Police and Crime Commissioner – Quarter 4: 2020/21

1. Purpose of the Report

- 1.1 The purpose of this report is to provide the Joint Audit and Scrutiny Panel (JASP) with an up-to-date picture of strategic risk management across the Force and the Office of the Police and Crime Commissioner (OPCC).

2. Recommendations

- 2.1 It is recommended that the JASP note the current approach to strategic risk management and considers the assurance that this report provides as to the effectiveness of those arrangements within the Force and OPCC.
- 2.2 JASP note the three very high strategic risks on the Force's risk register namely, Internal Audit Report for Seized Property, which is a new risk, Multi-Force Shared Service (MFSS) transfer of payroll system to the new Fusion solution, and issues in relation to the new Command and Control Software which is another new strategic risk.
- 2.3 JASP also note the reduction in risk score associated to the General Data Protection Regulations (GDPR) risk which recently underwent an internal audit and received satisfactory assurance.
- 2.4 JASP note the high risk on the OPCC risk register relating to the Public Section Pensions which has a score of 12.
- 2.5 JASP note accompanying Appendix 3, which outlines more in-depth explanations of the mitigation in place in relation to the Force's very high-level strategic risks.

3. Reasons for Recommendations

- 3.1 A Strategic Risk Report is provided to the JASP on a quarterly basis 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.

4. Summary of Key Points

Risk management policy and process

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

5 Financial Implications and Budget Provision

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

6 Human Resources Implications

- 6.1 Providing professional advice on risk management is the responsibility of the Corporate Governance and Business Planning team.
- 6.2 General responsibility for managing risk forms an integral part of the job descriptions of individuals throughout the Force.

7 Equality Implications

- 7.1 There are no known equality implications associated with the implementation of the Risk Management Policy.
- 7.2 Where a particular risk is identified that could have an impact on the Force's equality objectives that risk will be assessed and managed in line with the Risk Management Policy.

8 Risk Management

- 8.1 One of the main aims of the Risk Management Policy is to achieve consistent application of risk management principles and techniques across all areas of the Force and NOPCC.
- 8.2 If the Force and NOPCC do not practice effective risk management within their decision making there is a risk of non-compliance with the principles set out in the Joint Code of Corporate Governance.

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

- 9.1 An understanding and appreciation of strategic risk is important in determining the priorities in the Police and Crime Plan, and subsequently informing the development of effective strategies, policies and plans to address those priorities. It is expected that the implementation of the Risk Management Policy will lead to improved understanding of strategic risk and therefore impact positively on the achievement of Police and Crime Plan objectives.

10 Changes in Legislation or other Legal Considerations

- 10.1 Where potential changes in legislation or other legal considerations represent a significant threat or opportunity for the Force or the NOPCC these are evaluated and managed in line with the Risk Management Policy.

11 Details of outcome of consultation

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

12. Appendices

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

NOTTINGHAMSHIRE POLICE CORPORATE RISK REGISTER - April 2021

RISK			MITIGATION OF RISK	ASSESSMENT			
Risk / Objective	Description and Owner	Impact	Strategy and Assurances	Unmitigated / Current Risk			Commentary and Review date
				Probability	Impact	Risk Score	
AE 0016 Archives and Exhibits Create a service that works for local people	Internal Audit Report - Seized Property Owner: Chief Superintendent Corporate Services	Potential loss of evidence, and prosecutions. Inconsistency in seizing, recording, handling and disposal of property	Treat Audit report has been reviewed and a full and comprehensive Action Plan has been completed addressing all of the areas of risk identified. Each action has been prioritised and has specific timelines for completion.	4	4	16	Ongoing oversight via Archives and Exhibits Projects Board chaired by Chief Superintendent Corporate Services. Quarterly reporting into Force Executive Board Review date: Ongoing
				4	4	16	
SR F0003 Replacement of MFSS System Create a service that works for local people	Delivery of Replacement MFSS System Owner: Deputy Chief Constable	- Workforce confidence / morale - Service delivery - Reputation / public confidence risk	Treat Ongoing oversight via MFSS Management Board and Strategic Oversight Board	4	4	16	Ongoing oversight via MFSS Management Board and Strategic Oversight Board. Preparation of advice for officers and staff Review date: Ongoing
				4	4	16	
SR FSR0004 Operational Create a service that works for local people	Issues in relation to the new command and control software and telephony network, including performance information. Owner: Head of Contact Management	Potential lack of capability to receive and hence respond to calls. Lack of capability to make changes to Command & Control system and effectively record all outbound calls	Treat Fortnightly meeting chaired by ACC covering all aspects of the risks to establish an effective communication platform. IS to introduce an upgrade to the system to feed into the fortnightly SAFE meeting.	4	4	16	Post Implementation Review completed with number of recommendations. Decision of whether Project Team to be created to be undertaken at Strategic Futures Board by Deputy Chief Constable Review date: Ongoing
				3	4	16	
SR IM0009 Information Management Create a service that works for local people	Documentation retention, review and disposal risks associated with non compliance of MOPI Owner:- Deputy Chief Constable	- Reputation / public confidence - Delivery failure - Ineffective planning and problem solving - Government penalties	Treat Alignment of regional approach with local practices Assessment and development of RRD processes within Force legacy systems Alignment of RRD requirements with retention schedules and Information Asset register	4	4	16	Alignment of regional approach with local practices Assessment and development of RRD processes within Force legacy systems Alignment of RRD requirements with retention schedules and Information Asset register Review date: Ongoing
				3	4	12	
SR IM0010 Information Management Create a service that works for local people	Data protection breaches as a result of non compliance with GDPR Owner:- Deputy Chief Constable	- Reputation / public confidence - Delivery failure - Ineffective planning and problem solving	Treat Undertaking GDPR gap analysis in order to identify associated risk	4	4	16	GDPR was subject of a recent internal audit by Mazars and received Satisfactory Assurance. Updates on existing recommendations are fed into Information Management Meeting Chaired by Deputy Chief Constable
				3	3	9	

NOTTINGHAMSHIRE POLICE CORPORATE RISK REGISTER - April 2021

RISK			MITIGATION OF RISK	ASSESSMENT			
Risk / Objective	Description and Owner	Impact	Strategy and Assurances	Unmitigated / Current Risk			Commentary and Review date
				Probability	Impact	Risk Score	
works for local people		- Government penalties	and define an action plan			◀▶	Review date: Ongoing

NOTTINGHAMSHIRE POLICE CORPORATE RISK REGISTER - April 2021

RISK			MITIGATION OF RISK	ASSESSMENT			
Risk / Objective	Description and Owner	Impact	Strategy and Assurances	Unmitigated / Current Risk			Commentary and Review date
				Probability	Impact	Risk Score	
AE 0016 Archives and Exhibits Create a service that works for local people	Internal Audit Report - Seized Property Owner: Chief Superintendent Corporate Services	Potential loss of evidence, and prosecutions. Inconsistency in seizing, recording, handling and disposal of property	Treat Audit report has been reviewed and a full and comprehensive Action Plan has been completed addressing all of the areas of risk identified. Each action has been prioritised and has specific timelines for completion.	4	4	16	Ongoing oversight via Archives and Exhibits Projects Board chaired by Chief Superintendent Corporate Services. Quarterly reporting into Force Executive Board Review date: Ongoing
				4	4	16	
SR F0003 Replacement of MFSS System Create a service that works for local people	Delivery of Replacement MFSS System Owner: Deputy Chief Constable	- Workforce confidence / morale - Service delivery - Reputation / public confidence risk	Treat Ongoing oversight via MFSS Management Board and Strategic Oversight Board	4	4	16	Ongoing oversight via MFSS Management Board and Strategic Oversight Board. Preparation of advice for officers and staff Review date: Ongoing
				4	4	16	
SR FSR0004 Operational Create a service that works for local people	Issues in relation to the new command and control software and telephony network, including performance information. Owner: Head of Contact Management	Potential lack of capability to receive and hence respond to calls. Lack of capability to make changes to Command & Control system and effectively record all outbound calls	Treat Fortnightly meeting chaired by ACC covering all aspects of the risks to establish an effective communication platform. IS to introduce an upgrade to the system to feed into the fortnightly SAFE meeting.	4	4	16	Post Implementation Review completed with number of recommendations. Decision of whether Project Team to be created to be undertaken at Strategic Futures Board by Deputy Chief Constable Review date: Ongoing
				3	4	16	
SR IM0009 Information Management Create a service that works for local people	Documentation retention, review and disposal risks associated with non compliance of MOPI Owner:- Deputy Chief Constable	- Reputation / public confidence - Delivery failure - Ineffective planning and problem solving - Government penalties	Treat Alignment of regional approach with local practices Assessment and development of RRD processes within Force legacy systems Alignment of RRD requirements with retention schedules and Information Asset register	4	4	16	Alignment of regional approach with local practices Assessment and development of RRD processes within Force legacy systems Alignment of RRD requirements with retention schedules and Information Asset register Review date: Ongoing
				3	4	12	
SR IM0010 Information Management Create a service that works for local people	Data protection breaches as a result of non compliance with GDPR Owner:- Deputy Chief Constable	- Reputation / public confidence - Delivery failure - Ineffective planning and problem solving	Treat Undertaking GDPR gap analysis in order to identify associated risk	4	4	16	GDPR was subject of a recent internal audit by Mazars and received Satisfactory Assurance. Updates on existing recommendations are fed into Information Management Meeting Chaired by Deputy Chief Constable
				3	3	9	

NOTTINGHAMSHIRE POLICE CORPORATE RISK REGISTER - April 2021

RISK			MITIGATION OF RISK	ASSESSMENT			
Risk / Objective	Description and Owner	Impact	Strategy and Assurances	Unmitigated / Current Risk			Commentary and Review date
				Probability	Impact	Risk Score	
works for local people		- Government penalties	and define an action plan			◀▶	Review date: Ongoing

NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER CORPORATE RISK REGISTER - MARCH 2021

RISK			MITIGATION OF RISK	ASSESSMENT			
Risk / Objective	Description and Owner	Impact	Strategy and Assurances	Unmitigated / Current Risk			Commentary and Review date
				Probability	Impact	Risk Score	
SR1 (0002) Business continuity: COVID 19 Transforming Services and Delivering Quality Policing	Business continuity risks associated with COVID-19, including changes in OPCC working arrangements, information security, impact of social distancing on effective practice, and potential impact on staff welfare. Owner: Chief Executive Organisation: OPCC	<ul style="list-style-type: none"> - Failure to deliver core statutory duties - Staff welfare - Reputation / public confidence risk - Government penalties 	<p>Treat</p> <p>Individual service-level risk registers. OPCC representation on Gold and Silver Command Groups. Increased agile working. Wider use of tele conferencing. Scheme of delegation reviewed. Regular pro-active communications.</p>	4	4	16	<p>Ongoing oversight and proactive communication. Absence rates remain low and the office maintains core business as usual via revised working arrangements. Information security reminders have been issued to all staff in the wake of the COVID-19 outbreak and transition to routine agile working.</p> <p>Review date: Ongoing</p>
				3	3	9	
SR2 (0003) Business continuity: MFSS Transforming Services and Delivering Quality Policing	Business continuity risks associated with MFSS transfer to inhouse provision in April 2020 and on-going future service provision by MFSS. Owner: Chief Finance Officer Organisation: OPCC	<ul style="list-style-type: none"> - Workforce confidence / morale - Service delivery - Reputation / public confidence risk 	<p>Treat</p> <p>Ongoing oversight via MFSS Management Board and Strategic Oversight Board. There is an internal transition group to manage the change in contractors by 2022.</p>	4	3	12	<p>Part of the work that is easily transferable from MFSS to Nottingham has taken place. Future provision has been reviewed. Ongoing oversight via MFSS Management Board, Strategic Oversight Board and internal Force governance processes. Ongoing data accuracy issues being identified and resolved.</p> <p>Review date: Ongoing</p>
				3	3	9	
SR3 (0004) Financial Incapability Transforming Services and Delivering Quality Policing	Force unable to achieve a balanced budget, required efficiency savings and contribution to reserves Owner: Chief Finance Officer Organisation: OPCC	<ul style="list-style-type: none"> - Insolvency - Govt. mandation / penalties - Reputation / public confidence - Performance / delivery risks - Poor assessment / inspection outcomes 	<p>Treat</p> <p>Budget parameters set by PCC Medium Term Financial Planning Monthly budget monitoring meetings Weekly PCC / CC meetings Escalation process Active OPCC and Force CFO discussion</p>	4	4	16	<p>Ongoing oversight via monthly budget monitoring meetings and weekly PCC/CC briefing meetings Active OPCC and Force CFO discussion. Estimated year end overspend of £65k.</p> <p>Review date: Ongoing</p>
				2	3	6	
SR4 (0013) Level of risk-assessed reserves Transforming Services and Delivering Quality Policing	Inability to respond to critical unforeseen risk due to a lack of prudent risk-assessed reserves Owner: Chief Finance Officer Organisation: OPCC	<ul style="list-style-type: none"> - Govt. mandation / penalties - Reputation / public confidence - Performance / delivery risks - Poor assessment / inspection outcomes 	<p>Treat</p> <p>Medium Term Financial Planning Monthly budget monitoring meetings Weekly PCC / CC meetings Escalation process Active OPCC and Force CFO discussion</p>	3	4	12	<p>Nottinghamshire maintains one of the lowest levels of reserves when compared to other Police forces / OPCCs nationally. Risk continues to be monitored via monthly budget meetings and weekly PCC/CC briefing meetings, alongside ongoing active OPCC and Force CFO discussions. Anticipated overspend and slippage in force repayment of risk-assessed reserves.</p> <p>Review date: Ongoing</p>
				2	3	6	
SR5 (0001) Delivery of critical multi-agency services	Impact of COVID-19 recovery phase on DVA, SVA and SMS services. Owner: Head of Commissioning Organisation: OPCC	<ul style="list-style-type: none"> - Failure to meet the needs of vulnerable victims - Reputation / public confidence - Relationship with partners - Missed opportunities to prevent and reduce crime 	<p>Treat</p> <p>Fortnightly joint commissioning DSWA meetings. Fortnightly/monthly updates from commissioned services to monitor service uptake & trends. Extraordinary MoJ funding</p>	3	3	9	<p>Covid-19 continues to create additional demand on DA & SV support services. Restrictions are resulting in increased risk of DA, court delays and additional demand on substance misuse services. Extraordinary MoJ funding received summer 2020. PCC conducting a further needs assessment in Feb 2021 to inform funding bid to MoJ for 2021-22..</p>
				2	2	4	

NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER CORPORATE RISK REGISTER - MARCH 2021

RISK			MITIGATION OF RISK	ASSESSMENT			
Risk / Objective	Description and Owner	Impact	Strategy and Assurances	Unmitigated / Current Risk			Commentary and Review date
				Probability	Impact	Risk Score	
Cross-cutting risk		- P&C Plan commissioning intentions affected	allocated for 2020/21. Further MoJ funding to be sought for 2021/22.			◀▶	Review date: Ongoing
SR6 (0006) Financial uncertainty Transforming Services and Delivering Quality Policing	Delays and uncertainty in the government announcement of comprehensive spending review. Delays in the review of the police funding formula. Impact of brexit and COVID-19 on public sector funding. Owner: Chief Finance Officer Organisation: OPCC	- Ineffective planning - Instability of key services - Impact on service delivery - Reputational / public confidence impact	Treat Engagement with central government, APCC/NPCC Police Finance workstream Police Reform and Transformation Board Extra budget meetings scheduled early 2021	3	3	9	Indication of settlement figures in Autumn statement enabled effective planning for 2021-22. Further delays to review of police funding formula where Notts remains adversely affected. One year settlement and potential impact of economic downturn on precept. Ongoing engagement with central government, APCC/NPCC Police Finance workstream, APCC Chair / Home Office engagement Review date: Ongoing
SR7 (0007) Service sustainability / making best use of resources Tackling crime and ASB	Delivery and sustainability of outcomes as a result of significant short term national investment in Serious Violence Reduction. Owner: Director of VRU Organisation: OPCC	- Instability of key services and programmes - Reputational / public confidence impact P&C Plan commissioning intentions affected	Transfer Ongoing project management Proactive engagement with communities PCC chairs VRU Board	3	3	9	Ongoing development and delivery of the VRU. Proactive engagement with key partners. Detailed spending plans developed. Increased assurance of further Home Office investment Review date: Ongoing
				2	2	4	
SR8 (0008) Information Management: Data Quality Tackling crime and ASB	Poor data quality compliance impacts upon understanding of crime patterns, the identification and referral of vulnerable people and public confidence in crime recording. Owner: Head of Performance & Assurance Organisation: OPCC	- Reputation / public confidence - Delivery failure - Ineffective planning and problem solving - Government penalties	Transfer Audit Committee / Internal Audit FCIR Review meetings HMICFRS Inspection Annual Assurance Statement	3	3	9	Overall indicative NCRS compliance remains strong (>95%). Reporting issues following transition to the 'SAFE' system have been largely resolved. Further assurance required in respect of crime and incident flagging (e.g. alcohol, cyber, vulnerability) and capture of self-defined ethnicity. Ongoing regular oversight by OPCC and HMICFRS Review date: Ongoing
				2	2	4	
SR9 (0014) Limited inhouse accounting expertise Transforming Services and Delivering Quality Policing	Austerity and restructuring within the force finance team has led to a reliance on staff with limited professional experience with local government accountancy. Owner: Chief Finance Officer Organisation: OPCC	- Insufficient resource leading to the accounts being qualified - Temporary appointments leading to lack of consistency - Reputation / public confidence risk	Treat Active participation in the CIPFA AFEP programme has provided a way forward. This has improved the Force Finance Team structure and its standing within the Force. Training for Finance apprentices is in place.	3	4	12	Austerity and restructuring within the force finance team has led to a reliance on staff with limited professional experience with local government accountancy. CIPFA review for Excellence in Police Finance highlights the need to replace a former CIPFA qualified accountant with a like for like and at the appropriate market rate. Review date: Ongoing
				3	3	9	
SR10 (0010)	Lack of force and partner agency analytical	- Force and partners inability to direct resources according	Treat	3	2	6	Ongoing liaison with heads of Intelligence and Management Information. Plans to streamline partnership assessment processes underway.

NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER CORPORATE RISK REGISTER - MARCH 2021

RISK			MITIGATION OF RISK	ASSESSMENT			
Risk / Objective	Description and Owner	Impact	Strategy and Assurances	Unmitigated / Current Risk			Commentary and Review date
				Probability	Impact	Risk Score	
Limited analytical capacity and capability Tackling Crime and ASB	capacity impacting on provision of analytical products and assurance reports Owner: Head of Performance & Assurance Organisation: OPCC	to need; identify emerging risks; assess impact of interventions; provide accountability - Reputation / public confidence risk	Forward planning on the development of key OPCC analytical products. Direct OPCC access to intranet-based tools and functionality. Development of independent assurance mechanisms such as the Police and Crime Survey	2	2	4	partnership assessment processes underway. Proposals to enhance 'self-service' functionality are being progressed. Reduced capacity and frequency of strategic intelligence products, control strategy and MoRiLE assessment. Review date: Ongoing

Appendix 3 – Mitigation for High Level Strategic Risks

AE 0016 Archives and Exhibits Create a service that works for local people	Internal Audit Report - Seized Property Owner: Chief Superintendent Corporate Services	Potential loss of evidence, and prosecutions. Inconsistency in seizing, recording, handling and disposal of property	Treat	4	4	16	Ongoing oversight via Archives and Exhibits Projects Board chaired by Chief Superintendent Corporate Services. Quarterly reporting into Force Executive Board Review date: Ongoing
			Audit report has been reviewed and a full and comprehensive Action Plan has been completed addressing all of the areas of risk identified. Each action has been prioritised and has specific timelines for completion.	4	4	16	

Internal Audit Report - Seized Property

An internal audit recently undertaken by Mazars resulted in a grading of 'No Assurance'.

Running alongside this, the force instructed a review of archives and exhibits. The outcomes of these reviews resulted in several recommendations which the force has converted into a detailed action plan.

The plan is being delivered by Sgt Rob Spry the Head of Archives and Exhibits. It is scrutinised at the quarterly project board chaired by Chief Superintendent Roberts where all workstreams are held to account. Quarterly updates are also fed into Force Executive Board which allows Chief Officer oversight.

SR F0003 Replacement of MFSS System Create a service that works for local people	Delivery of Replacement MFSS System Owner: Deputy Chief Constable	- Workforce confidence / morale - Service delivery - Reputation / public confidence risk	Treat	4	4	16	Ongoing oversight via MFSS Management Board and Strategic Oversight Board. Preparation of advice for officers and staff Review date: Ongoing
			Ongoing oversight via MFSS Management Board and Strategic Oversight Board	4	4	16	

Replacement of MFSS System

- The Joint Oversight Committee (JOC) on 27/07/20 took the decision to transition away from a shared service to an individual force model in November 2022.

This decision could impact on the ability of MFSS to deliver services during the transition period as it may become difficult to retain MFSS staff. The premature departure of staff could also result in MFSS not retaining individuals with sufficient skill set to transition Nottinghamshire to the new local systems and in-house services.

The mitigation activities include the establishment of a Transition 2022 Programme which has been agreed by Partners. The plan of work including risk and independencies is being managed by MFSS and focusses on monitoring attrition, development of recruitment strategy, encouraging retention and establishment of a people working group. The continued ability to deliver BAU is being tracked using a MFSS Management Information tool and People Plan. This activity is closely monitored, and resources are being generally governed by the MFSS Management Board chaired by DCC Barber on a monthly basis. The people plan allows an extended transition period for staff who accept roles within Cheshire Police i.e. reducing the impact of staff leaving MFSS.

Within the force a small transition team of 5.5 fte was approved as part of the business case for the Regain programme. The team has either now been on-boarded or are in the late stages of the recruitment process. This will enable resources to be deployed to service areas to assist with the transition work and

migration to new systems. They will also provide local support in the event of MFSS failures and any early service disaggregation.

2. MFSS Oracle Technology delivered falls short of expectations which impact the service delivery user experience and the end to end process.

There remains an inability to resolve defects within the current Oracle technology; this causes operational issues, impacts on retained staff and user experience (examples include payroll, recruitment, and L&D). A significant number of defects have been addressed with the implementation of manual workarounds which create opportunities for manual errors to occur. This could result in reputational damage and the potential of litigation with Cap Gemini and lead to expensive legal costs. To mitigate these risks there is a significant amount of work being undertaken in both short and longer terms:

Work is ongoing by MFSS to unlock the capability of the Oracle solution and address the key issues. The last review was undertaken on 26th March 2021 with the following work being prioritised: Oracle Digital Assistant; Account and Purchasing - improving use of the system and redesigning the approach; The use of the system and improving the integrations.

Longer Term Activity:

Nottinghamshire has finalised contracts for the purchase of fit for purpose IT solutions which support the functions of Payroll, Finance, People Services and L&D. This follows the approval of a full business case which includes the recruitment of staff to deliver local services for Nottinghamshire. The implementation process has now begun for the HR/Payroll system, with others following and will continue throughout 2021 with a target go-live of 1st April 2022. In the meantime, data quality checks continue within key service areas.

3. If there is a significant time slippage in transitioning away from MFSS by November 2022 this will require a renegotiation with Cap Gemini and Oracle.

This would involve the need to negotiate extension requests for an unknown duration or scope with Cap Gemini and Oracle. Legal services have advised in respect of future arrangements with Capgemini beyond 03/11/2022 that:

- Contractually the negotiating position would be very difficult and costly
- Only those partners needing to continue with Cap Gemini would be affected
- Each partner would have to find a legal route independently of each other due S22 agreements ending.
- Additionally, double costs could be incurred, and a minimal contract could be for a significant period (12mnths +)

As only those partners needing to continue with Cap Gemini would be affected, the mitigation activity currently undertaken by Nottinghamshire includes considerable progress with the programme to provide local IS systems. Contracts have now been placed for the major HR/ Payroll and finance systems and suppliers have been onboarded. Staff consultation has commenced in advance of the recruitment process for local service delivery teams. The dedicated internal programme team continues to be effective as does the formalised Regain Programme Board chaired by DCC Barber as SRO. SMEs from each of the key business areas are fully engaged and monthly programme board meetings take place to review the plan both internally and with the MFSS Transition 2022 Committee.

There are also regular updates to the MFSS Management Board. Work streams have been commissioned to prioritise the high-risk work such as 'Data' extract and data archiving.

4. MFSS may not be able to extract data from the Oracle Fusion platform to meet the Regain programme timelines.

An indicative timeline from the IT system suppliers has the first data load planned for July 2021 and it is not clear if the oracle data extract work by MFSS and Capgemini will be sufficiently developed by this time. This may cause delays in the implementation of a new service and could increase costs significantly. Nottinghamshire is addressing this risk using expert ex-Oracle resources to develop data extract reports to enable the supplier timelines to be met.

SR FSR0004 Operational Create a service that works for local people	Issues in relation to the new command and control software and telephony network, including performance information. Owner: Head of Contact Management	Potential lack of capability to receive and hence respond to calls. Lack of capability to make changes to Command & Control system and effectively record all outbound calls	Treat	4	4	16	Post Implementation Review completed with number of recommendations. Decision of whether Project Team to be created to be undertaken at Strategic Futures Board by Deputy Chief Constable Review date: Ongoing
			Fortnightly meeting chaired by ACC covering all aspects of the risks to establish an effective communication platform. IS to introduce an upgrade to the system to feed into the fortnightly SAFE meeting.	3	4	16	

Issues in Relation to New Command and Control Software

A bi-weekly SAAB Safe Performance meeting is currently held chaired by ACC Cooper. This meeting reviews the developments and dependencies on SAAB Safe reporting and the impact on Force level Management Information reporting.

Several outstanding deliverables as part of the original SAAB Safe contract are also being compiled and a significant SAAB Safe upgrade is required, commencing May 2021, which will require a commitment from the Force to deliver.

Corporate Development have also undertaken a Post Implementation Review (PIR) of SAAB Safe and a report has been submitted to ACC Copper for consideration. This PIR will now go to the Strategic Futures Board where DCC Barber will decide upon the recommendations.



Transition of MFSS Services

Project Regain



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Background

- Notts joined MFSS in April 2015 using Oracle eBS
- Four Partners – Cheshire / Northants / CNC / Notts
- Migration to Oracle Fusion in April 2019 (fix forward / no roll back)
- Capgemini t-Policing system
- Complex migration – UAT, regression testing, DM reconciliations
- ERP (Enterprise Resource Planning) solution
- Integrations – DMS, HR, Payroll

Drivers for change - MFSS issues

- Poor VFM and service quality
- Numerous defects and issues
- Interfaces are problematic
- Complex system – not easy to use
- Business case ambition never achieved
- No process harmonisation across partners
- Governance & leadership (resource heavy)
- External suppliers / consultants
- Contract with Capgemini ends in November 2022

What's the plan? “Regain programme”

- By April 2022 Notts will Regain control of services, systems, quality, costs, staffing & future direction
- Project team was retained from Fusion upgrade
- Includes specialists, Oracle experts, IS staff, SME's (Finance, HR, and L&D)
- SRO is DCC Barber & strong support from PCC and CC
- Improve quality of services to front line policing and staff
- Significant financial savings



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Regain - progress update

- Procurement process completed
- Business case approved for:
 - MHR (Midland i-Trent) - HR / payroll / recruitment / L&D
 - ABSS (Advanced Business support systems) - Finance
 - Crown DMS (Duty Management System)
 - New staffing structures, 21.6 FTE's local roles and 5.5 FTE's transition team (fixed term contracts)
 - Changing processes
 - Data migration from Oracle
 - Data archiving Oracle eBS by November 2021



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Regain systems - MHR, ABSS, Crown (DMS)

- MHR - specialist HR and Payroll public sector supplier.
- 40% of all UK police staff paid through MHR solutions
- West Yorkshire, Scottish Police, Police Service of Northern Ireland and Greater Manchester Police plus over 170 local authorities
- ABSS – since 1990s delivering Finance systems within police forces (& Notts prior to MFSS). Including Police Scotland, Beds-Cambs-Herts and Warwickshire/West Mercia, BTP, North Wales Police
- Crown DMS – strong track record in policing
- Ivanti – used to support assets service requests

Timeline – key milestones

- April 2021 – new suppliers on-boarded
- June 2021 – cloud systems built
- August 2021 – initial data loads
- September 2021 – new staff on-boarding
- October 2021 – integrations developed
- December 2021 – builds complete & tested
- February 2022 – parallel running
- **April 2022 go-live**
- Early life support to end of June 2022

Financial implications - headlines

- **Total Project costs / savings over 10 years**
- Investment costs £4.6m
- Cumulative costs over 10 years are £20.1m which will deliver expected savings of £6.4m
- Payback is 6.96 years (3.5 years without MFSS exit costs)
- Estimated savings of c£0.8m per annum, but after adding back additional costs the Force continues to invest through upgrades, internal resource & consultancy, this is nearer c£1.4m per annum
- Reduce cost per head from £735 to £363 (when all consultancy and internal resource costs are included)



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Regain communications

- Updates at SLT's
- Intranet landing page
- Communications plan being developed
- Making it relevant e.g.
 - New payslips
 - Self services
 - Chatbot
 - Where to get help & training
 - Local access to advice and support
 - Re-employing local people (21.6 FTE's)



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What have we learned?

- Deploy change management techniques
- Design end to end
- Data must be valid, accurate and complete
- Professionalise the programme
- Right people
- Testing coordination
- Data migration is always a problem!!
- We are not special – we will fit our processes to the system



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Key risks & mitigation

- Oracle data extraction & data migration
 - Fusion live data (four partners) main options - Capgemini / reports) / eBS archiving by November 2021 – Notts evaluating MHR solution
- MFSS staff attrition & retention
 - Contract & agency support permanent staff (94 from 131 FTE's) / Notts recruiting early & transition team in place by May 2021 / Local delivery enablers – processes, training & system access
- Competing projects / priorities
 - Robust governance / Ring-fenced resources

Enlisting help from our managers

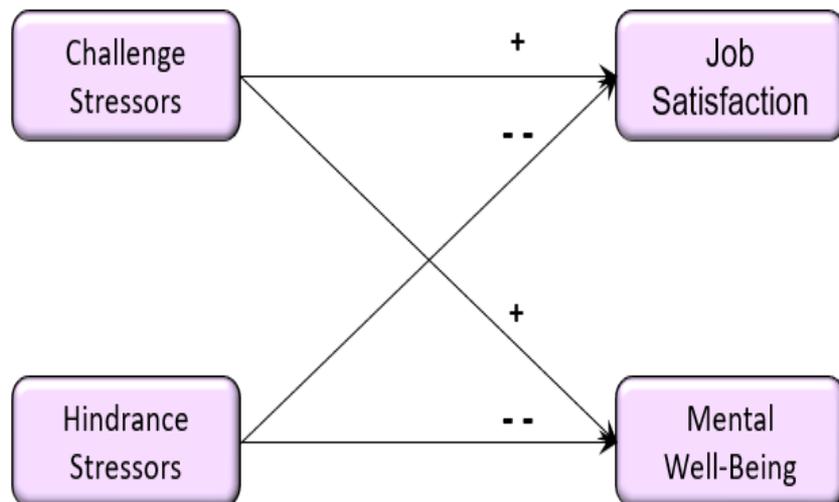
- Sickness recording – line managers not updating DMS
- Annual leave – ensure it is all processed through DMS
- Personal data – everyone will be asked to check its accuracy
- Movers / leavers / starters – are actioned immediately
- Managers need to keep on top of DMS exceptions
- Keep up to date via the Intranet and messages
- Provide feedback
- Be positive – implementation is never straightforward



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Regain long term benefit:

- Reduce the impact of hindrance stressors



- **Hindrance stressors** e.g. role ambiguity, red tape, poor systems and workplace politics reduce people's job satisfaction, whereas challenge stressors promote this. Similarly, hindrance stressors depleted people's mental well-being, however challenge stressors are found to increase people's mental well-being.
 - **Source:** Insights from Nottinghamshire Police staff survey November 2019
-



Where next?



Source: The Kotter Change Model



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Summary

- It is a challenging programme
- We need the support and help of officers and staff
- We will not get everything right on day 1
- There is enthusiasm and goodwill across the force
- The force will be in a better place
- There will be financial savings
- Work to reduce hindrance stressors
- **Rapidly collapsing time-frame (go-live April 2022)**

For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	May 2021
Report of:	Deputy Chief Constable
Report Author:	Amanda Froggatt, Corporate Development Manager Laura Spinks, Force Assurance Lead
E-mail:	amanda.froggatt@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	13

Audit and Inspection Update

1. Purpose of the Report

- 1.1 To provide the Joint Audit and Scrutiny Panel (JASP) with an update on progress against recommendations arising from audits and inspections which have taken place during Quarter 4, 2020/21.
- 1.2 To inform the Board of the schedule of planned audits and inspections.

2. Recommendations

- 2.1 That the Panel notes the status of audits and inspections carried out over the last quarter.
- 2.2 That the Panel review Appendices 1 and 2 and if required request further detail which will be reported at the next meeting.

3. Reasons for Recommendations

- 3.1 To enable the Panel to fulfil its scrutiny obligations with regard to Nottinghamshire Police and its response to audits and inspections.
- 3.2 To provide the Panel with greater scrutiny opportunities and to reach more informed decisions.
- 3.3 To provide the Panel with the opportunity to shape the focus and data inputs for future HMICFRS inspections.

4. Summary of Key Points

Audit and Inspection Action Updates

- 4.1 The actions referred to in this report are the result of recommendations made by Nottinghamshire Police's internal auditors and external inspectorates, including HMICFRS.
- 4.2 With regards to HMICFRS inspections (Appendix A) there are 39 open recommendations across the various HMICFRS reports. There are 10 closed recommendations. These closed recommendations have been reviewed by HMICFRS and they have assessed the Force's evidence as suitable to close and show it as complete.
- 4.3 Of the remaining 39 open recommendations, 7 have been assessed by the HMICFRS as requiring reality testing. This will be undertaken during the Integrated PEEL Inspection. HMICFRS will then confirm whether they are happy to close them.
- 4.4 In relation to internal audits, which have been undertaken by Mazars, there are 60 open recommendations.
- 4.5 There are currently 0 actions which have exceeded their target date.

Recent Inspection Activity

Date of Inspection	Inspection Area	Date Report Received	Final Grading	Status
October 2020	Covid-19 Policing Inspection	April 2021	N/A	Report circulated for management comment
March 2021	Fraud Inspection	-	N/A	Awaiting report
March 2021	Neurodiversity in the Criminal Justice System	-	N/A	Awaiting report
April 2021	Policing of Vigils	April 2021	N/A	No recommendations For information only

Forthcoming HMICFRS Inspections

Date of Inspection	Inspection Area	Status
July 2021	Integrated PEEL Inspection – Serious and Organised Crime	Confirmation received force will be inspected July 2021. Timetable in process of being put together

Publications

Date of Publication	Inspection Area	Status
February 2021	Stop and Search	Report published. Recommendations sent out for management update
March 2021	Policing Protests	Report published. Recommendations sent out for management update
March 2021	Roads Policing	Report published. Recommendations sent out for management update

4.5 Recent and Forthcoming Audits

Recent Audit Activity

Date of Audit	Auditable Area	Date Report Received	Final Grading	Status
February 2021	Debt Recovery	February 2021	Satisfactory Assurance	Circulated for management comments, recommendations entered on 4-Action

February 2021	Core Financials	February 2021	Significant Assurance	Circulated for management comments, recommendations entered on 4-Action
February 2021	Seized Property	February 2021	No Assurance	Circulated for management comments, recommendations entered on 4-Action
February 2021	Risk Management	February 2021	Limited Assurance	Circulated for management comments, report not agreed
April 2021	Complaints Management	April 2021	Satisfactory Assurance	Circulated for management comments, recommendations entered on 4-Action
April 2021	Wellbeing	April 2021	Limited Assurance	Circulated for management comments, report not agreed

Forthcoming Audits

Date of Audit	Auditable Area	Status
Unknown	Procurement	N/A
Unknown	Business Change	N/A
Unknown	Performance Management	N/A
Unknown	Core Financials	N/A
Unknown	Firearms Licensing	N/A
Unknown	MFSS Transfer	N/A
Unknown	Health and Safety	N/A
Unknown	Information Services	N/A
Unknown	Partnerships	N/A
Unknown	Workforce Planning	N/A
Unknown	Information Assurance	N/A

5. Financial Implications and Budget Provision

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

6. Human Resources Implications

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

7. Equality Implications

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

8. Risk Management

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

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

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

10. Changes in Legislation or other Legal Considerations

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

11. Details of outcome of consultation

- 11.1 Following receipt of a final audit or inspection report a member of the Governance and Planning team consults with the appropriate Lead Officer and other stakeholders to plan appropriate actions in response to each relevant recommendation, or to agree a suitable closing comment where no action is deemed necessary.
- 11.2 All planned actions are added to the action planning system, 4Action, for management and review until completion.

12. Appendices

12.1 Appendix A – Overview of HMICFRS inspection recommendations.

12.2 Appendix B – Overview of Mazars internal audit recommendations.

HMICFRS INSPECTIONS CURRENT OVERVIEW

Date	Title	Recommendation	Total Number Outstanding	Total Number Closed
27 Nov 2018	Policing and mental health: Picking up the pieces STATUS – Evidence submitted to HMICFRS for review. The reason that one recommendation remains open is that HMICFRS will reality test when they undertake their Integrated PEEL Inspection in September 2021.			
		<p>By December 2019, forces should develop a better understanding of their mental health data, and the nature and scale of their demand. All forces should carry out a 24-hour snapshot exercise, using the new national definition of mental ill-health in Recommendation 1. This would help them see where their mental health demand is concentrated and identify any gaps in their data. The NPCC mental health lead should set out how the data was collected during the Welsh forces snapshot exercise.</p> <p>This exercise will help forces understand the strain on the service by assessing the combination of demand and workload. This will then help forces when establishing and reporting mental health demand in their force management statements (FMSs).</p> <p>The force took part in the NPCC '24 hour snapshot' exercise and have forwarded the substantial information to the NPCC for the national analysis.</p>	1	0
10 April 2019	Stalking and harassment: An inspection of Sussex Police commissioned by the police and crime commissioner, and an update on national recommendations in HMICFRS 2017 report STATUS – Evidence submitted to HMICFRS for review. One recommendation remains open as HMICFRS will reality test when they undertake their Integrated PEEL Inspection in September 2021.			

Appendix A

		<p>Within six months chief constables should ensure that forces record stalking or harassment crimes if appropriate when victims report breaches of orders.</p> <p>Within six months the National Police Chiefs Council (NPCC) lead and the CPS lead should consider whether they can do more to inform police officers and lawyers of the importance of treating breaches of orders as evidence of a wider pattern of offending, and when and in what circumstances officers and lawyers should treat this as further evidence of stalking or harassment.</p> <p>Within six months chief constables should ensure that officers are aware of the importance of treating breaches of orders, where appropriate, as part of a wider pattern of offending, and ensure that force policy and guidance helps officers to do this.</p>	1	0
17 July 2019	<p>The poor relation: The police and Crown Prosecution Service's response to crimes against older people</p> <p><u>STATUS</u> – Evidence submitted to HMICFRS for review. Two recommendations remain open, which will be reality tested when HMICFRS undertake their Integrated PEEL Inspection in September 2021.</p>			
		<p>Within six months, chief constables should make sure that victim needs assessments are always completed.</p>	2	0
		<p>Within three months, chief constables should conduct analysis of the current and future demand for adult safeguarding, including the gap in knowledge that may exist from those cases where referrals aren't made because of errors or omissions. This analysis should be incorporated into force management statements (FMSs).</p>		

27 Sep 2019	Shining a light on betrayal: Abuse of position for a sexual purpose STATUS – Evidence submitted to HMICFRS for review. The force will undergo a Counter Corruption and Vetting Inspection in November 2021. The 2 recommendations listed below will be reality tested to ensure compliance.			
		By April 2020, all forces that haven't yet done so should make sure they have enough people with the right skills to look proactively for intelligence about those abusing their position for a sexual purpose, and to successfully complete their investigations into those identified.	2	0
		By April 2020, all forces that haven't yet done so should: <ul style="list-style-type: none"> • record corruption using the national corruption categories; • produce a comprehensive annual counter-corruption strategic threat assessment, in line with the authorised professional practice; and • establish regular links between their counter-corruption units and those agencies and organisations who support vulnerable people. Where forces are yet to implement an effective ICT monitoring system that allows them to monitor desktop and handheld devices, they should do so as soon as reasonably practicable. By September 2020, all forces should have completed a review of their use of encrypted apps on police ICT systems to understand the risk they pose and to take any necessary steps to mitigate that risk.		
23 Jan 2020	Joint Inspection - Evidence Led Domestic Abuse Prosecutions			
		Police should ensure that investigations and decisions to take no further action in domestic abuse cases receive the same robustness of supervisory oversight as other domestic abuse cases.	0	5

Appendix A

		Police forces should ensure that training, messaging and guidance is clear that evidence led cases should benefit from the same quality of investigation, early gathering of evidence and supervisory oversight as other domestic abuse cases, particularly in cases where the victim does not support police action. Domestic abuse champions should reinforce this message.		
		Police forces with domestic abuse champions should raise awareness of the role and seek to utilise them to maximum effect.		
		The police should review training plans in order to ensure that all appropriate staff, both frontline officers and investigators, are trained how to handle domestic abuse cases.		
		Police supervisors and Crown Prosecution Service legal managers should maximise opportunities to share examples of good work and successful outcomes with their teams.		
27 Feb 2020	National Child Protection Inspections 2019 thematic report			
		We recommend that chief constables on those forces not yet inspected by the NCPI or JTAI take steps to identify and implement good practice and the learning highlighted from these programmes. This may include engaging with those forces who have been inspected, direct contact with the HMICFRS child protection lead or participating in a regional or national learning event.	0	3
		We recommend that chief constables should review performance management and quality assurance approaches to ensure that assessments of the nature and quality of decision making are routinely made. The purpose of this would be to reinforce the understanding that compliance with policy or process is only one part of effective practice.		
		We recommend that chief constables take steps to reduce the unnecessary criminalisation of children. Such steps could include (but		

Appendix A

		don't need to be limited to) considering fully a child's circumstances when making decisions; more effective use of legislation to discontinue prosecutions not in the public (or child's) interest; the development of more effective non-criminal justice pathways for vulnerable children who commit lower level crimes.		
28 Feb 2020	A joint thematic inspection of Integrated Offender Management			
	<u>STATUS</u> – Evidence submitted to HMICFRS for review. The reason three recommendations remain open is that HMICFRS will reality test these when they undertake their Integrated PEEL Inspection in September 2021.			
		Ensure that service users are kept informed, as much as possible, about the benefits of inclusion in IOM, the support available and the monitoring and information-sharing ramifications of IOM supervision.	3	1
		Analyse training needs and ensure that all staff receive sufficient training to enable them to fulfil their duties. Training in public protection, safeguarding children and working with vulnerable adults should be prioritised.		
		Improve the quality and accuracy of recording in IOM cases, in particular, the activity relating to public protection.		
		Define their IOM operating model and produce practice guidance that sets out clearly what is required by each agency at every stage of the IOM supervision process.		

9 Mar 2020	Counter-terrorism policing - An inspection of the police's contribution to the government's Prevent programme <u>STATUS</u> – Evidence submitted to HMICFRS for review. Awaiting feedback.			
		With immediate effect, the NPCC national Prevent lead and each force Prevent lead should review the attendance of force representatives at Channel panels so that police are correctly represented by decision makers who can contribute to managing risk.	1	0
9 July 2020	A call for help - Police contact management through call handling and control rooms in 2018/19 <u>STATUS</u> – Evidence submitted to HMICFRS for review. All recommendations will be reality tested when HMICFRS undertake their Integrated PEEL Inspection in September 2021.			
		Each force where there is a vulnerability desk should make sure it makes a positive contribution to initial safeguarding	7	0
		We expect forces to invest in technology and work with each other to use it to form and improve their risk assessments, their responses and their investigations to keep the public safe		
		Each force must be sure it effectively assesses risk at all points of contact with the public and the community. It should use the assessment to provide the best response to vulnerability		
		Each force should make sure its staff are trained, supervised and supported to be effective in their control room roles; this should include assessing the effect of better terms and conditions and career development for control room staff		
		We expect all forces to make sure the service they provide to their communities meets the new national contact management strategy. We will assess how well forces adopt the contact management		

Appendix A

		principles and practise as well as the learning standards during PEEL 2020/21		
		We expect to see all 43 forces get involved in the single online home and the social media projects		
		We expect the police service during 2020 to make sure that it has agreed a standard for how quickly forces respond to 999 calls. The absence of a national set of agreed response times for emergency calls means it is hard to make meaningful comparisons		
		We expect the police service during 2020 to make sure it has effective national guidelines, quality assurance and assessment in place for resolution without deployment		
July 2020	PEEL spotlight report: The Hard Yards Police to police collaboration			
	<u>STATUS</u> – Awaiting methodology from National Police Chiefs Council, College of Policing and Home Office - currently delayed due to Covid-19.			
		If forces haven't yet implemented an effective system to track the benefits of their collaborations, they should use the methodology created by the NPCC, the College of Policing and the Home Office.	1	0
July 2020	Roads Policing: Not optional - An inspection of roads policing in England and Wales			
	<u>STATUS</u> – Evidence submitted to HMICFRS for review. Awaiting feedback.			
		With immediate effect, chief constables should make sure that appropriate welfare support is provided to specialist investigators and family liaison officers involved in the investigation of fatal road traffic collisions.	8	1
		With immediate effect, in forces where Operation Snap (the provision of digital video footage by the public) has been adopted, chief		

Appendix A

		constables should make sure that it has enough resources and process to support its efficient and effective use.		
		With immediate effect, chief constables should satisfy themselves that the resources allocated to policing the strategic road network within their force areas are sufficient. As part of that process they should make sure that their force has effective partnership arrangements including appropriate intelligence sharing agreements with relevant highways agencies.		
		With immediate effect, chief constables should make sure that their force (or where applicable road safety partnerships of which their force is a member), comply with (the current version of) Department for Transport Circular 1/2007 in relation to the use of speed and red-light cameras.		
		With immediate effect, chief constables should make sure: <ul style="list-style-type: none"> • their force has enough analytical capability (including that provided by road safety partnerships) to identify risks and threats on the road network within their force area; • that information shared by partners relating to road safety is used effectively to reduce those risks and threats; and • There is evaluation of road safety initiatives to establish their effectiveness. 		
		With immediate effect, chief constables should make sure that roads policing is included in their forces strategic threat and risk assessments, which should identify the areas of highest harm and risk and the appropriate responses.		
		The awareness and understanding of the changes in the Professionalising Investigation Programme within police forces is an area for improvement.		
		The efficient and effective exchange of all collision data with other relevant bodies is an area for improvement.		

		Force-level support to national roads policing operations and intelligence structure is an area for improvement.		
8 Dec 2020	Pre-charge bail and released under investigation: striking a balance			
	<u>STATUS</u> – Evidence submitted to HMICFRS for review. Awaiting feedback.			
		Forces should record whether a suspect is on bail or RUI on the MG3 form when it is submitted to the CPS. This should be regularly checked and any changes in bail or RUI provided to the CPS. The CPS should work with the police to ensure this information is provided.	2	0
		Forces should develop processes and systems to clearly show whether suspects are on bail or RUI. This will help them to better understand the risk a suspect poses to victims and the wider community and will help to increase safeguarding.		
17 Dec 2020	Safe to share - Report on Liberty and Southall Black Sisters super-complaint on policing and immigration status			
	<u>STATUS</u> – Evidence currently being collated by Superintendent.			
		<p>Recommendation 1. To chief constables: As an interim measure, pending the outcome of recommendation 2, where officers only have concerns or doubts about a victims immigration status, we recommend that they immediately stop sharing information on domestic abuse victims with Immigration Enforcement. Instead, police officers should link the victim to a third party that can provide advice and assistance, as set out in recommendation 4 (on the creation of safe reporting pathways).</p> <p>This applies where police officers have doubts about a victims immigration status, not where they have evidence that an offence has been committed. The College of Policing will immediately develop guidance for the police service to clarify this aspect of practice.</p>	4	0

		<p>Notes to recommendation 1 This recommendation to stop information sharing only applies to victims of domestic abuse. The College of Policing guidance will also clarify the difference between insecure and uncertain status and immigration offending. Any sharing of information should be done in compliance with Information Commissioners Office (ICO) guidance. Third party could include a local or national specialist victim support organisation or another individual/organisation that can act as an intermediary and advocate on the victims behalf in communications with Immigration Enforcement as required.</p>		
		<p>To chief constables: With reference to recommendation 1, and in consultation/collaboration with local or national specialist organisations, chief constables should take steps to ensure that all migrant victims and witnesses of crime are effectively supported through safe reporting pathways to the police and other statutory agencies. They should:</p> <ul style="list-style-type: none"> • ensure there is a proper policy and practice framework in place for officers to work within; • develop victim and witness support policies that reflect the characteristics of the safeguarding protocol set out in recommendation 3, and: draw on all relevant national guidance with particular reference to the Code of Practice for Victims of Crime and data protection legislation; are developed in partnership with and include pathways to the relevant specialist organisations for supporting victims and witnesses with insecure immigration status; are clear about the circumstances in which information will be shared by police with immigration enforcement; provide clarity about the purpose of sharing information at different points of the pathway; and explicitly recognise the importance of telling victims, witnesses and supporting agencies whether information will be shared with Immigration Enforcement, and if so, when and in what circumstances. 		

Appendix A

		<ul style="list-style-type: none"> • promote understanding among police officers and staff to differentiate between responses to victims of modern slavery/human trafficking and victims of domestic abuse; • promote awareness within their forces of any existing pathways to specialist organisations for supporting victims with insecure immigration status; • ensure the policy and practice framework is adopted by all officers and staff who come into contact with victims of crime who have insecure immigration status; and • promote police engagement in regular outreach community work, as highlighted as good practice in this report. 		
		<p>To chief constables and police and crime commissioners (or equivalents):</p> <p>With reference to recommendation 1, pending the developments outlined in other recommendations and in consultation/collaboration with local or national specialist organisations, chief constables and police and crime commissioners should take steps, through the appropriate channels, to promote migrant victims and witnesses confidence in reporting crimes to the police through safe reporting pathways, without fear of prioritised immigration control.</p>		
		<p>To all recipients of recommendations from this investigation:</p> <p>Provide an update to Her Majesty’s Chief Inspector of Constabulary on progress in implementing these recommendations within six months of the date of publication of this report.</p>		

10 Feb 2021	An inspection of the effectiveness of the Regional Organised Crime Units <u>STATUS</u> – Evidence submitted to HMICFRS for review. Awaiting feedback.			
		By February 2022, the chief constable with the lead for SOC in each region, with the chief officers of the affected forces, should ensure that a chief officer is appointed with responsibility for each ROCU, as far as practicable working autonomously of force responsibilities.	2	0
		By February 2022, chief officers responsible for SOC in each region, with the chief officers of the affected forces, should make sure that systems are in place for senior investigating officers (SIOs) and lead responsible officers (LROs) to work effectively together.		
26 Feb 2021	Disproportionate use of police powers - A spotlight on stop and search and the use of force <u>STATUS</u> – Evidence currently being collated by Superintendent for submission to HMICFRS.			
		With immediate effect, forces should ensure that all stop and search records include detail of the self-defined ethnicity of the subject. When this information is refused by the subject, the officer-defined ethnicity code should be recorded.	6	0
		By July 2021, forces should ensure they have effective external scrutiny processes in place in relation to the use of force. Forces should take account of feedback and update the scrutiny panel and the community on the action taken.		

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		By July 2021, forces should ensure they have effective internal monitoring processes on the use of force, to help them to identify and understand disproportionate use, explain the reasons and implement any necessary improvement action.		
		<p>By September 2021, forces should:</p> <ul style="list-style-type: none"> • ensure that officers record on body-worn video (when this is available) the entirety of all stop and search encounters, including traffic stops and use of force incidents; • have a structured process for regularly reviewing and monitoring internally a sufficient sample of body-worn video footage to identify and disseminate learning and hold officers to account when behaviour falls below acceptable standards; and • provide external scrutiny panel members with access to samples of body- worn video footage showing stop and search encounters and use of force incidents, taking account of the safeguards in the College of Policing’s Authorised Professional Practice. 		
		By July 2021, forces should ensure that communication skills are reinforced as part of the programme of continuing professional development for officers and staff, and that supervisors are supported to routinely and frequently debrief officers on these skills using body-worn video footage.		
		By July 2022, forces should ensure that officers and staff have effective communication skills, in line with the National Policing Guidelines on Conflict Management. This should be in addition to existing training on conflict Management and de-escalation.		

INTERNAL Audits 2020/21

Date	Title	Recommendations	Total Number Outstanding	Total Number Closed
Sep 2020	Victims' Code of Practice September 2020			
		The Force should produce a condensed guide to the Victims' Code of Practice, following the introduction of the currently proposed changes.	16	0
		The proposed changes to the Victims' Code of Practice should be included within the action plan that is monitored by the Victim and Witness Assurance Group.		
		For the Force to better understand the satisfaction levels of the true population of victims, stratified sampling should be adopted for the surveys undertaken. The results of the surveys can then be analysed to a greater degree by the Force, including: the level of satisfaction dependent on whether a positive / negative outcome was achieved for the victim; and the trends in satisfaction for different crime types.		
		Officers should be reminded when inputting victims records directly onto Niche that they complete all required information including the preferred method.		
		All victims should be offered the Victim Information Pack and / or referred to the information available on the Nottinghamshire Police Victim website. In the instance that the victims have refused, the reason should be recorded on the Niche system.		

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		<p>A regime should be established as to how non-completion of the training module will be escalated by the Force.</p> <p>This could entail the Force sending regular updates to line managers details of any Staff or Officers with training that is overdue for completion.</p>		
		<p>A VCOP working sheet should be maintained for each crime involving a victim. Officers should be reminded of the importance of creating and maintaining this working sheet which should be evidenced within the CRMS system.</p>		
		<p>Needs assessments should be carried out with all victims of crime and results recorded on the VCOP working sheet within the CRMS system. This should then be used based on support provision for the victim going forward.</p>		
		<p>Preferred method and frequency of contact should be established with each victim of crime to enable them to be updated on the progress of any ongoing investigation. This should be recorded on the VCOP working sheet and evidence maintained that updates have been provided in line with this request.</p>		
		<p>All victims should be provided with the Victim Information Pack and/or referred to the information available on the Nottinghamshire Police Victim website. Confirmation that this information has been communicated should be recorded on the VCOP working sheet within the CRMS.</p>		
		<p>The VIP should be reviewed and updated to incorporate the Right to Review procedure and information in respect of participation of the Restorative Justice scheme. (It is noted that a further update to the Victims Code of Practice is due later in 2015 and therefore it is practical to await this publication prior to review and update of the VIP to establish whether any additional areas require review).</p>		

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		Officer should be reminded that when updates are provided to victims, acknowledgement should be made within the 'aggrieved updated' box on CRMS to support the update and prevent this being escalated via performance management information.		
		The offer/ availability of a VPS to the victim should be clearly communicated and acknowledged within the VCOP working sheet.		
		All victims should be considered for referral to specialist agencies in addition to Victim Support Services. These referrals and proactive support provided should be evidenced within the CRMS system.		
		The reports detailing officers who are still to complete the Victims Code training should be located and the system for following up non-compliance established to provide assurance that all officers are adequately trained to ensure compliance with the Code.		
		Consideration should be given to documenting guidance for officers in respect of a list of available specialist organisations/ agencies to which victims can be referred to.		
Oct 2020	Estates Management Oct 2020			
		The Force should ensure that where SR's are cancelled that these SR's do not feature in the KPI calculation and instead these are reported as a separate figure to identify the number of SR's cancelled each month.	3	0
		The Force should report non-compliance with the SLA in the month in which the SR falls non-compliant, as opposed to amending historical data. This will ensure that the Force maintain the integrity of the reported KPI figure.		

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		<p>The Force should consider introducing a suite of KPI's to effectively monitor the performance of the Estates and Facilities department. Furthermore, this will enable the Force to demonstrate value for money from the expenditure incurred in fulfilling the Capital and Planned Maintenance Programme. This suite of KPI's could include but not be limited to:</p> <ul style="list-style-type: none"> • Monitoring the number of repairs completed right the first time by contractors fulfilling SR's. • Recording and reporting on the results of customer satisfaction surveys for newly built and recently refurbished projects and; <p>Monitoring the number of SR's received for newly built or recently refurbished projects in the first 12 months following completion.</p>		
Dec 2020	Workforce Planning December 2020			
		<p>The Force should review and update the People Strategy to include reporting arrangements and decision making processes in place at the Force; a defined individual responsible for the People Strategy; and version control of the document.</p>	2	0
		<p>The Force should complete a mapping exercise and produce a centralised log of all key roles across the organisation, including non-leadership roles which are critical or specialised.</p> <p>Alongside this exercise, individuals who are able to assume these positions in a short / medium / long term capacity should be highlighted.</p>		
Jan 2021	Information Assurance Follow up January 2021			
		<p>As intended, the organisation must continue to liaise with NPRIMT in relation to the GIRR accreditation process.</p>	2	0

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		Now the force has more resource in place to manage the process the force should look in the longer term to return to an annual cycle of compliance rather than an ongoing pattern of late submissions for the variety of frameworks it is required to comply with.		
Feb 2021	Core Financial Systems Assurance Feb 2021			
		OPCC should ensure that the most up-to-date version of the Financial Regulations is published on their website.	7	0
		The Force should request that MFSS update sales invoice credit notes and adjustments process maps to include version control and approval processes.		
		Force should update sales invoice process documentation and guidance notes in respect of changes in working practices.		
		The Force should request that MFSS ensure that all reconciliations are completed and reviewed in a timely manner, i.e. within 1 month of the period end.		
		The Force should liaise with MFSS to ensure that historic balances are investigated and cleared down.		
		The Force should request that MFSS seek authorisation from the Force when looking to perform reconciliations more than one month after the period end and provide notice to the Force when this is unarranged.		

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		<p>The Force should liaise with MFSS to ensure that appropriate performance data is provided with regards payroll processing. This could include, but not be limited to, the following:</p> <ul style="list-style-type: none"> • No. of overpayments & underpayments. • Value of overpayments & underpayments. • Reasons for overpayment i.e. late notification by Force, MFSS missed SLA for Payroll Date etc. 		
Feb 2021	Debt Management Feb 2021			
		<p>The Force should ensure that Debt Recovery processes are documented in a policy/procedure document. This requires the Force to liaise with MFSS to ensure that processes are aligned.</p>	2	0
		<p>The Force should ensure that MFSS issue invoices with the correct payment terms, therefore ensuring that recovery actions are being carried out at the correct timings.</p>		
Feb 2021	GDPR Follow Up February 2021			
		<p>The Force should continue to address the issues identified in the ICO Controllers Checklist, all of which are currently in some level of implementation.</p>	2	0
		<p>We continue to support the approach being taken to complete the Information Asset Register and this should look to be completed as soon as is practical and how the National Enabling Programme progresses.</p>		

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Feb 2021	Risk Management February 2021			
		The Force should ensure that a thorough review is undertaken of the Force's departmental risk registers, so that risks that are inherent to the respective departments are identified and scored, as stated in the Risk Management Strategy.	6	0
		The Force should ensure that all risk registers are complete and that appropriate controls are recorded for each risk. Where risk controls are being reviewed, the Force should ensure that interim controls are in place to effectively monitor risks.		
		The Force should ensure that further training is provided to users of the JCAD system to ensure that appropriate controls are recorded to mitigate the risks identified.		
		Furthermore, the Force should ensure that where controls and other risk mitigation activities are inserted that these are reviewed to ensure their appropriateness.		
		The Force could consider introducing guidance for users of the JCAD system, which outlines a criterion for controls and risk mitigation activities.		
		<p>The Force should ensure the meeting minutes for the Organisational Risk, Learning, Standards, and Integrity Board are well documented, which demonstrate at the very least:</p> <ul style="list-style-type: none"> • The registers presented; • The risks discussed; and <p>The decisions reached / action plans devised.</p>		

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Feb 2021	Seized Property February 2021			
		Policies and Procedures in relation to seized property should be updated to reflect the current adopted process since implementation of Niche in February 2016.	9	0
		Policies and Procedures should be made available for Staff and Officers to view on the intranet.		
		Officers within the Force should be provided with Niche training in relation to the continuity of property management, including the checking in and out of property from temporary storage. Consideration should be made as to how to record the training attendance for all Officers.		
		The Archives and Exhibits team at stores should reject acceptance of any items which do not have a property reference attached.		
		A log should be maintained of instances where property has not been correctly labelled. Through use of this log, individuals responsible for the failures should be held accountable.		
		The Force should regularly perform reconciliations of locations for property that is held against records maintained on the Niche system. Where it is identified that property is not in the location stated on Niche, Niche should be updated to reflect that it is in the Officers' possession.		
		The Force should review and streamline the C17 form. Where a C17 form has not been completed correctly, this should be recorded and referred to the Officer responsible.		

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		Access to the Temporary Stores should be restricted to only police officers or the Archive & Exhibit Team who require access. Those who do not have a job-related purpose should have their access to these areas removed.		
		In the interim period, the Force should consider if audit trail access for individuals entering the stores is available. This data could be analysed to show an inappropriate access.		
April 2021	Wellbeing April 2021			
		The Force should ensure that policies, procedures, and guidance notes are reviewed regularly; and, that this is noted in the document control sections even if no updates are made.	4	0
		The Force should ensure that the review of policies, procedures and guidance notes is monitored regularly, either by the Strategic Wellbeing Board or within the HR function.		
		The Force should ensure that data is included in the decision-making process for wellbeing, which will ensure that the need for initiatives can be clearly evidenced. Force should also look at performing data analysis to identify areas of need at a detailed level and assist in providing resources for wellbeing to the areas that could be most impacted or are in the most need.		
		Management information should be produced to demonstrate the impact and delivery of third-party services and internal projects and/or programmes, with this being presented to the relevant governance boards.		

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April 2021	Complaints Management April 2021			
		The OPCC should remind staff of the importance of issuing terms of references to complainants.	7	0
		The fix for the system issue should be sought, so that closed complaints can be accurately updated on the Centurion system.		
		OPCC staff should ensure that records are closed on Centurion in a timely manner.		
		The sample testing performed should include review of whether a term of reference was issued to the complainant.		
		The OPCC should ensure that all communication made with complainants are logged and recorded on the Centurion system.		
		The PSD team should communicate to complaint handlers the importance of maintaining complete records for complaints on the Centurion system. This can be approached by both circulating bulletins and informing the team of issues through presentations.		
		The PSD team should perform regular reviews over cases managed outside of schedule 3 to ensure that they are correctly administered.		

For Information	
Public	
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	25th May, 2020
Report of:	Tim Wendels, Head of Estates and Facilities Management
Report Author:	Tim Wendels, Head of Estates and Facilities Management
E-mail:	tim.wendels@notts.police.uk
Other Contacts:	
Agenda Item:	13c

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

INTERNAL AUDIT REPORT – ESTATES MANAGEMENT

1. Purpose of the Report

- 1.1 To inform the Panel of the outcome of the recent internal audit of Estates Management undertaken by Mazars.

2. Recommendations

- 2.1 To note the outcome and findings of the internal audit report.

3. Reasons for Recommendations

- 3.1 To ensure the Panel is informed of the outcome of the internal audit.

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

- 4.1 As part of the Internal Audit Plan for 2020/21 for the Office of the Police and Crime Commissioner and Nottinghamshire Police, Mazars undertook an audit of the controls and processes in place in respect of Estates Management. The Final Audit Report was received in November, 2020 and is attached as an Appendix to this Report.
- 4.2 The Audit Report was very positive in respect of how Estates Management is undertaken within Nottinghamshire Police and the controls and processes that are in place. The overall assurance on adequacy and effectiveness of internal controls was assessed as “Significant Assurance” which is the highest rating available.
- 4.3 Furthermore, comments made within the Report included “There is a sound system of internal control designed to achieve the Organisation’s objectives”, “The Estates Strategy sets out the Force’s vision relating to the running and management of the Estate, which is clearly aligned to the strategic objectives of the PCC’s Police and Crime Plan” and “Common areas of control strengths in management of the estate, which were also found to be evident in Nottinghamshire, include a well developed rationalisation plan to reduce the number of uneconomical buildings and focus on a small cohort of assets to

refurbish and develop, which will remain fit for purpose in the medium to long term.”

- 4.4 There were just two recommendations as part of the Report which were both classified as Priority 3 (Housekeeping), which is the lowest priority. They are detailed on pages 8 and 9 of the Report and relate to the way that Key Performance Indicators (KPIs) are calculated and suggest an expansion in the suite of KPIs. These recommendations will be implemented to the extent permitted by the severe limitations to the reporting capabilities of the current MFSS system. Work is currently underway to replace the current MFSS system and it is anticipated that reporting capabilities will be greatly improved, which will assist in KPI reporting going forward.

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 The Internal Audit Report concludes that there is a sound system of internal control designed to achieve the Organisation’s objectives.

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 Not applicable.

11. Details of outcome of consultation

- 11.1 Not applicable.

12. Appendices

- 12.1 Final Internal Audit Report – Estates Management – November 2020.

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

13. Not applicable.



Internal Audit Report – Estates Management

Tim Wendels – Head of Estates and Facilities Management



NOTTINGHAMSHIRE
POLICE
PROUD TO SERVE

Internal Audit Report – Estates Management

- Internal Audit undertaken by Mazars in 2020. Final Report received November, 2020.
- The overall assurance on adequacy and effectiveness of internal controls was assessed as “**Significant Assurance**” .



NOTTINGHAMSHIRE
POLICE
PROUD TO SERVE

Internal Audit Report – Estates Management

Comments made within the Report included:-

- “There is a sound system of internal control designed to achieve the Organisation’s objectives”
- “The Estates Strategy sets out the Force’s vision relating to the running and management of the Estate, which is clearly aligned to the strategic objectives of the PCC’s Police and Crime Plan” and
- “Common areas of control strengths in management of the estate, which were also found to be evident in Nottinghamshire, include a well developed rationalisation plan to reduce the number of uneconomical buildings and focus on a small cohort of assets to refurbish and develop, which will remain fit for purpose in the medium to long term.”

Internal Audit Report – Estates Management

- Only two recommendations – both Priority 3 (Housekeeping)
- They relate to the way that Key Performance Indicators (KPIs) are calculated and suggest an expansion in the suite of KPIs.
- These recommendations will be implemented to the extent permitted by the severe limitations to the reporting capabilities of the current MFSS system. Work is currently underway to replace the current MFSS system and it is anticipated that reporting capabilities will be greatly improved, which will assist in KPI reporting going forward.



OPCC for Nottinghamshire and Nottinghamshire Police

Final Internal Audit Report

Estates Management

November 2020

Contents

- 01 Introduction
- 02 Background
- 03 Summary
- 04 Areas for Further Improvement and Action Plan

Appendices

- A1 Audit Information
- A2 Statement of Responsibility

If you should wish to discuss any aspect of this report, please contact Mark Lunn, Internal Audit Manager, mark.lunn@mazars.co.uk or David Hoose, Partner, david.hoose@mazars.co.uk

Status of our reports

This report ("Report") was prepared by Mazars LLP at the request of the Office of the Police & Crime Commissioner for Nottinghamshire and Nottinghamshire Police and terms for the preparation and scope of the Report have been agreed with them. The matters raised in this Report are only those which came to our attention during our internal audit work. Whilst every care has been taken to ensure that the information provided in this Report is as accurate as possible, Internal Audit have only been able to base findings on the information and documentation provided and consequently no complete guarantee can be given that this Report is necessarily a comprehensive statement of all the weaknesses that exist, or of all the improvements that may be required.

The Report was prepared solely for the use and benefit of the Office of the Police & Crime Commissioner for Nottinghamshire and Nottinghamshire Police and to the fullest extent permitted by law Mazars LLP accepts no responsibility and disclaims all liability to any third party who purports to use or rely for any reason whatsoever on the Report, its contents, conclusions, any extract, reinterpretation, amendment and/or modification. Accordingly, any reliance placed on the Report, its contents, conclusions, any extract, reinterpretation, amendment and/or modification by any third party is entirely at their own risk

Please refer to the Statement of Responsibility in Appendix A2 of this report for further information about responsibilities, limitations and confidentiality.

01 Introduction

As part of the Internal Audit Plan for 2020/21 for the Office of the Police and Crime Commissioner for Nottinghamshire (OPCC) and Nottinghamshire Police, we have undertaken an audit of the controls and processes in place in respect of Estates Management.

The specific areas that formed part of this review included: The Estates Strategy, the capital works programme, the planned maintenance plan, reactive maintenance, property disposals, budget monitoring and scrutiny, and management information.

The fieldwork for this audit was completed whilst government measures were in place in response to the coronavirus pandemic (Covid-19). The fieldwork for this audit has been completed and the agreed scope fully covered. Whilst we had to complete this audit remotely, we have been able to obtain all relevant documentation and/or review evidence via screen sharing functionality to enable us to complete the work.

We engaged with several staff members across the Force and the OPCC during the review and are grateful for their assistance during the course of the audit.

02 Background

The estate supports the delivery of a range of operations for the Force. Therefore, the management of the estate is of paramount importance and significance. The management of the Estates department rests with the Head of Estates and Facilities Management, who oversees the Estates Manager and the Facilities Manager. The management of the Capital Programme and the Planned Maintenance Plan is carried out by the Estates Manager, whilst the management of the Force's reactive repair service is overseen by the Facilities Manager.

The purpose of the Force's Estates Strategy is to set out the direction for the Force estate in support of the Police and Crime Plan. The strategy should also outline the future development of its physical assets, whilst ensuring that the environment required to effectively operate its services and deliver its objectives is still provided.

An Estates Strategy is essential in ensuring that assets are managed effectively and in a manner that support the achievement of the Police and Crime Plan and other related requirements, including the efficient and effective use of resources. Nottinghamshire's Estates Strategy covers the period from 2017-2021 and was approved in May 2017 by the Police and Crime Commissioner at the Strategic Resources and Performance Meeting, as the OPCC has ownership of the Force's estate.

For the Estates Strategy to be delivered as intended in the timeframe set, it should not be viewed as an isolated document. There should be further plans or strategies which sit beneath or alongside the Estates Strategy that act as supporting mechanisms in the delivery of the Force's objectives. These should be referenced as necessary within the Estates Strategy to outline the importance of these for effective delivery. Operational Plans should also be produced that direct individual work streams for the Force, which supports the achievement of strategic aims. The Force's Estates Strategy details clear alignment between the Strategy and the PCC's Police and Crime Plan, which prioritises collaboration with key 'blue-light' partners where possible. This also allows the Force to reduce the costs of running its Estate and achieving value for money, without compromising on the quality of service.

The Nottinghamshire Estates Strategy provides high level strategic direction for the Force. This includes directing the current stock level for the Police Estate, which includes: 15 freehold properties and 28 leasehold properties. The current composition of stock levels is designed to support the Force's objective of maximising the utilisation of its estates, and where possible to collaborate with key blue-light partners.

Each building in the estate is reviewed every five years through a stock condition survey. The Force commissioned external consultants Faithful & Gould to undertake these surveys two years ago, which highlighted capital works of approximately £10m being needed. These surveys allowed the Force to assess the condition of the buildings in the Estate and identify any improvement works that need to be completed. The results of these surveys have been used to develop the five-year Capital Programme for the Force.

03 Key Findings

Overall Assurance on Adequacy and Effectiveness of Internal Controls

	Significant Assurance
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Priority	Number of recommendations
1 (Fundamental)	-
2 (Significant)	-
3 (Housekeeping)	2
TOTAL	2

Examples of areas where controls are operating reliably

- The Estates Strategy sets out the Force's vision in respect of

its objectives relating to the running and management of the Estate, which is clearly aligned to the strategic objectives of the PCC's Police and Crime Plan. This includes co-locating with partners in either police buildings or partner buildings; providing local deployment bases and public contact facilities; and through the implementation of the Estates Rationalisation Programme.

- The Estates Rationalisation Programme advances the objectives set out in the Estates Strategy, which includes implementing collaborative working to ensure the Force has the right premises of the right size and in the right location. Furthermore, the Programme considered the stock of the Force's existing buildings that were either leased or held on freehold and set out a plan to dispose of buildings the Force no longer needed and replace these with buildings shared with partners through co-location agreements.
- The Strategic Resources and Performance meeting, which is chaired by the PCC, was last updated on the progress against the Estates Strategy and the Estates Rationalisation Programme in September 2020. The Estates Strategy was approved at the Strategic Resources and Performance meeting in May 2017.
- The Capital Programme is developed annually and is subjected to scrutiny from the Force Executive Board and the OPCC, with final approval sought from the OPCC.
- The stock condition surveys carried out by an external consultant recommended works to the value of £10m, which has been developed into the Capital Programme for the next five years.
- Audit confirmed for a sample of capital works that capital works

are being carried out in line with the Capital Programme.

- For a sample of disposals, audit confirmed that disposals are being carried out in line with those listed in the Estates Strategy, with a business case and decision record evidenced for each.
- There is an approved budget in place for the: Capital Programme, Planned Maintenance Plan and reactive repairs service. These budgets have been developed through the stock condition surveys undertaken by Faithful & Gould, knowledge of the Estates by the Estates and Facilities Management department and through specific requests made by Heads of Service.
- The Force utilises capital receipts obtained from the disposal of buildings to finance the Capital Programme. An illustration of this can be seen in the Treasury Management Strategy, which details the overall net financing needed to finance the remainder of the Programme.
- There are monthly meetings between Finance and the Estates team to ensure budgetary control and oversight over capital expenditure.
- Monthly Capital and Revenue reports are produced for the Force Executive Board following the monthly meetings with Finance; and quarterly Capital and Revenue reports produced for the Strategic Resources and Performance Meeting, which is chaired by the PCC. This enables the Estates team to report on the progress against the respective programmes of work.
- Audit confirmed for a sample of partnership arrangements that the Force has in place formal agreements, either in the form of leases or licence to occupy agreements.

Risk Management

There is a sound system of internal control designed to achieve the Organisation's objectives.

When repairs are required the Facilities Management department receive service requests and assign each request with one of four ratings, depending on the nature of the repair work, so this will be either a critical rating, high rating, standard rating or a low rating, with each rating being assigned a timeframe within which the contractor is required to complete the repair job. This is four hours for critical jobs, 24 hours for high rated jobs, and 28 days for both standard and low rated jobs. The Facilities department will then use this data to monitor and scrutinise contractor performance through the separate dashboards for each contractor. Overall, this data will feed into the monthly KPI the department produces to report on the number of repair jobs completed within the service level agreement (SLA).

However, audit noted there were two errors with the way in which this data is currently being recorded and reported by the Force. The first being that for service requests which are cancelled, the Facilities department will record this as completed and this will consequently feed into the KPI data. Secondly, where service requests are non-compliant with the service level agreement, the Force will not report this as non-compliant until the repair has been completed, which could be months later. Therefore, once the repair is completed, the Force will amend the reported figure for the original month in which the SR was raised. Therefore, non-compliance is only seen from changes in previous month rates. This reduces the integrity of the reported figure for any given month, as this is susceptible to amendment in the future.

Furthermore, we noted that the current suite of KPIs could be expanded to include additional performance measures, which would enable the Estates and Facilities department to better demonstrate their performance in respect

of the various functions they carry out. This is further explored in the 04 – Areas for Further Improvement and Action Plan section.

Value for Money

Value for Money (VfM) considerations can arise in various ways and our audit process aims to include an overview of the efficiency of systems and processes in place within the auditable area.

Where an organisation commits to a capital project, it should do so with a clear understanding of the likely benefits that it aims to realise. Whilst not all benefits may be financial (e.g. enhanced collaboration, visibility), most projects will have links to either tangible financial benefits or increased efficiencies which will improve value for money. Audit noted that the Force considers the expected benefits that will derive from the project and the risks attached with each project, prior to committing to the project. This information is presented in the respective business cases for capital projects. This information is presented to the Force Executive Board, which aids the decision-making process of the Board.

Furthermore, the Force has increased collaborative working with partners where it has been possible to do so, to better utilise its resources through the joint use of Estates and bring the overall running cost of its Estate down. These arrangements are supported with formal agreements in place to better protect the Force's interests. This also permits the Force to continue delivery of its services, whilst increasing visibility in communities despite disposing buildings.

Sector Comparison

From our experience across our client base, we are seeing pressure on resources and higher service demands have resulted in challenges to the existing control environment. This often results in increased challenges to the decision-making process where conflicting priorities exist and need to be balanced with effective risk management.

Common areas of control strengths in management of the estate, which were also found to be evident at Nottinghamshire, include a well-developed rationalisation plan to reduce the number of uneconomical buildings and focus on a small cohort of assets to refurbish and develop, which will remain fit for purpose in the medium to long term. This is also supported by updates sent to the PCC through the Strategic Resources Performance meeting, which enables the PCC to have oversight of the progress made against the Estates Strategy and the Estates Rationalisation Programme.

In line with best practice the Force has key performance indicators (KPIs), which enable the Facilities department to monitor contractor performance against four priority ratings, with each assigned a timescale within which the service request is required to be completed.

Furthermore, audit have identified well performing peers in the public sector have in place additional KPIs to monitor the performance of the Estates and Facilities functions. This includes but is not limited to monitoring the number of repairs completed right the first time, monitoring customer satisfaction with particularly large capital works or planned maintenance works and monitoring the number of service requests raised for newly built or refurbished projects in the first 12 months. These metrics enable organisations to demonstrate value for money from the expenditure incurred and to further scrutinise contractor performance. At present, the Force is not performing in line with well performing peers, as the performance indicators in place currently prevent the Force from achieving demonstrating value for money or from scrutinising contractor performance where capital works or planned maintenance work has been carried out. Therefore, a recommendation has been raised – see Section 04 below.

04 Areas for Further Improvement and Action Plan

Definitions for the levels of assurance and recommendations used within our reports are included in Appendix A1.

We identified a number of areas where there is scope for improvement in the control environment. The matters arising have been discussed with management, to whom we have made recommendations. The recommendations are detailed in the management action plan below.

	Observation/Risk	Recommendation	Priority	Management response	Timescale/ responsibility
4.1	<p><u>KPI calculation</u></p> <p><i>Observation:</i> The Oracle system is used to raise service requests (SR) for the Facilities Management department, each SR is assigned a unique reference number. The SR's are then reviewed by the Facilities Management department and a priority rating is assigned to the SR depending on the nature of the work required. In certain circumstances such as job raised in error, job no longer required or where the department decides against completing the SR, the SR will be cancelled.</p> <p>Through a discussion with the Service Desk Supervisor audit were informed that where SR's are cancelled, these will feature in the KPI figure, as a completed SR. This KPI figure calculates compliance against the service level agreements (SLA) the Force has in place with the contractors, where 'critical' rated jobs are required to be completed within the target time of four hours, 'high' rated jobs 24 hours and 'standard' and 'low' rated jobs within 28 days.</p> <p>Audit also noted that the current process for recording non-compliance with the SLA in the KPI figures is not calculated correctly. This is because where an SR is non-compliant it is not recorded so until it has been completed, which could</p>	<p>The Force should ensure that where SR's are cancelled that these SR's do not feature in the KPI calculation and instead these are reported as a separate figure to identify the number of SR's cancelled each month.</p> <p>Furthermore, the Force should report non-compliance with the SLA in the month in which the SR falls non-compliant, as opposed to amending historical data. This will ensure that the Force maintain the integrity of the reported KPI figure.</p>	3	<p>Noted and agreed.</p> <p>Due to severe limitations in the reporting capabilities of the current MFSS system, it will not be possible to report the data in the way suggested. It is considered that this has very little impact on the overall figures as non-compliance with agreed timescales is always reported in the KPI figures, albeit in the month that the SR is completed.</p>	<p>Head of Estates</p> <p>30/11/20</p>

	<p>be the months after the original SR was raised. Therefore, resulting in compliance rates for previous months being adjusted, which does not provide clarity on the compliance with SLA's.</p> <p><i>Risk:</i> Inaccurate KPI calculation reduces the integrity of the figure reported and therefore prevents the effective scrutiny of contractor performance.</p>				
4.2	<p><u>Expansion of KPI suite</u></p> <p><i>Observation:</i> The Force currently monitors compliance against the SLA for SR's completed by contractors. This is currently the only KPI the Estates and Facilities department report on. As such, audit found there are no additional KPI's, which the Force has in place to enable senior management to scrutinise the performance of the Estates and Facilities department.</p> <p><i>Risk:</i> Poor performance of the Estates and Facilities department is not identified and addressed in a timely and effective manner</p>	<p>The Force should consider introducing a suite of KPI's to effectively monitor the performance of the Estates and Facilities department. Furthermore, this will enable the Force to demonstrate value for money from the expenditure incurred in fulfilling the Capital and Planned Maintenance Programme. This suite of KPI's could include but not be limited to:</p> <ul style="list-style-type: none"> • Monitoring the number of repairs completed right the first time by contractors fulfilling SR's; • Recording and reporting on the results of customer satisfaction surveys for newly built and recently refurbished projects and; • Monitoring the number of SR's received for newly built or recently refurbished projects in the first 12 months following completion. 	3	<p>As suggested, the suite of KPIs for Estates and Facilities will be expanded.</p>	<p>Head of Estates 31/1/21</p>

A1 Audit Information

Audit Control Schedule	
Client contacts:	Charlotte Radford, OPCC, CFO Mark Kimberley, Force, Head of Finance Tim Wendels, Head of Estates
Internal Audit Team:	David Hoose, Partner Mark Lunn, Assistant Manager Israr Raza, Internal Auditor
Finish on Site \ Exit Meeting:	9 th October 2020
Draft report issued:	14 th October 2020
Management responses received:	2 nd November 2020
Final report issued:	3 rd November 2020

Scope and Objectives

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

- There is a comprehensive and approved Estates Strategy in place which is aligned with strategic and medium / long term objectives of the OPCC and Force.
- The Estates Strategy is in line with the approved budget and is aligned with a fully costed and approved stock condition survey.
- Delivery of the Estates Strategy is supported by an agreed implementation plan / programme of work including the disposals of estates assets.
- Capital works are carried out in accordance with the implementation plan / programme of work including the use of capital receipts from disposals.
- Non-delivery of the capital programme is flagged at the earliest opportunity and actions put in place to address the issues.
- Effective processes have been put in place for the delivery of day-to-day / reactive maintenance work.
- Budget control processes ensure that actual spend is in accordance with the approved budget.
- Joint working arrangements with the Fire service have clear and defined agreements in place that have been subject to appropriate levels of scrutiny and authorisation.
- Management information is available to enable effective monitoring of performance against the capital programme and delivery the reactive maintenance service.

The objectives of our audit were to assess the adequacy and effectiveness of internal controls in operation with a view to providing an opinion on the extent to which risks in this area are managed. In giving this assessment it should be noted that assurance cannot be absolute. The most an Internal Audit Service can provide is reasonable assurance that there are no major weaknesses in the framework of internal control.

We are only able to provide an overall assessment on those aspects of Estate Management that we have tested or reviewed. Testing has been performed on a sample basis, and as a result our work does not provide absolute assurance that material error, loss or fraud does not exist.

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

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

A2 Statement of Responsibility

Status of our reports

We take responsibility to the Office of the Police & Crime Commissioner for Nottinghamshire and Nottinghamshire Police for this report which is prepared on the basis of the limitations set out below.

The responsibility for designing and maintaining a sound system of internal control and the prevention and detection of fraud and other irregularities rests with management, with internal audit providing a service to management to enable them to achieve this objective. Specifically, we assess the adequacy and effectiveness of the system of internal control arrangements implemented by management and perform sample testing on those controls in the period under review with a view to providing an opinion on the extent to which risks in this area are managed.

We plan our work in order to ensure that we have a reasonable expectation of detecting significant control weaknesses. However, our procedures alone should not be relied upon to identify all strengths and weaknesses in internal controls, nor relied upon to identify any circumstances of fraud or irregularity. Even sound systems of internal control can only provide reasonable and not absolute assurance and may not be proof against collusive fraud.

The matters raised in this report are only those which came to our attention during the course of our work and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. Recommendations for improvements should be assessed by you for their full impact before they are implemented. The performance of our work is not and should not be taken as a substitute for management's responsibilities for the application of sound management practices.

This report is confidential and must not be disclosed to any third party or reproduced in whole or in part without our prior written consent. To the fullest extent permitted by law Mazars LLP accepts no responsibility and disclaims all liability to any third party who purports to use or reply for any reason whatsoever on the Report, its contents, conclusions, any extract, reinterpretation amendment and/or modification by any third party is entirely at their own risk.

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For Consideration	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Committee
Date of Meeting:	25 May 2021
Report of:	Office of the Police and Crime Commissioner
Report Author:	Kevin Dennis
E-mail:	Kevin.Dennis@nottinghamshire.pnn.police.uk
Other Contacts:	Kevin Dennis
Agenda Item:	Performance Update Report
	14

PERFORMANCE UPDATE REPORT

1. PURPOSE OF THE REPORT

- 1.1 This report provides the Police and Crime Strategic Resources and Performance meeting and Joint Audit and Scrutiny Panel with an update on progress in delivering the 2018-21 Police and Crime Plan (2018-21), in compliance with the Commissioner's statutory duties¹.
- 1.2 The report includes an update on key performance indicators to 31 March 2021 as detailed in the latest quarterly Performance and Insight Report (appendix A).

2. RECOMMENDATIONS

- 2.1 The Strategic Resources and Performance meeting and Joint Audit and Scrutiny Panel is invited scrutinise the contents of this report and seek assurance on any specific areas of concern, request further information where required and make recommendations within the scope of their role.
- 2.2 This update report is also designed to assist the Police and Crime Panel in scrutinising performance and delivery against the ambitions of the Police and Crime Plan in accordance with their statutory duty² and the scope of their role³.

¹ Section 13 of the Police Reform and Social Responsibility (PR&SR) Act 2011 requires the Commissioner to, subject to certain restrictions, provide the Panel with any information which they may reasonably require in order to carry out their functions, and any other information which the Commissioner considers appropriate

² Police Reform and Social Responsibility Act 2011

³ [Police and Crime Panels: A Guide to Scrutiny](#), Local Government Association (Updated 2016)

3. POLICE AND CRIME PLAN PERFORMANCE (2018-21)

- 3.1 The Performance and Insight report details 57 performance indicators and 12 sub-measures aligned to the 2018-21 Police and Crime Plan. These indicators are tracked by the force and OPCC on a quarterly basis as part of the Performance and Insight report which is routinely published on the OPCC website⁴. This paper provides an update on key performance headlines from the quarter 4 Performance and Insight report 2020/21.
- 3.2 **Protecting vulnerable people from harm:** Nottinghamshire continues to see strong and improving performance in police and partnership activity to protect vulnerable people from harm. Adult and child safeguarding referrals have continued to increase during the year (+16%) as a result of improvements in the identification of risk and earlier intervention to ensure that appropriate safeguarding actions are taken. This has included improvements in training and partnership responses to Child Sexual Exploitation, knife crime and modern slavery.
- 3.3 Missing person reports fell by 16% in 2020/21 affected, in part, by the Coronavirus Restrictions which reduced opportunities for missing person episodes and enabled individuals to be located faster. Mental health related incidents recorded by police also fell in 2020/21 (-11%) despite an increase the complexity of presenting demand and the use of health-based places of safety under s136 of the Mental Health Act. Positively, there were no cases in which custody was used as a place of safety under the Act in 2020/21.
- 3.4 The number of recorded drug trafficking and supply offences recorded by police increased by 12% in 2020/21, partly driven by increases in proactive policing activity as part of the Operation Reacher programme, which has been active across all 12 policing neighbourhoods since 5 October 2020. During the financial year, the combined Reacher Teams helped to secure 1,106 arrests, 492 drug seizures, 233 offensive weapon seizures, the recovery of around £470,000 in criminal cash and the seizure of 353 vehicles. The teams also issued 503 traffic warrants and generated and submitted around 1,195 pieces of intelligence to assist further enforcement and safeguarding. A breakdown of outcomes by local authority is shown below:

⁴ <https://www.nottinghamshire.pcc.police.uk/Public-Information/Performance/>

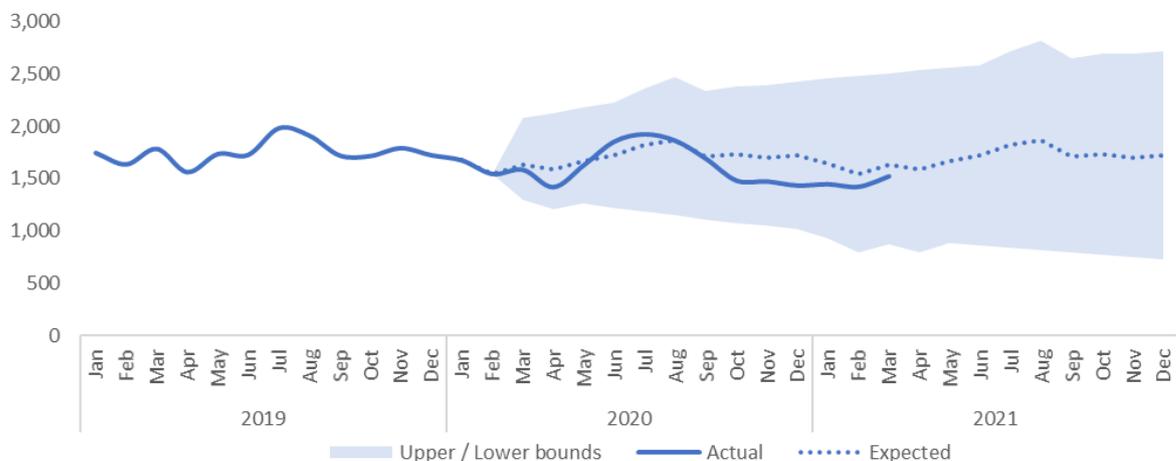
Fig 1. Operation Reacher Outcomes by Policing Neighbourhood – April 2020 to March 2021

	Arrests and VA	Magistrates warrants	Traffic offences	PACE Searches	Stop and searches	Weapons seizures	Drug seizures	Cash Seized	Vehicles seized	Intel generated
Ashfield	120	33	58	29	348	22	56	£10k	48	149
Bassetlaw	95	14	26	13	152	7	11	£9k	28	83
Broxtowe	56	27	10	38	38	7	25	£13k	12	112
Gedling	148	35	110	44	310	47	84	£258k	47	177
Mansfield	141	28	89	31	496	17	56	£4.5k	47	88
Newark & Sher.	54	14	22	19	114	7	23	£6.9k	22	87
Nottingham	443	128	154	154	731	114	217	£155k	130	439
Rushcliffe	49	18	34	40	80	12	20	£14k	19	60
Force wide	1,106	297	503	368	2,269	233	492	£470k	353	1,195

3.5 **Helping and supporting victims:** Levels of reported domestic abuse crimes reduced by 7% reaching the lowest level in two years. This reduction is likely to have been affected by the Coronavirus restrictions in place during 2020/21 resulting in fewer opportunities for domestic abuse to be identified and a significant reduction in night time economy-related activity. The proportion of repeat victims having reported a separate offence during the previous 12 months remained stable at 34%.

3.6

Fig 2. Police recorded domestic abuse in Nottinghamshire by month
Actual versus expected during period of Coronavirus Restrictions 2020/21



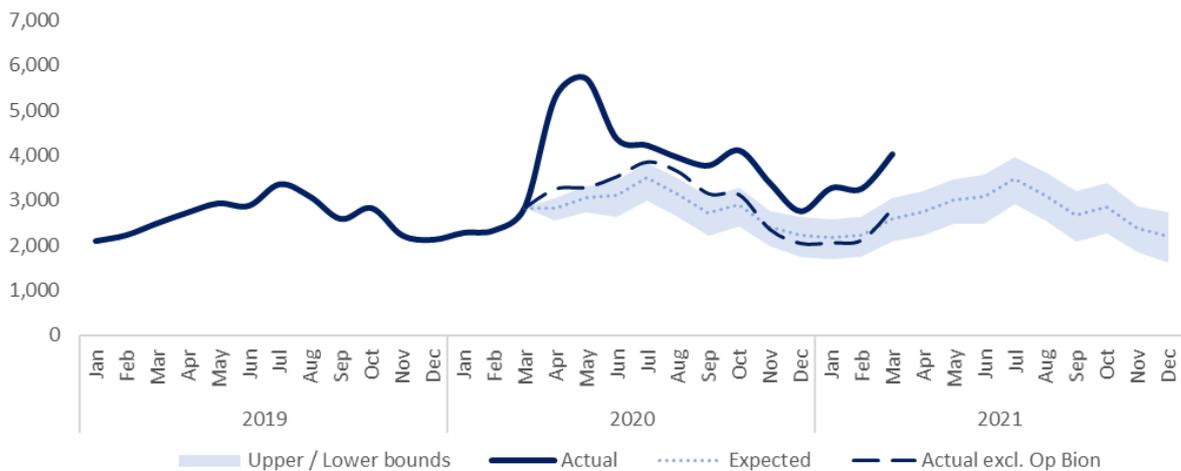
- 3.7 Force compliance with the Victim’s Code of Practice remains strong (93.9%) following the introduction of stringent reviews across adult and child public protection since June 2020 and continued robust screening of rape and serious sexual offence compliance.
- 3.8 Positive ‘cope and recover’ outcomes among victims accessing Ministry of Justice funded support services deteriorated by 11.2% points in 2020/21. The most significant areas of deterioration were seen in positive outcomes among those exiting restorative justice services (-27%, n=53), CSA/CSE services (-18%, n=196) and domestic abuse services (-14%, n=1,663). These reductions should be viewed in the context of the changing profile of victimisation and service provision, with some providers reporting an increase in levels of anxiety and case complexity among service users in the wake of the pandemic.

Fig 3. Percentage of victims exiting PCC Commissioned services reporting ‘Improved ability to recover and cope with everyday life’

	Oct 2018 to Sep 2019	Apr 2019 to Mar 2020	Oct 2019 to Sep 2020	Apr 2020 to Mar 2021
Overall Positive Outcome rate	78.1%	79.0%	72.7%	67.8%
Restorative Justice	73.2%	70.5%	54.1%	43.4%
Sexual Violence	72.4%	59.5%	53.7%	51.5%
Domestic Abuse	75.8%	83.0%	73.3%	68.5%
Victim Care	77.5%	76.4%	76.2%	69.7%
Child Sexual Abuse/Exploitation	94.6%	89.2%	86.6%	70.9%
New COVID-19 funded services	n/a	n/a	93.3%	94.7%

- 3.9 Around 11,300 individuals were supported by core OPCC commissioned victim services in 2020/21, with a further 691 receiving support via additional Ministry of Justice funded domestic and sexual abuse services in the wake of the pandemic. Positive service outcomes among those exiting the new COVID-19 funded services remained strong during the year at 95% (n=207).
- 3.10 **Tackling crime and Anti-social Behaviour (ASB):** Police recorded victim-based crime fell markedly in 2020/21 (-22%), largely impacted by Coronavirus Restrictions in place since 23 March 2020. Overall levels of police recorded anti-social behaviour increased by 50% in 2020/21, primarily driven by the enforcement of Coronavirus Restrictions (Op Bion) which accounted for around 12,820 recorded ASB occurrences during the year. When Op Bion incidents are excluded from the profile, the overall volume of ASB incidents saw no significant change in 2020/21 (+0.6%). It should be noted, however, that reductions in night time economy-related ASB which were off-set by more widespread increases in neighbourhood level nuisance during this period.

**Fig 4. Police recorded anti-social behaviour incidents in Nottinghamshire by month
Actual versus expected during period of Coronavirus Restrictions 2020/21**



3.11 Nottinghamshire continues to see reductions in levels of violent knife crime (-8%) and in the number of possession of weapon offences recorded (-16%), despite maintaining around 5,100 stop and searches across the force area over the last year. The positive outcome rate for stop and search saw a marginal deterioration during 2020/21, failing from 41% to 39%.

3.12 Feelings of safety by day (89%-90%) and after dark (62%-64%) remained strong in Nottinghamshire throughout 2020, however recent national events including the murder of Sarah Everard and rise in reports of dog theft have potential to impact upon this trend. New results from the quarterly Police and Crime Survey are expected in late May following delays to the fieldwork programme on account of the Coronavirus restrictions in place.

3.13 **Transforming services and delivering quality policing:** 2020/21 saw marked reductions in 999 call demand (-13%) following an increasing trend over the previous two years. The service also received around 172,260 fewer 101 non-emergency calls during the year marking a 23% reduction on 2019/20. Compliance with National Crime Recording Standards (97.6%) has continued to increase, reaching the highest level on record.

3.14 Action taken to improve the capture and accuracy of response data as reported via the 'SAFE' Command and Control system⁵ has led to a marked improvement in grade 1 urban (+2.7% pts) and rural (+3.2% pts) attendance times over the last quarter. By the end of 2020/21, the proportion of Grade 1 urban (77.7%) and rural (72.6%) incidents attended within the target time stood marginally higher than levels in 2019/20 (77.4% and 72.2% respectively).

⁵ The 'SAFE' system replaced the Legacy system in March 2020 which was no longer compliant with Home Office requirements. SAFE provides Command and Control, telephony and Airwave radio interfaces into the control room, with data recorded in real time. Work has been undertaken to ensure attending officers promptly record 'State 6' on arrival to ensure more accurate and reliable attendance data.

4. Case Study: Newark Safer Streets Project

- 4.1 In July 2020, the Home Office awarded the Office of the Police and Crime Commissioner £550k following a submission to the Safer Streets fund to reduce specified acquisitive crimes in the Chatham Court and Northgate areas of Newark and Sherwood.

The area, which had not been previously targeted for intervention, was selected on account of a higher density of residential and non-residential burglaries.

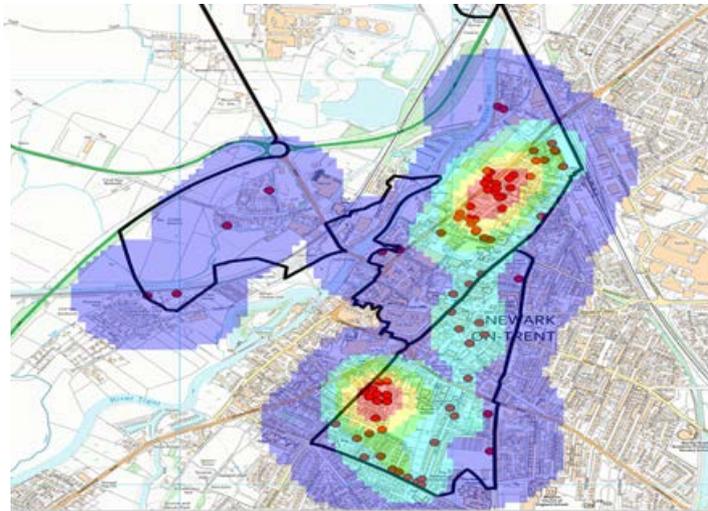


Chart 1 - Hot Spot of Domestic Burglary 1

- 4.2 The Office of the Police and Crime Commissioner, Nottinghamshire Police, Newark and Sherwood District Council and Nottinghamshire County Council set four strategic objectives were set for the project which included:-
- Community engagement to build capacity and resilience
 - Target hardening to prevent and deter crime
 - Police targeting of hotspots to reduce specified crimes
 - Environmental cleansing to make the area look and feel better
- 4.3 11 specific interventions were deployed as part of the project, which included development of a Community Hub, introduction of a parking permit scheme, bicycle property marking and security, installation of 400 upgraded street lights, 400 extra hours of police patrols, free security upgrades on 140 people's homes including new fencing, high-security doors and windows, automatic number plate recognition (ANPR) camera deployment, enforcement activity, re-deployable 4G solar-powered security cameras at over 30 houses and various environmental improvements.
- 4.4 A survey was undertaken in April 2021 designed to capture residents' views on the work undertaken in the area. The survey found that 82.6% of respondents now felt safe or very safe as a result of the work done. Furthermore, 67.1% of respondents said they now felt safer leaving their homes unoccupied and 69.1% said the 'Safer Streets' improvements had made them feel safer or much safer at night. 67.8% said improved CCTV had made them feel safer and 50.3% felt that

their homes were now less likely to be burgled. 63.1% also reported that the improved levels of street lighting had made them feel safer. Overall police recorded crime in Newark fell by 16.9% in 2020/21.

- 4.5 Following the success of the project, partners are now collaborating to deliver further target hardening opportunities in three other local crime hotspots in the Beacon and Castle wards of Newark. The work, costing in the region of £102k, is being part-funded by the OPCC with partners contributing matched funding, and will be supported with high-visibility patrols and environmental clean-up activity. It will also cover the cost of the Burglary Reduction Officer's post for a further year.
- 4.6 Project leaders will also continue to engage with residents in the Chatham Court and Northgate areas to encourage more people to get involved in crime prevention activities including Neighbourhood Watch. The survey showed more than a quarter of residents in these areas were either interested in getting more involved in safety activities or were already playing an active role.

5. HMICFRS Inspection Report: Policing the Pandemic

- 5.1 HMICFRS published the thematic inspection report 'Policing the Pandemic'⁶ on 20 April 2021. The report presents findings from a snapshot of policing based on detailed inspections of 19 forces visited between March and November 2020, of which Nottinghamshire was included.
- 5.2 The report found that, despite some inconsistencies nationally, police responded well to the exceptional circumstances of pandemic, showing dedication, commitment and adaptability in minimising the effect of the virus on public service. Custody services in a COVID-19 environment Police leadership relied upon its tried and tested knowledge, structures and processes to address enormous difficulties and quickly develop new solutions where previous measures did not meet the problem.
- 5.3 The inspection notes that government communication about restrictions and regulations was often at short notice and subject to change, which in turn affected the police service's ability to produce guidance and brief staff. This led to errors and inconsistencies in approach across some areas, including in the application of the Four E's approach⁷, which forces have learnt from.
- 5.4 Most forces improved their use of technology during the pandemic, adapting their working practices and exploiting the benefits of remote working, reduced travel

⁶ [Policing in the pandemic - The police response to the coronavirus pandemic during 2020](#), HMICFRS, April 2021

⁷ *Four Es approach of engaging, explaining and encouraging before enforcing the legal requirements*

time and greater attendance (by the police and other organisations) at meetings. This has helped to ensure more coherent and robust decision-making in many cases and could offer long-term benefits to police effectiveness and efficiency.

- 5.5 Conversely, other aspects of service were adversely affected in some areas, including a rise in the number of crimes not investigated as they were deemed unlikely to be solved, reduced in-person visits to registered sex offenders and existing backlogs in the criminal justice system being exasperated by pressures caused by the pandemic. The inspectorate notes that policing, other criminal justice bodies and governments need to work together to ensure that the CJS can recover.
- 5.6 In assessing risks in vulnerability, the inspectorates noted steps taken by Nottinghamshire Police to enhance quality assurance processes and reduce the chances of missing elements of risk and vulnerability by including content about vulnerability in its vlogs and updating officers and staff on how to spot and act on concerns. The inspectorate also noted that when demand dropped from other types of vulnerability in Nottinghamshire, officers and staff from other safeguarding teams were redeployed to support online paedophile investigation capabilities, enabling the service to mitigate the demand impact of new cases.
- 5.7 HMICFRS make five recommendations to local forces in addition to a range of learning points identified as part of the inspection. Recommendations include:
- Managing registered sex offenders: Forces must immediately make sure that officers understand and correctly implement the guidance for managing registered sex offenders during the pandemic.
 - Legislation and guidance: Forces must ensure that they can manage changes in coronavirus-related legislation and ensure frontline officers and staff understand the difference between legislation and guidance.
 - Test, track and trace: Forces must immediately put in place a policy to make sure they follow guidance and self-isolation directions when employees come into contact with someone with coronavirus symptoms.
 - Custody records: Forces must immediately make sure clear and consistent records on how/when/if detainees are informed of temporary changes to how they can exercise their rights to legal advice and representation.
 - Overall scale and impact of changes: Within six months, forces must assess temporary measures introduced during the pandemic that change the way they work considering positive, negative and unintended consequences, before determining if any of these new ways of working should continue.

6. Decisions

- 6.1 The Commissioner has the sole legal authority to make a decision as the result of a discussion or based on information provided to her by the public, partner organisations, Members of staff from the Nottinghamshire Office of the Police and Crime Commissioner (NOPCC) or Chief Constable. The Commissioner's web site provides details of all significant public interest decisions.⁸
- 6.2 Panel Members have previously requested that the Commissioner provide a list of all forthcoming decisions (Forward Plan) rather than those already made. This Forward Plan of Key Decisions for the OPCC and the Force has been updated and is contained in **Appendix D**.

7. Financial Implications and Budget Provision

- 7.1 The Capital and Revenue Out-turn Reports are provided as separate items on the agenda.

8. Human Resources Implications

- 8.1 None - this is an information report.

9. Equality Implications

- 9.1 None

10. Risk Management

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

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

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

12. Changes in Legislation or other Legal Considerations

- 12.1 The Commissioner publishes a horizon scanning briefing on a fortnightly basis which is widely accessed by OPCC, policing and other partner agencies nationally. The briefing captures information from a wide range of sources

⁸ <http://www.nottinghamshire.pcc.police.uk/Public-Information/Decisions/Decisions.aspx>

including emerging legislation, government publications, audits and inspections and significant consultations, statistics and research findings in order to help inform local strategic planning and decision making. The briefings can be accessed via the Commissioner's website⁹.

13. Details of outcome of consultation

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

14. Appendices

A. Nottinghamshire Performance and Insight report to March 2021

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

[Police and Crime Plan 2018-2021](#)

For any enquiries about this report please contact:

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Tel: 0115 8445998

⁹ <http://www.nottinghamshire.pcc.police.uk/Public-Information/Horizon-Scanning/Horizon-Scanning.aspx>



NOTTINGHAMSHIRE POLICE AND CRIME PLAN PERFORMANCE AND INSIGHT REPORT 2020/21

QUARTER 4: PERFORMANCE TO MARCH 2021

Guidance notes:

1. The following performance indicators are taken from the Police and Crime Commissioner's (PCC) plan 2018-21. The information is structured according to the four strategic priority themes.
2. Wherever possible, performance information is provided for a 12 month rolling period compared to the equivalent 12 months of the previous year. This provides a more stable indication of trends over time. Where information provided is for an alternative period, this is stated.
3. Additional insight is included in the report in order to provide context in relation to performance exceptions only.
4. Data sources are specified at Appendix A, including details of any information supplied outside of the Nottinghamshire Police Management Information team.
5. Amendments and additions have been added to this edition of the P&I report, in line with the revised Police and Crime Plan Strategic Framework (2018-21)
6. This report includes findings from the PCC's quarterly Police and Crime Survey. January to March fieldwork for the survey was affected by Coronavirus restrictions in place during this period. The survey programme resumed in April 2021 in full compliance with Market Research Society guidelines. Results are expected by the end of May.

Performance exceptions:

Performance exceptions, both positive and negative, are indicated within the report by the following markers:-

- Positive exception: Significant improvement in latest quarter, or improving trend over three successive quarters
- Negative exception: Significant deterioration in latest quarter, or deteriorating trend over three successive quarters

Summary of Key Performance Headlines and Exceptions

Theme 1: Protecting Vulnerable People from Harm – Pages 3 to 4

- Safeguarding referrals continue to increase, largely attributed to improved training and better Partnership working in relation to CSE, PPNs and Knife crime.
- Missing Persons Reports have continued to reduce, reflective of force investment in dedicated teams, new technology and use of 'best practice' to gather information from forces that have been inspected. Social distancing has increased 'attendance' at online meeting and improved information sharing.
- Online crime has seen increases this quarter, reflective of more online activity during COVID restrictions and national increases in phishing / scam emails.
- Police recorded Child Sexual Exploitation (CSE) offences have seen an increase; this is reflected as a positive due to on-going work to improve accuracy and the benefits of the CSE Perpetrator Matrix.

Theme 2: Helping and Supporting Victims – Pages 5 to 6

- Domestic Abuse recorded offences have seen levels drop to under 14,000 for the first time in over 2 years; possibly driven by under-reporting and lockdown measures.
- VCOP compliance has seen continued improvements again this quarter.
- There have been reductions in positive outcome rates among those exiting Ministry of Justice funded victim services in 2020/21, largely affected by the impact of the COVID-19 pandemic
- Adult and Child sexual offences continue to see reductions this quarter and against the previous 12 months.

Theme 3: Tackling Crime and Anti-social Behaviour – Pages 7 to 10

- Knife Crime and Possession of Weapons have seen further reductions this quarter.
- Alcohol ASB has seen a downward trend over the past 2 years and continues to see reductions this quarter.
- IOM has maintained the average re-offending risk rate this quarter of 71%.
- **The Police and Crime Survey reflected that Community Cohesion continues to show improvements.**
- ASB incidents has seen large increases in the yearly comparisons, attributable to the Covid restriction measures. Repeat Hate Crime victimisation rates have continued to increase.

Theme 4: Transforming Services and Delivering Quality Policing – Pages 11 to 13

- **The Police and Crime Survey has seen public satisfaction improvements in 'dealing with issues that matter' and 'police doing a good job'.**
- PSD recorded complaints have increased in the last 12 months while timeliness for complaint resolution has reduced by over 55 days in the past 12 months.
- Staffing levels for Police, Support and PCSOs have seen increases.
- Calls for Service: 999 and 101 have seen large reductions over the 12 month period.
- NCRS compliance has further improved this quarter.

Theme 1: Protecting Vulnerable People from Harm

Theme 1A: More Vulnerable People Safeguarded and Protected

	Aim	12 months to Mar 2020	12 months to Jun 2020	12 months to Sep 2020	12 months to Dec 2020	12 months to Mar 2021	Change over last year		
							%	Actual	
1A.1	Adult and Child Safeguarding Referrals	Increase	6,981	7,398	7,752	7,888	● 8,105	+16.1%	+1,124
1A.2	Missing persons	Monitor	2,895	2,713	2,541	2,473	● 2,288	-21.0%	-607
1A.3	Missing: No apparent risk	Monitor	3,103	2,838	2,817	2,732	● 2,590	-16.5%	-513
1A.4	Mental health-related incidents	Monitor	18,937	19,330	18,775	17,853	● 16,923	-10.6%	-2,014

Safeguarding Referrals

Safeguarding referrals continue to increase in Nottinghamshire during 2019-2021 and have continued the trend in the latest quarter. Overall, referrals increased by 16.1% during the year. This positive trend provides the force and partner agencies with confidence that improvements are being made in the identification and recording of safeguarding concerns, enabling agencies to take appropriate safeguarding actions to minimise the risk of harm. Improved training and better Partnership working in relation to CSE, PPNs and Knife crime are believed to have impacted upon this positive trend.

Missing Person Reports

Missing Person reports have been falling since May 2018 following investment in a dedicated Missing Team. The Team work collaboratively on safeguarding issues and investment in new technology, to assist in tracing missing people by processing telephone data more effectively.

People are located quicker and with fewer resources, representing a cost saving to the force while also increasing performance. Quarter 4 has seen further reductions with average monthly reports falling from 206 to 190 in the last year. The MFH Team continue to gather information and learning from recently inspected forces, for example, improving access to mental health support. Social distancing practices have also led to increased 'attendance' at (online) meetings and improved information sharing.

Reports of 'Missing with no apparent risk' increased during Feb and Mar 2020 – reaching the highest monthly rate since July 2018. The latest quarter, has seen continued reductions with the monthly average falling to 216. COVID restrictions have impacted demand in that both MISNAR and Missing Reports have all declined, this is a direct result of social distancing and the lack of places open which has also enabled people to be located faster. However, as restrictions have begun to ease an increase in demand is expected.

Mental Health-Related Incidents

The last 12 months have seen a monthly average of 1,410 police recorded mental health reports, which is an average decrease on the previous year end quarter of 78 reports a month (Jan to Dec 2020). The year to March 2021 has seen a 10.6% reduction on the previous 12 month period. It must be noted that Notts has seen an increase in the use of the S.136 Mental Health Act in the current financial year when compared to the previous year with the proportion of persons admitted long-term to hospital from S.136 at its highest ever. This suggests that although incidents tagged as Mental Health have reduced, we have seen an increase in the severity of mental illness. There have been zero S.136 detentions taken to custody as a place of safety in 2020/21, with all going to a health based place of safety; this is seen as a positive.

Theme 1: Protecting Vulnerable People from Harm

Theme 1B: Improved Response to Serious and Emerging Threats

	Aim	12 months to Mar 2020	12 months to Jun 2020	12 months to Sep 2020	12 months to Dec 2020	12 months to Mar 2021	Change over last year	
							%	Actual
1B.1	Fraud Offences	3,006	2,880	2,851	2,925	2,998	-0.3%	-8
1B.2	Online Crime	3,728	3,892	4,123	4,137	4,240	+13.7%	+512
1B.3	Drug Trafficking and Supply Offences	890	946	936	935	993	+11.6%	+103
1B.4	Police recorded Child Sexual Exploitation	474	468	428	434	477	+0.6%	+3
1B.5	Police recorded Modern Slavery offences	116	133	140	134	156	+34.5%	+40

Drug Trafficking and Supply Offences

The number of recorded drug trafficking and supply offences recorded by police increased by 11.6% in the year to March 2021. Roll out of Op Reacher continued during 2020 to cover each of the force neighbourhood areas. Between Jan-Mar 2021, the team undertook 217 drug seizures. They also conducted 1,091 stop searches, made 541 arrests, seized over £63k cash and seized 119 weapons, including firearms and machetes.

Modern Slavery

The total number of modern slavery offences recorded by police increased by 34.5% in the 12 months to March 21. This positive trend largely reflects on-going improvements in proactivity, training and awareness of the nature, risk, legislation and signs of slavery. The force's dedicated Modern Slavery and County Lines Team continues to take a proactive approach to identifying offences and ensuring survivors are protected and offenders are brought to justice.

Child Sexual Exploitation

The latest quarter has seen an increase in police recorded CSE, with a 0.6% increase over the last year and a 10% increase on the previous quarter.

The 2020 CSE Profile highlighted that data was still not as accurate as it could be. Further work was undertaken with the SEIU team to improve this, with weekly work by the SEIU Sergeants to add and remove NICL qualifiers to improve data quality. This has likely accounted for increased data volume but will also reflect what is occurring in Nottinghamshire more accurately.

Other factors to consider for the increase are:-

- Changes in schools and Social Care around Covid.
- The CSE Perpetrator Matrix is now up and running which will increase the amount of safeguarding CSE occurrences.

Online crime

Online crimes represent a significant challenge to the force and a growing demand on resources. Recorded offences have further increased by 13.7% over the last year, impacted in part by increased online activity during the period of Coronavirus restrictions. There has also been a national increase in the number of Online phishing and scam emails relating to Covid-19, Track and Trace and HMRC etc.

Fraud offences

Recorded Fraud offences saw a slight reduction of 0.3% in the current 12 month period when compared with the previous 12 months. This continued reduction is due, in some part, to a change in recording practices and the addition of new Niche occurrence types. The pandemic has also affected some of the trends and patterns seen in Nottinghamshire. Reductions could also be attributed to the work of the Fraud Unit in preventing people from becoming a victim of fraud in the first instance. It should be noted that there can often be a lag in reporting fraud offences on account of the time taken for some for people to realise that they have become a victim.

Theme 2: Helping and Supporting Victims

Theme 2A: Improved Reporting and Response to Domestic and Sexual Violence and Abuse

	Aim	12 months to Mar 2020	12 months to Jun 2020	12 months to Sep 2020	12 months to Dec 2020	12 months to Mar 2021	Change over last year	
							%	Actual
2A.1	Police recorded domestic abuse crimes	Monitor 15,041	15,097	14,979	14,243	13,988	-7.0%	-1,053
2A.2	Domestic abuse repeat victimisation rate	Monitor 34.1%	33.8%	33.4%	33.6%	34.1%	-0.0% pts	n/a
2A.3	Domestic abuse: Positive Outcome Rate	Monitor 13.7%	13.2%	13.3%	13.4%	12.9%	-0.8% pts	n/a
2A.4	% Domestic abuse victims satisfied (overall)	Monitor 89.0%	87.5%*	87.5%*	87.7%*	88.3%*	-0.6% pts	n/a
2A.5	Serious sexual offences: Adult	Monitor 1,420	1,335	1,313	1,231	● 1,181	-16.8%	-239
2A.6	Serious sexual offences: Child	Monitor 1,401	1,227	1,142	1,081	● 1,008	-28.1%	-393
2A.7	Sexual Offences: Positive Outcome Rate	Monitor 7.8%	8.2%	8.4%	8.2%	7.9%	+0.1% pts	n/a

Domestic Abuse

This quarter has seen further reductions in reported domestic abuse offences, with the annual volume falling below 14,000 for the first time in 2 years. This trend is likely to have been affected by Coronavirus restrictions in place during 2020/21, with fewer opportunities for victims to come forward to report victimisation and reductions in night time economy related activity.

The proportion of victims that are repeats has remained stable during the year while positive outcome rates remain consistent at around 13%.

Levels of satisfaction with the police among survivors of domestic abuse have reduced marginally in the latest 12 months; Ease of Contact and Actions taken are the main drivers of reduced satisfaction. Previous issues with Kept Informed satisfaction have improved this quarter after the Force devised an audit to review numerous crimes for VCOP compliance in keeping victims informed.

*** NB: Survey data is current up to March 2021 based on surveys undertaken in November 2020. Training new starters and absences due to the pandemic has had a knock-on impact on the turnaround of work in the team.**

Sexual Abuse

Both Adult and Child Serious Sexual Offences saw decreases of 16.8% and 28.1% respectively in the year ending March 2021 when compared to the previous 12 months.

Both Adult and Child offences recorded by police dropped markedly between March and May 2020 and again in Dec 20 to Feb 21, potentially attributable to the Covid-19 lockdown / restriction measures.

The positive outcome rate has maintained at around 8% this quarter. This is in part attributable to the positive measures in place in the Public Protection unit and more robust identification and charging of suspects.

Theme 2: Helping and Supporting Victims

Theme 2B: Victims Receive High Quality and Effective Support Services

	Aim	12 months to Mar 2020	12 months to Jun 2020	12 months to Sep 2020	12 months to Dec 2020	12 months to Mar 2021	Change over last year		
							%	Actual	
2B.1	Victims Code of Practice Compliance	Monitor	90.4%	91.4%	91.7%	92.9%	● 93.9%	+3.5% pts	n/a
	Victim Services: New Referrals	Monitor	10,135	10,135*	10,126	10,126*	11,920	+17.6%	+1,785
2B.2	Victim Services: Closed Cases	Monitor	3,524	3,524*	3,113	3,113*	3,534	+/- 0%	+10
2B.3	% Improved ability to cope and recover	Monitor	79.0%	79.0%*	72.2%	72.7%*	● 67.8%	-11.2% pts	n/a
2B.4	% crimes resolved via community resolution	Monitor	10.0%	9.5%	8.9%	9.3%	9.8%	-0.2%	n/a

Victims Code of Practice

The Victims Code of Practice (VCOP) requires that a VCOP assessment is made and recorded for every victim of a crime, and that victim services are offered to victims as part of this assessment. In order to be VCOP compliant, every victim-based crime should have a completed VCOP recorded and the officer should record that victim services have been offered.

Improvements in compliance have continued to be made over the past year (+3.5% points), which are likely to have been affected by continued robust screening of rape and serious sexual offence (RASSO) offences and VCOP compliance. For Adult and Child public protection compliance, stringent reviews have been put in place since June 2020. Overall, compliance in these two areas have improved as more teams have been included in the mandatory review process while maintaining high compliance.

Victim Services

PCC Commissioned Victim Services received 11,920 new referrals in 2020/21, of which 619 were supported by new providers receiving additional Ministry of Justice funding for domestic and sexual abuse support in wake of the Coronavirus pandemic.

Of the 3,534 closed cases receiving an outcome assessment in 2020/21, 67.8% reported improvements in their ability to recover and cope with aspects of daily life as a result of the support provided. This marks an 11.2% pt reduction in positive outcome rates since March 2020 which has remained stable throughout the pandemic.

This reduction should be viewed in the context of the changing profile of victimisation and service provision, with some providers having reported an increase in levels of anxiety and complexity among presenting service users.

*Moj data reported on a 6 monthly basis

Community Resolution

The proportion of crimes resulting in community resolution has been increasing steadily since September 2020 having reached a level comparable to that recorded in March 2020.

Theme 3: Tackling Crime and Anti-Social Behaviour

Theme 3A: People and communities are safer and feel safer

	Aim	12 months to Mar 2020	12 months to Jun 2020	12 months to Sep 2020	12 months to Dec 2020	12 months to Mar 2021	Change over last year		
							%	Actual	
3A.1	Victim-based crime: Total	Monitor	89,671	82,997	79,894	74,716	● 69,656	-22.3%	-20,015
3A.2	Victim-based crime: Rural areas	Monitor	11,406	10,718	10,458	9,769	● 9,489	-16.8%	-1,917
3A.3	Victim-based crime: Urban areas	Monitor	78,351	72,279	69,315	64,848	● 61,132	-22.0%	-17,219
3A.4	Average Crime Severity: Force-wide	Monitor	160.13	158.23	162.07	156.71	● 155.69	-2.8%	-4.4
3A.5	Average Crime Severity: Priority areas	Monitor	164.99	164.52	165.69	165.24	165.76	+0.5%	+0.77
3A.6	Residents reporting experience of crime	Monitor	18.0%	17.5%	16.9%	16.1%	Pending	TBC	TBC
3A.7	% residents feeling safe in area by day	Monitor	89.2%	89.9%	90.1%	89.7%	Pending	TBC	TBC
3A.8	% residents feeling safe in area after dark	Monitor	61.5%	62.7%	64.0%	63.1%	Pending	TBC	TBC
3A.9	% reporting drug use / dealing as an issue	Reduce	42.8%	37.5%	32.1%	32.0%	Pending	TBC	TBC

Police recorded crime

Police recorded crime, decreased by 20,015 offences in the year to March 2021, impacted by decreases between April and June 2020 coinciding with the stringent Coronavirus restriction measures in place. Notable reductions were seen in Robbery (-35.9%), Vehicle Offences (-36.2%) and Burglary (-34.4%). Reductions in police recorded crime have been more pronounced in the urban areas of the force with a further 22.0% reduction in the latest 12 month period.

Findings from the Police and Crime Survey to December 2020 indicate that self-reported experience of crime (excl. fraud and cyber) fell from 18.9% to 16.1% during the year with serious acquisitive crime and criminal damage seeing the most marked reductions.

Crime Severity

The average crime severity score of offences recorded by police (based on weightings via the ONS Crime Harm Index) has reduced in the latest quarter. Trends in crime severity will be monitored over the coming months as rates and trends of recorded crime during lockdown restrictions become clearer.

The 23 Priority Areas have seen a slight increase in overall crime severity over the last year. Arboretum and Bilsthorpe, Lowdham & Villages have recorded the highest severity scores in the 12 months to Mar 2021 (212.78/207.96).

Resident concerns regarding drug use and dealing

The proportion of residents citing drug use and dealing as an issue they would like to see the police and other partners do more to tackle in their area continued to fall throughout 2020. This coincides with extensive targeted enforcement activity linked to Operation Reacher. Reckless and dangerous driving is now the most prevalent issue of community concern highlighted as part of the Police and Crime Survey.

Feelings of safety

The proportion of residents reporting that they feel very or fairly safe in their area during the day and after dark has increased marginally over the previous 12 months. This may, in part, have been affected by changes in lifestyles and activity as a result of the Coronavirus restrictions in place.

Theme 3: Tackling Crime and Anti-Social Behaviour

Theme 3B: Fewer People Commit Crime and offenders are supported to rehabilitate

	Aim	12 months to Mar 2020	12 months to Jun 2020	12 months to Sep 2020	12 months to Dec 2020	12 months to Mar 2021	Change over last year	
							%	Actual
3B.1	Violent knife crime	Monitor 768	739	768	721	● 707	-7.9%	-61
3B.2	Violent knife crime: Positive outcomes	Monitor 26.6%	26.9%	26.3%	28.0%	● 29.1%	+2.6% pts	n/a
3B.3	Gun crime	Monitor 163	149	165	151	● 161	-1.2%	-2
3B.4	Possession of weapons offences	Monitor 1,199	1,112	1,084	1,019	● 1,005	-16.2%	-194
3B.5	Stop and Searches	Monitor 5,487	5,377	5,103	4,952	● 5,109	-6.9%	-378
3B.6	Stop and Search: Positive outcomes	Monitor 41.0%	39.8%	39.6%	39.3%	● 39.0%	-2.0% pts	n/a
3B.7	Alcohol-related violence	Monitor 16.0%	15.4%	15.6%	14.7%	● 13.9%	-2.1% pts	n/a
3B.8	Alcohol-related ASB	Monitor 8.9%	7.8%	7.5%	6.5%	● 5.8%	-3.1% pts	n/a

Violent Knife Crime

There has been a reduction in the number of violent Knife Crimes recorded since 2018, with a further 7.9% reduction recorded in the last 12 months. The proportion of offences resulting in a positive outcome, has increased by 2.6% over the same 12 month period.

Gun Crime

Recorded gun crime has decreased by 1.2% over the last year, with large decreases being observed between January and May 2020 in line with national lockdowns and tighter restrictions. Nationally, there has been a downward trend in firearm discharges through 2020 with little overall impact to the nature of the firearms market.¹

Stop Searches

There has been a reduction in the number of stop searches conducted in the 12 months to March 2021. This is possibly attributable to the Covid-19 pandemic and fewer people on the roads and fewer stops conducted.

Positive Outcomes improved steadily in 2019, although, small reductions have been seen throughout 2020 and in the 12 months to March 2021. The consistent level of positive outcomes is primarily associated with targeted intelligence led operations that derive from local commanders identifying a specific crime issue in a given location that can be addressed through on-street proactive policing activity. The force continues to work with communities in our use of these powers.

Possession of Weapons

Police recorded Possession of Weapons offences decreased by 16.2% to March 2021 compared to the previous year; this reflects the continued positive proactive work of Op Reacher and the neighbourhood community teams in taking more weapons off the streets; 119 weapons were seized Jan-Mar 2021.

Alcohol-related violence and ASB

The force is working to develop an accurate picture of alcohol-related crime via use of an alcohol marker on the Niche crime recording system. Alcohol-related violence continues to see steady reductions over the past two years. Alcohol-related ASB has also seen a steady downward trend over the previous two years.

¹ NABIS – Annual Strategic Assessment 2020

Theme 3: Tackling Crime and Anti-Social Behaviour

Theme 3B: Fewer People Commit Crime and offenders are supported to rehabilitate

	Aim	12 months to Mar 2020	12 months to Jun 2020	12 months to Sep 2020	12 months to Dec 2020	12 months to Mar 2021	Change over last year		
							%	Actual	
3B.9	IOM: Offenders subject to monitoring	Monitor	317	385	269	258	285	-10.1%	-32
3B.10	IOM: Offenders successfully removed	Monitor	78	61	93	70	80	+2.6%	+2
3B.11	IOM: Reduction in average re-offending risk	Monitor	-45.3%	-46%	-56.3%	-71.0%	-71.0%	+25.7% pts	-
3B.12	Youth Justice First Time Entrants: City	Monitor	140	109	105	114	113	-19%	-27
3B.13	Youth Justice First Time Entrants: County	Monitor	123	116	117	102	108	-12%	-15
3B.14	Crimes with an identified suspect (average)	Monitor	3,039	3,095	3,120	3,023	2,791	-8.2%	-248
3B.15	Positive outcomes: All crime	Monitor	15.3%	15.6%	15.2%	15.7%	15.6%	+0.3% pts	n/a
3B.16	Positive outcomes: Victim-based crime	Monitor	11.7%	11.9%	11.8%	12.2%	11.8%	+0.1% pts	n/a

Integrated Offender Management (IOM)

A successful year for IOM despite the difficulties of the pandemic. All normal activity has continued throughout the crisis, including home visits, statutory appointments and enforcement actions. IOM has additionally managed the emergency prison releases through COVID, and ensured that all such releases were subject at proposal to thorough checks and then monitored throughout the period of their temporary licence.

The National IOM Review and guidance will move the strategic emphasis towards the reduction of re-offending as opposed to harm to help the government meet its target of reducing neighbourhood crime by 20%.

DVIOM Scheme

The DIVOM performance figures are mostly the same as previous submissions. The PPIT score is now reflected using Power BI. The average reduction in PPIT for IOM DV offenders between entry and exit from the scheme is 7 points; equating to a 43% reduction in PPIT risk. The PPIT is used in addition to the IOM matrix to identify DV perpetrators and is the current academic leading model for this type of cohort selection.

There is scope within the new operational guidance to continue the successful DIVOM programme and some of the successful work done with Nottinghamshire's scheme, but there will be an expectation, as a primary, to move back towards the more traditional SAC type offending. The new guidance has been circulated to Chief Officers.

Youth Justice – First Time Entrants

The City shows a 199% reduction of FTE during the 12 months to the end of March 2021.
The County shows a 12% reduction of FTE during the 12 months to the end of March 2021.

Identified Suspects

The number of Niche crime outcomes with a named suspect saw an 8.2% decrease in the 12 months to Mar 2021.

Positive Outcomes: All Crime & Victim Based Crime

Positive outcome rates for both All Crime and Victim Based Crime remain relatively stable.

Theme 3: Tackling Crime and Anti-Social Behaviour

Theme 3C: Build Stronger and More Cohesive Communities

	Aim	12 months to Mar 2020	12 months to Jun 2020	12 months to Sep 2020	12 months to Dec 2020	12 months to Mar 2021	Change over last year		
							%	Actual	
3C.1	Police recorded hate occurrences	Monitor	2,370	2,395	2,404	2,343	2,242	-5.4%	-128
3C.2	Hate crime repeat victimisation rate	Monitor	14.4%	14.3%	15.4%	17.3%	● 17.8%	+3.5% pts	n/a
3C.3	% Hate crime victims satisfied (overall)	Monitor	84.1%	84.7%	83.8%*	85.9%	82.1%	-1.9%pts	n/a
3C.4	% feeling there is a sense of community	Monitor	54.0%	57.3%	59.6%	62.0%	Pending	TBC	n/a
3C.5	% feeling different backgrounds get on well	Monitor	54.7%	58.1%	61.4%	64.0%	Pending	TBC	n/a
3C.6	Anti-social Behaviour Incidents	Monitor	32,189	39,013	41,957	45,064	● 48,202	+49.8%	+16,013
3C.7	Anti-social Behaviour Incidents: % Repeats	Monitor	28.4%	26.9%	27.6%	28.3%	● 29.5%	+1.1% pts	n/a
3C.8	Alcohol-related ASB	Monitor	8.9%	7.8%	7.5%	6.5%	● 5.8%	-3.1% pts	n/a

Hate Crime (see Appendix A)

Recorded Hate Crime has remained relatively stable over the previous two years with a marginal decrease in the past 12 months. The proportion of hate crime victims that are repeat victims has continued to increase this quarter.

Victim Satisfaction rates have remained relatively stable over the past 12 months with a decline in satisfaction of Actions Taken resulting in an overall satisfaction reduction of 1.9% pts.

NB: Hate Crime survey data to March 2021 reflects data from November 2020 surveys.

Community Cohesion

The proportion of residents feeling that their area 'has a sense of community' and that 'people from different backgrounds get on well' has increased markedly over the last year.

Anti-social Behaviour

Police recorded ASB increased markedly over the last year, with an almost 50% increase in the 12 months to March 2021. The increase is primarily driven by the enforcement of Coronavirus restrictions since March 2020. The proportion of reports involving repeat victims remains broadly stable but has seen an upward trend over the past few quarters. Reports of alcohol related ASB have decreased over the previous year (-3.1%) mirroring trends in alcohol-related violence.

The PCC's Police and Crime Survey introduced new questions relating to experience of ASB in October 2019. Rolling 12 month data is now available for the latest two reporting periods and will be consistently tracked over time.

Theme 4: Transforming Services and Delivering High Quality Policing

Theme 4A: Further Improve Public Confidence in Policing

	Aim	12 months to Mar 2020	12 months to Jun 2020	12 months to Sep 2020	12 months to Dec 2020	12 months to Mar 2021	Change over last year		
							%	Actual	
4A.1	Police are dealing with the issues that matter	Monitor	41.7%	42.5%	44.0%	45.0%	Pending	TBC % pts	n/a
4A.2	Residents feeling the Police do a good job	Monitor	50.0%	51.7%	53.4%	54.0%	Pending	TBC % pts	n/a
4A.3	Residents reporting confidence in the police	Monitor	55.4%	57.8%	59.3%	59.0%	Pending	TBC % pts	n/a
4A.4	% residents satisfied with the police	Monitor	58.4%	57.9%	56.9%	58.0%	Pending	TBC % pts	n/a
4A.5	PSD Recorded Complaints	Monitor	898	904	894	1,015	● 1,095	+21.9%	+197
4A.6	PSD Recorded Complaints: Timeliness (days)	Monitor	134.2	112.9	97.8	83.4	● 78.5	-41.5%	-55.7

Public Confidence in the Police

The majority of indicators of public confidence in the police are increasing – particularly since March 2020. While an increasing trend was evident prior to the emergence of the COVID-19 pandemic, it is likely that the emergence of and response to the pandemic have contributed to an acceleration of these trends since March 2020.

Satisfaction with Police

25% of respondents to the Nottinghamshire Police and Crime Survey reported having had contact with the police over the last year, which marks a small reduction on levels recorded during the previous year (27%).

The proportion of those respondents reporting that they were very or fairly satisfied with the service they received has remained the same over the last year (58.0%), while there has been a slight increase in the proportion stating that they were neither satisfied nor dissatisfied (up from 15.0% to 18.0%). The proportion reporting dissatisfaction with the police meanwhile has fallen marginally from 25.0% to 23.0%.

PSD Recorded Complaints: Timeliness

Recorded complaints have seen an increase in the 12 months to March 2021, mainly driven by Covid issues and persistent complainers.

The average timeliness for the resolution of PSD complaints has reduced from over 130 days to 78.5 days in the past 12-month period. This is due to the benefits now being seen of revised practices within PSD and a sustained overhaul of the Centurion system and historical complaints now being finalised.

Theme 4: Transforming Services and Delivering High Quality Policing

Theme 4B: Achieving Value for Money – Budget and Workforce

	Aim	12 months to Mar 2020	12 months to Jun 2020	12 months to Sep 2020	12 months to Dec 2020	12 months to Mar 2021	Change over last year	
							%	Actual
4B.4	Staffing vs Establishment: Officers	101.34% 1,980/2,006	98.66% 2,059.01/2,087	99.32% 2,071.81/2,087	101.80 2,124.48/2,087	*101.23% 2,112.62/2,087	-0.1% pts	+132.62
4B.5	Staffing vs Establishment: Staff	98.35% 1,119/1,138	99.84% 1,198.89/1,138.67	103.83% 1,186.41/1,142.67	103.34% 1,181.86/1,143.67	*103.22% 1,212.53/1,174.69	+4.9% pts	+93.53
4B.6	Staffing vs Establishment: PCSOs	75.53% 151/200	83.42% 166.83/200	80.85% 161.7/200	78.46% 156.91/200	103.57 155.36/150	+28.0% pts	+5.91
4B.7	% Contracted days lost to Sickness: Officers	5.06% 20,718	4.83% 19,628	4.21% 20,718	3.84% 15,980	3.55% 15,239	-1.51% pts	-5,479
4B.8	% Contracted days lost to Sickness: Staff & PCSOs	5.07% 14,426	4.80% 13,741	4.50% 14,426	4.38% 12,947	4.16% 12,314	-0.91% pts	-2,112

Budget vs Spend: Revenue/Capital

The Q4 reports have yet to be approved by the FEB so, the latest data is not yet available.

The latest position as at Quarter 3 is as follows:-

In terms of budget vs actual spend for the third quarter (Oct-Dec) 2020/21, the Force was predicting a £1,094k overspend for the full year outturn ending 2020/21 for our revenue budget. The total outturn expected was £222,735k versus a budget of £221,659k.

For capital spend for the third quarter 2020/21, a total of £17,544k was spent and the full year outturn position was £25,177k versus a full year budget of £35,845k which is a difference of £10,668k which is split as slippage of £8,689k and an under-spend of £1,978k.

Staffing: Officers / Staff / PCSOs

*As of 28th February 2021, officer establishment levels were showing an increase of 132 officers when compared to the previous year. The number of Police Staff has increased by 93 over the same period, while the number of PCSOs has increased by 6 (it must be noted that the actual budgeted posts for PCSOs has reduced from 200 to 150 this quarter).

Sickness: Officers / Staff & PCSOs

NB: percentage figures relate to hours lost as an average of all FTE hours.

Officer and staff sickness rates have been reducing over the previous two years and have continued to see reductions this period. The Force has followed government guidelines and implemented self-isolation, shielding and authorised absences through the Personal Assessment process. Nevertheless, absence levels have not been adversely affected by the pandemic and have dropped considerably every month since March 2020. This may be due to: greater flexibility with home working; gyms and sporting activities being restricted and the arrival of new officers increasing overall staffing numbers; changing work practices and workloads reducing leading to reductions in pressure/stress; an increased motivation and sense of duty during a time of crisis.

Theme 4: Transforming Services and Delivering High Quality Policing

Theme 4C: Achieving Value for Money – Demand Management

	Aim	12 months to Mar 2020	12 months to Jun 2020	12 months to Sep 2020	12 months to Dec 2020	12 months to Mar 2021	Change over last year	
							%	Actual
4C.1	Calls for Service: 999	Monitor 195,050	188,570	184,039	177,403	● 169,685	-13.0%	-25,365
4C.2	Abandoned Call rate: 999	Monitor 0.54%	0.70%	0.86%	0.90%	0.48%	+0.1% pts	n/a
4C.3	Calls for Service: 101	Monitor 752,136	698,972	666,530	631,628	● 579,874	-22.9%	-172,262
4C.4	Abandoned Call rate: 101	Monitor 3.2%	7.4%	10.9%	7.7%	6.0%	+2.8% pts	n/a
4C.5	Response times: Grade 1 Urban	Monitor 77.4%	77.3%	76.0%	75.0%	77.7%	+0.3% pts	n/a
4C.6	Response times: Grade 1 Rural	Monitor 72.2%	71.1%	70.8%	69.4%	72.6%	+0.4% pts	n/a
4C.7	Response times: Grade 2	Monitor 51.4%	51.6%	50.7%	51.6%	58.1%	+6.7% pts	n/a
4C.8	Compliance with NCRS	Monitor 94%-96%	96.1%	97.2%	97.4%	97.6%	-	-

Calls for Service: 999 and 101

999 calls have seen increases over the last two years, however, the latest year to March 2021 has seen a reduction of over 25,000 calls compared to the previous 12 months, this correlates to the reduction in crimes and incidents due to the pandemic. Abandoned call rates for 999 remain extremely low.

Calls to the 101 non-emergency service have also fallen during the year (-22.9%). Abandoned call rates for the 101 service, have been increasing steadily, following marked decreases since 2018 with the latest quarter seeing a decrease when compared to the previous quarter. The recent rise in abandoned call rates is largely attributable to the COVID-19 pandemic, turnover of staff and the impact of training new starters.

Response Times within Target

Response times are now available from SAFE and have been updated. Response times for Grade 1 Urban and Rural and Grade 2 have seen increases in the current 12 month period when compared to the previous 12 month period, with an improved majority of calls being responded to within target times.

Improvements could be attributed to the better recording of State 6 on the SAFE system, and more officers available due to recent uptake in numbers.

Compliance with NCRS

Compliance with the National Crime Recording Standard remains strong at 97.6%. Due to personal absences the last audit was completed in January 2021, however, due to the robust first contact arrangements in place there is no reason to believe that this has deteriorated since then.

APPENDIX A

Hate Crime and Repeat Victims

Although the total number of Hate crimes recorded has remained relatively stable over the past 12 months, there have been significant changes in the type and location of hate crime due to the pandemic.

The usual hot spot locations are the City and Town centres resulting from the night-time economy, however, due to the closing of pubs/restaurants and the various lockdown measures, this has moved to neighbourhood locations as people are spending more time at home and neighbourhood disputes have increased as a result. These disputes have a habit of building gradually and usually take the route of occurring repeatedly prior to being reported and can escalate from relatively minor incidents to more serious reports including Hate behaviour/language.

As a result, the Hate crime team, together with the City council and statutory partners have deployed 'Operation Fossil' which seeks to tackle 'low risk' hate offending on the first occasion where no formal measure is enacted by the police (where no formal prosecution route is taken or the IP doesn't support it). This involves a written warning to first time offenders to prevent repeats and reduce further harm to victims. This is a staged process which, pending on partner availability and lockdown protocol will also see victims and offenders receive a multi-agency visit with a view to problem solving the underlying issues that are often present and not represented on crime reports – for example access/egress/parking issues.

In the last year, Nottinghamshire has seen a rise in Hate crime within Mental Health institutions (eg Highbury and Rampton) within which there has been a spike in repeat victims as the victims have been the same Healthcare Professional subject to racial abuse for example.

Similarly, when the pandemic commenced last year, shops were open but hospitality was closed and an increase in Hate Crime towards shop staff (predominantly racist) was seen across the County as staff sought to impose Covid regulations, mask wearing and 2m social distancing.

Finally, a spike has been noted in Covid related Hate crime towards the Chinese community, some of which is believed to have gone unreported based on information from University partners. This has led to Nottinghamshire Police changing their leafleting into a number of different languages to educate our diverse communities about Hate crime reporting.

For Information	
Public	Public
Report to:	Joint Audit & Scrutiny Panel
Date of Meeting:	25 May 2021
Report of:	Chief Constable
Report Author:	Tracey Morris
E-mail:	Tracey.morris@notts.police.uk
Other Contacts:	Danny Baker & Mark Kimberley
Agenda Item:	15

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

Quarter 4 2020/21 Capital Outturn.

1. Purpose of the Report

- 1.1 The purpose of this report is to provide the financial outturn position for capital for the financial year 2020/21.

2. Recommendations

- 2.1 That the Force Executive Board and the Office of the Police and Crime Commissioner notes the outturn position as detailed in the report.
- 2.2 That the Police and Crime Commissioner approves the slippage recommendations in Appendix B.

3. Reasons for Recommendations

- 3.1 To update the Office of the PCC on the Force's outturn position for 2020/21 as at the end of quarter 4 and also to comply with good financial management and Financial Regulations.

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

- 4.1 Summary
The Capital Programme for 2020/21 to 2024/25 was presented and approved at the Police and Crime Panel meeting on 6th February 2020.
- 4.2 The capital budget for 2020/21 is £42,431k. This is calculated as slippage from 2019/20 of £1,169k and new allocations in 2020/21 of £41,263k. This is an increase of £600k approved on decision record 2021.005 from future year's budget to 2020/21 to offset costs in relation to Nottingham Custody Suite. Decision record 2020.055 approved the termination agreement from the Venson contract and subsequently the purchase of the vehicle fleet. The programme is summarised in the table below:

	New Budget 2020/21 £'000	Slippage From 2019/20 £'000	In Year Approvals £'000	Revised Budget £'000
Estates	28,870	838	500	30,208
Information Technology	5,212	331	(500)	5,043
Other Projects	7,180	0	0	7,180
Total	41,262	1,169	0	42,431

- 4.3 The review of capital expenditure shows an outturn position of £30,369k. This is representing an underspend of (£3,426k) and slippage of (£8,636k). A breakdown of all the projects can be found in Appendix A.
- 4.4 Within the Estates projects are the three new build projects for Nottingham Custody Suite, new Joint HQ Build and the SARC (Sexual Assault Referral Centre). These three areas alone amount to a combined budget of £25,759k and also amount to the majority of the slippage figure (£6,997k).

Nottingham Custody Suite – on going.

- The custody project is a multiyear project to deliver a new Nottingham Custody Suite at a new location within the City. It is expected that the project will be delivered on budget in totality, but the phasing may be a little out of line with costs being incurred. For a multi-million-pound project, over multi years this is not unusual.

New Joint FHQ – on going.

- The new Joint FHQ build is a multiyear project to deliver a new headquarters supporting the needs of Nottinghamshire Police and Nottinghamshire Fire and Rescue. The build is taking place on existing land, currently owned by Nottinghamshire Police. It is expected that the project will generate a reasonable underspend, to date £639k has been realised, the full amount will continue to be assessed.

SARC New Build – on going

- The current Topaz Centre (SARC) is unsuitable; there is no scope for extending the building to provide a seamless support package for victims. In addition, the Topaz Centre needs reparation and improvement from a forensic perspective and requires urgent mitigation work to bring the building up to United Kingdom Accreditation Standards (UKAS) forensic standards.
- As a result of this assessment a new build is being undertaken close to the existing Centre. During this financial year it is expected that design and planning fees will be incurred with a view to the build starting June 2021. The capital budget is therefore slightly out of alignment with the planned works.

Building Improvement, Renovation & Conversion Works – on going

- This is an annual programme and reflects the risks identified within the building condition survey. The survey assessed each building in terms of mechanical, electrical, and fabric works that is required to keep buildings in top condition. The works have been prioritised and these form the basis for this element of the capital programme.
- Within the plans for this financial year were replacement windows and roof for Radford Road and Oxclose Lane police stations, this work needs to be completed during summer months and due to COVID this work is now delayed and will be undertaken next financial year. A full review of the longer-term requirements under this project heading are taking place, however an increase in the underspend is reported this quarter to reflect our reduced estate and an expectation of the re-profiling that Estates are currently undertaking.

Custody Improvements – on going

- Custody improvement project. With the new building being undertaken for the city it became apparent that the facilities at Mansfield may need to be improved to ensure both suites operate to a similar standard wherever possible, this project is intended to upgrade and deliver essential works to Mansfield Custody suite. Estates have commissioned some feasibility works, but no commitments have been entered into. It is expected that Estates will develop a business case to further this project with a view to completing next financial year.

Uplift – Estates – on going

- In July it was decided to increase the number of car parking spaces at a number of stations to accommodate the increase in officer numbers, this budget was achieved by way of a virement from Information Technology Uplift project to create an Estates uplift project, the value approved was £500k.

Northern Control Room - on going

- Northern Control Room. As part of the arrangements to move out of the Hucknall training centre and to minimise the capital requirements for FHQ, it was identified that a cost effective solution would be to dual purpose the northern control room into a reserve control room for the FHQ site, but routinely to be used as 3 IT classrooms for learning and development. To enable this work to be completed would mean that for a short period of time the northern control room would have to close and all resources relocated to FHQ, due to the COVID pandemic the force felt that the risk was too great and the work will be delayed until the situation is less impactful.

West Bridgford Relocation - completed

- The current station has been identified as too large for our policing purpose, a decision was made to relocate policing teams to local fire stations, relocate the victim interview suits to other nearby police stations and the shared front counter service would be relocated to alternative premises in the centre of West Bridgford.

Hucknall EMAS - completed

- A project to relocate officers from Hucknall Police station to Hucknall Ambulance station which will become a base for all three emergency services. A small budget has been allocated for this financial year to cover a few outstanding fees and the contractor's retainer charge.

- 4.5 The Information Technology host of projects includes refreshing and upgrading the existing IT suite of equipment, continuation of the roll out of ANPR (Automatic Number Plate Recognition), an uplift in equipment representing the increase in officer numbers and ESN (Essential Services Network) which is a National project to replace the current airwave system and devices.

Technology Refresh – mostly completed

- Technology refresh is a recurring project that has been developed to provide the financial support to refresh and upgrade existing equipment that has reached end of life. The plans for this financial year include the ongoing procurement of BWV (Body Worn Video) devices, replacement laptops, tough books and workstations, DIR (Digital Interview Recording) suites & laptops, nimble storage, Hyper V server hardware refresh, replacement multi-functional devices (printers) and archive storage expansion.

Uplift – Information Technology - complete

- Operation Uplift includes the increase in BWV and airwave devices.

Essential Services Network – on going

- ESN is a national programme to replace the current airwave service. The project started some years ago and has seen several setbacks, progress is still fragmented and types of devices have yet to be established. It is expected that this project will slip again. The overall budget is likely to increase considerably and discussions at a national level are being held as to how the project will progress.

Automatic Number Plate Recognition - complete

- Replacement of static ANPR cameras around the County is the focus of this project. Existing cameras are old and the failure rates have been increasing, a number of cameras were replaced last financial year, with the last instalment delayed due to manufacturing issues in relation to Covid-19. There is scope and plans for further cameras to be replaced this financial year.

- 4.6 Other projects include vehicle replacement, increase in the fleet and more recently an increase in CED (Conducted Energy Devices).

Uplift – Fleet - complete

- Operation Uplift represents the impact on the force in relation to vehicles tied in with the increase in officers, costs currently attributed to this area are 11 Skoda Octavia's for operation Reacher, 3 Skoda Octavia's for additional capacity across the force. The running costs for the vehicles have been reflected in the revenue element of the Transport budget.

Vehicle Replacement Programme - complete

- Vehicle replacement is an annually recurring project that has been developed to provide the financial support to replace non-Venson vehicles that have reached end of life.

PFI Transport Purchase – complete

- In December 2020 the force contract with Venson was terminated as a result the force purchased the fleet and associated equipment from Venson, the capital value was £5,987k and consisted of 379 vehicles, vehicle lifts, MOT equipment, and 2 roadside recovery vehicles.

Taser - complete

- Utilising a grant to off-set the cost of CED (taser) devices the force has now increased capacity by a further 105 devices this financial year.

5. Financial Implications and Budget Provision

5.1 The financial information relating to this item is contained within item 4.

6. Human Resources Implications

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

7. Equality Implications

7.1 There are no equality implications arising from this report.

8. Risk Management

8.1 Monitoring of the accounts is problematic and errors in the data continue to be reported.

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

9.1 There are no policy implications arising from this report.

10. Changes in Legislation or other Legal Considerations

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

11. Details of outcome of consultation

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

12. Appendices

12.1 Appendix A – Capital Projects

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

13. There are no background papers relevant to this report.

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

APPENDIX A

Capital Projects

	Revised Budget	Actual	Under Spend	Slippage to 2021/22
	£'000	£'000	£'000	£'000
Estates				
Nottingham Custody Suite	13,000	12,968	0	(32)
New HQ Joint Build	11,959	4,969	(639)	(6,351)
Building Improvement, Renovation & Conversion Works	2,640	437	(2,150)	(53)
SARC New Build	800	185	0	(615)
Estate Improvements	567	107	(204)	(256)
Northern Control Room Conversion & Refurb.	362	2	0	(360)
Custody Improvements	166	28	0	(139)
West Bridgford Relocation	198	177	(21)	0
Hucknall EMAS	17	17	(0)	0
Operation Uplift - Estates	500	331	(163)	(6)
	30,208	19,221	(3,178)	(7,810)
Information Services				
Technology Services Refresh & Upgrades	2,573	2,531	(16)	(26)
Operation Uplift - IS	1,426	1,344	(82)	0
ESN	800	0	0	(800)
ANPR Camera Project	244	244	(0)	0
Command & Control	0	0	0	0
	5,043	4,119	(98)	(826)
Other Projects				
Operation Uplift - Fleet	445	402	(43)	0
Vehicle & Equipment Replacement	662	554	(108)	0
PFI Transport Purchase	5,987	5,987	0	0
Operation Uplift - Other	0	0	0	0
Taser	87	87	0	0
	7,180	7,029	(151)	0
Total	42,431	30,369	(3,426)	(8,636)

Recommendations for Slippage to 2021/22

	Slippage to 2021/22
	£'000
Estates	
Nottingham Custody Suite	(32)
New HQ Joint Build	(6,351)
Building Improvement, Renovation & Conversion Works	(53)
SARC New Build	(615)
Estate Improvements	(256)
Northern Control Room Conversion & Refurb.	(360)
Custody Improvements	(139)
Operation Uplift - Estates	(6)
	(7,810)
Information Services	
Technology Services Refresh & Upgrades	(26)
ESN	(800)
	(826)
Total	(8,636)

For Information	
Public	Public
Report to:	Joint Audit & Scrutiny Panel
Date of Meeting:	25 May 2021
Report of:	Chief Constable
Report Author:	Tracey Morris
E-mail:	Tracey.morris@notts.police.uk
Other Contacts:	Danny Baker & Mark Kimberley
Agenda Item:	16

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

Quarter 4 2020/21 Provisional Revenue Outturn Report.

1. Purpose of the Report

- 1.1 The purpose of this report is to provide the provisional financial outturn position for revenue for the financial year 2020/21.

2. Recommendations

- 2.1 That the Force Executive Board and the Office of the Police and Crime Commissioner notes the outturn position as detailed in the report.

3. Reasons for Recommendations

- 3.1 To update the Office of the PCC on the Force's outturn position for 2020/21 as at the end of quarter 4 and also to comply with good financial management and Financial Regulations.

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

4.1 Summary

In the 2020/21 budget a £3m ring fenced Performance Grant in relation to the uplift of an extra 20,000 officers nationally was reported. The grant has been approved and the income is being received in full monthly this is to alleviate any cash flow issues that may have been caused through Covid-19.

At the end of Q4 the force has incurred additional costs of £1,381k and loss of income of £564k in relation to Covid-19, mainly off-set by special grants. Additional costs of £300k in relation to orders that because of Covid-19 were delayed into 2020/21, the cost of which should have been incurred during 2019/20.

Additional costs along with additional overtime spends and the net cost of exiting the Vehicles PFI, £8,018k off-set by a Home Office Grant of (£6,599k) would have resulted in a larger overspend position, however the considerable savings on vacant staff posts have off-set most of this.

4.2 The total net expenditure budget approved by the OPCC for 2020/21 was set at £221.6m; this is split between Police and OPCC as per the table below.

Net expenditure budget	Police £m	PCC £m	Total Base £m
Employee	142.9	0.9	143.7
Premises	6.1	0.0	6.1
Transport	6.1	0.0	6.2
Comms & Computing	8.9	0.0	8.9
Supplies & Services	9.8	-	9.8
Agency & Contract Services	12.9	5.6	18.4
Pension	34.5	0.1	34.6
Capital Financing	8.5	-	8.5
Income	(13.1)	(1.5)	(14.6)
Grand Total	216.5	5.1	221.6

4.3 Detail

The review of revenue expenditure shows an outturn position of £65k overspend for Police and an on-budget position within the OPCC. This report will review each of the expenditure areas relating to the Police element of the budget.

Expenditure Type	Total Base £'000	Virements £'000	Revised Budget £'000	Actual £'000	Variance Over/(Under) £'000
Employee	142,858	1,540	144,398	145,038	639
Pension	34,460	365	34,824	35,416	592
Agency & Contract Services	12,763	51	12,813	13,815	1,001
Supplies & Services	9,834	275	10,109	9,597	(512)
Comms & Computing	8,915	535	9,450	10,054	604
Capital Financing	8,482	1,000	9,482	16,015	6,533
Transport	6,144	(1)	6,143	7,363	1,220
Premises	6,118	(1)	6,117	6,501	383
Income	(13,054)	(3,729)	(16,784)	(27,180)	(10,396)
	216,519	35	216,554	216,618	65

Employee costs: includes pay, allowances and overtime but excludes pension contributions.

The Actual shows an overspend position of £639k; this relates to an overspend on officer pay of £381k this overspend can be attributed to a higher number of transferees than planned, additional national insurance costs relating to overtime, an increase on bonus payments and general rephasing of starters and leavers throughout the year. An underspend on staff pay of (£773k) representing a high number of vacant posts; £55k saving on PCSO pay relating to reduced numbers during the year. £1,559k overspend on overtime this reflects costs of COVID deployments and is offset by Covid-19 grants.

External training course costs shows an underspend position of (£330k) and is due to courses being cancelled due to Covid-19 issues, much of this will therefore be an added pressure in the 2021/22 budget as accredited training requirements are caught up. It is expected that a knock-on effect will also increase spend pressures in 2022/23.

Pension costs include payments for employees along with pension's payrolls for ill health and injury pensions.

The Actual shows an overspend position of £592k. This reflects £727k for contributions to the pensions schemes for employees and mirrors the overspend on pay above. There is a £135k saving as a result of fewer medical retirements.

Agency and Contracted Services costs; includes collaboration charges, partnership costs and mutual aid charges.

The Actual is an overspend position of £1,001k. MFSS costs have reduced; (£703k) within this is a reduction in the GEN 2 costs, inflation and relative growth.

The charge from the region for EMSOU collaboration was £1,696k this will in part be offset by income, however there is an overall shortfall of £264k representing a shortfall of Officers supplied by the Force to the Collaboration being less than estimated.

Supplies and Services costs; includes all non-pay operational costs.

Actual is an underspend position of (£512k); An increase in insurance premiums of £292k, was offset by a reduction in the contribution to the Insurance reserve (£588k) due to Covid-19 impact on insurance claims liabilities.

There was a (£130k) saving for firearms equipment.

A delay in IT investment spend of £554k in the year, due to Covid-19, has been transferred to reserves for use in the following financial year when this investment spend will now take place.

An increase in consultants' costs of £282k as a result of extensions to contracts for the extension of EMSCU resources to the end of September, this is largely offset with income.

£250k efficiency saving allocated here will be incurred in other areas. This has been achieved across the force as expected.

Communications and Computing costs includes the costs of the information technology estate incorporating call charges, software licences, upgrades, networking, airwave, and postage costs.

Actual is an overspend position of £604k and this relates to £396k higher than budgeted increase in the Home Office charges for nationally managed projects.

£157k of orders that were delayed due to Covid-19 and impacted on the 2020/21 financial year; £124k of costs in relation to an increase for consumables and breakages, most of this relate to the airwave radios which are beyond end of life and are due to be replaced by ESN. £109k of cost has been incurred due to the increase in officer numbers, this will be offset by income from Uplift.

Costs have been offset by income from the uplift performance grant and savings of (£557k) in relation to over 40 separate negotiated contract renewals which have delivered savings to the force. It includes an EE (£135k) re-negotiated deal providing better value for the increasing data usage and ESA £41k for licenses.

Capital Financing includes the transfers in and out of reserves, contributions to capital financing, MRP (Minimum Revenue Provision) charges and interest costs.

Actual position is £6,533k overspend. The MRP has been increased by £332k to reflect the shorter lifetimes of assets that have been funded by borrowing, capital receipt contributions are also expected to be lower. This is offset by (£394k) transfer from general reserves and transfer of £6,668k to reserves which includes monies to offset the purchase of the vehicle fleet from Venson.

Transport costs, includes the cost of running the force fleet and other travel costs.

Actual is an overspend position of £1,220k. As at 22nd December 2020, the force ended the Vehicle PFI contract, this resulted in a net cost to the Force of £1,518k. The force has identified savings of (£353k) as a result of the change.

Premises costs include the running and upkeep costs of the estate.

The Actual is an overspend position of £383k. The increase in premises costs is partly due to delays in selling buildings, increased costs for PPE and an increase in maintenance.

Increased costs of cleaning custody £32k due to COVID, along with additional PPE purchases, there is also an increase of £44k on furniture. This is offset by an increase in income (£315k); this relates to the charging out of regional buildings, and reimbursement from the Home Office for PPE purchases.

Income includes grants, partnership funding, fee income and seconded officers' recharges.

Actual is an increase of (£10,396k). (£6,500k) relates to income from the Home Office to off-set the Vehicles PFI exit costs. (£529k) reflects the income due to off-set the EMSCU charges. (£1,632k) reflects the income from EMSOU CID for officer contributions; (£536k) + (£1,035k) reflects the new grant for Covid-19 Enforcement; (£183k) off-sets costs of regional buildings; (£161k) additional income generated from investment interest, this is off-set by £273k loss of income for sporting events as a result of Covid-19 and a reduction in the PFI income of £317k following the Vehicles PFI exit

A reduction of £343k income from the Speed Camera Partnership, due to a decision not to replace vehicles are offset by reduced contribution to capital financing. There is also general reduction in income due to Covid-19.

5. Financial Implications and Budget Provision

5.1 The financial information relating to this item is contained within item 4.

6. Human Resources Implications

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

7. Equality Implications

7.1 There are no equality implications arising from this report.

8. Risk Management

8.1 Monitoring of the accounts is problematic and errors in the data continue to be reported.

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

9.1 There are no policy implications arising from this report.

10. Changes in Legislation or other Legal Considerations

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

11. Details of outcome of consultation

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

12. Appendices

12.1 None

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

13. There are no background papers relevant to this report.

NB

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

Consideration	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	25 May 2021
Report of:	Police and Crime Commissioner
Report Author:	Lisa Gilmour
E-mail:	Lisa.Gilmour@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	17

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

COMPLAINTS & REVIEWS ASSURANCE REPORT

1. Purpose of the Report

- 1.1 To provide the Joint Audit and Scrutiny Panel, Police and Crime Commissioner (Commissioner) and Deputy Police and Crime Commissioner (Deputy Commissioner) with assurance that Nottinghamshire Police Complaints are being managed in accordance with Legislation and Statutory Guidance.
- 1.2 This report was presented to the Nottinghamshire Police Organisational Risk, Learning, Standards & Integrity Board on 10 March 2021 ahead of the Joint Audit and Scrutiny Panel and thereafter will be considered by the Police and Crime Panel.

2. Recommendations

- 2.1 Note the learning identified and agree to consider a future report from the Head of Professional Standards Directorate (PSD) in response to this report.

3. Reasons for Recommendations

- 3.1 The Commissioner and Deputy Commissioner have an oversight responsibility to ensure that Nottinghamshire Police Complaints are managed in accordance with:
 - Police (Conduct) Regulations 2020
 - Police and Complaint and Misconduct Regulations 2020
 - Independent Office for Police Conduct (IOPC) Statutory Guidance 2020

4. Summary of Key Points

4.1 What is a complaint?

A complaint is any expression of dissatisfaction with a police force that is expressed by or on behalf of a member of the public.

4.2 Complaint Files Dip Sampling Overview

To establish if Nottinghamshire Police complaints are being handled in accordance with the above-mentioned guidance and legislation, the Office of the Police and Crime Commissioner dip sampled 64 complaints relating to dog bites and use of force complaints closed between 01 February 2020 – 31 January 2021.

Seven complaints cases were not included in the sample as they were handled by PRI, special procedures or Initiated under old regulations.

57 cases were therefore dip sampled.

4.3 Findings

For all complaints sampled there was sufficient detail of the complaint and an initial assessment had taken place.

The average time taken for PSD (Professional Standards Directorate) to acknowledge a complaint in writing was 10 days.

57 (100%) of the complaints sampled were concerning complaint category B4 – use of force.

There have been no dog bite complaints finalised during the period 01 February 2020 – 31 January 2021.

4.4 Complaints handled otherwise than by Investigation

Complaints handled otherwise than by investigation are lower level complaints where it is likely that, if proven, the allegation would not result in further proceedings.

Complaints that can be quickly resolved to the satisfaction of the complainant can be logged outside of schedule 3. Complaints should be recorded inside schedule 3 if the complaint requires further investigation or if the complainant requests that the complaint is recorded.

4.4.1 22 (39%) of the complaints sampled were handled otherwise than by investigation inside of schedule 3.

4.4.2 2 (3%) complaints were handled outside of schedule 3.

- 4.4.3 The outcome of all 24 complaints was that the service provided by the Police was acceptable.
- 4.4.4 56 days was the average case time taken to resolve a complaint handled otherwise than by investigation.
- 4.4.5 All complainants were provided with a written outcome letter that also detailed their right to have their complaint reviewed.
- 4.4.6 There is no right of review for complaints handled outside of schedule 3.
- 4.4.7 7 (12%) of complainants applied their right to have their complaint reviewed. The OPCC is the relevant review for complaints handled otherwise than by investigation.
- 4.4.8 3 (43%) of reviews were not upheld and the outcome was that the response provided by Nottinghamshire Police was reasonable and proportionate.
- 4.4.9 2 (28.5%) reviews were upheld, CO/00133/20 and CO/00159/20. Please see Appendix B for details of complaint review recommendations and responses.
- 4.4.10 2 (28.5%) reviews are ongoing.
- 4.4.11 1 complaint was withdrawn by the complainant.

4.5 Professional Standards Directorate Investigations

Professional Standards Directorate Investigations are where it is likely that, if proven, the allegation of criminality or conduct would justify disciplinary proceedings.

- 4.5.1 33 (58%) of the complaints sampled were investigated by PSD.
- 4.5.2 The outcome of 32 of the complaints was that the service provided by the Police was acceptable.
- 4.5.3 The outcome of the remaining complaint, CO/00907/20, was unsatisfactory performance by an officer and advice was given from a supervisor.
- 4.5.4 The average case time taken to resolve PSD investigation is 35 days.
- 4.5.5 All complainants were provided with a written outcome letter that also detailed their right to have their complaint reviewed.

- 4.5.6 2 PSD Investigation reviews have been received. The IOPC is the relevant review body for PSD Investigation complaint reviews.
- 4.5.7 1 review (CO/00136/20) was upheld and the recommendation from the IOPC was for the complaint to be managed by the Reflective Practice Review Process.
- 4.5.8 1 review (CO/572/20) is ongoing.
- 4.5.9 8 complaints were withdrawn by the complainant. There was evidence that a public interest test had been completed and the outcome of all 8 was that it was not in the public interest to proceed with the complaint.

4.6 Observations

CO/00151/20 is recorded inside schedule 3 however there is no evidence of any communication with the complainant detailing the outcome of the complaint or their right of review.

It is not clear why CO/00152/20 complaint was recorded differently on Centurion.

The initial assessment form is labelled as Duty Report or Complaint Report within Centurion. There is evidence that the form is completed once a complaint is initially assessed but it does not appear to be updated throughout the complaints process.

There is varying terminology when a complaint is handled otherwise than by investigation. Local proportionate investigation and reasonable proportionate handling are frequently used.

PSD investigation case time is an average of 35 days. Whilst this is an excellent response time for investigations, the average case time for complaints handled other than by investigation is 56 days.

The dip sample identified two cases where complaint outcome letters were sent to complainants in Microsoft Word format.

4.7 Dip Sampling Recommendations

For the Professional Standards Directorate to:

- a) Provide assurance to the PCC/DPCC that all complaints relating to 4.6 of this report have been updated.
- b) Confirm the PSD special procedures process to the PCC/DPCC.

- c) Consider consistent IOPC 2020 Guidance terminology in correspondence and on Centurion
- d) Advise the PCC/DPCC of the process for updating the initial assessment form throughout the complaints process
- e) Review why the average case time for complaints handled otherwise than by investigation is higher than for PSD investigations
- f) Ensure that all letters sent via e-mail to external e-mail addresses are sent in PDF format.

4.8 Complaint Reviews Breakdown

The new legislation only applies to cases coming to the force's attention on, or after, 1 February 2020. Therefore it was several weeks before the first complaint review was received by the Office of the Police and Crime Commissioner.

For the twelve months (1 February 2020 – 31 January 21) there have been 39 complaint reviews undertaken.

9 (23%) complaint reviews have been upheld; in each case recommendations were made to Nottinghamshire Police.

Please see Complaint Review Monitoring Report Appendix A for further information on Police Complaint Reviews undertaken by the Office of the Police and Crime Commissioner. Appendix B also details the recommendations made to Nottinghamshire Police.

5. Financial Implications and Budget Provision

5.1 There are no financial implications or budget provision.

6. Human Resources Implications

6.1 There are no human resource implications.

7. Equality Implications

7.1 There are no human resource implications.

8. Risk Management

8.1 There may be a risk to the public's confidence in Nottinghamshire Police.

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

9.1 The report links to the Police and Crime Plan Governance and assurance priorities.

10. Changes in Legislation or other Legal Considerations

10.1 None

11. Details of outcome of consultation

11.1 The Head of the Professional Standards Directorate has been consulted on this report.

12. Appendices

12.1 Appendix A Complaint Review Monitoring Report

12.2 Appendix B Upheld Review Recommendations

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

13. N/A

Complaint Review Monitoring Report

BACKGROUND

On 1 February 2020 the process for dealing with complaints against the police in England and Wales was changed as a result of amendments to the Police Reform Act 2002 and implementation of the Police (Complaints and Misconduct) Regulations 2020. This report focuses on one aspect of the changes, namely the new responsibility that the local policing body (Police and Crime Commissioner) has for undertaking reviews of some complaints.

The legislation changes effectively created three different approaches to handling police complaints; those dealt with outside of Schedule 3 Police Reform Act 2002; those that are recorded under the Police Reform Act but dealt with “*other than by investigation*” and those that are recorded under the Police Reform Act and formally investigated. In broad terms, if there is an indication that someone serving with the police may have behaved in a way that would justify disciplinary proceedings this will result in a formal investigation, if there is no such indication the complaint can be dealt with “*other than by investigation*”. In effect “*investigation*” merely denotes that an *individual* is being investigated for potential misconduct. Cases “*dealt with other than by investigation*” will still seek to address a complainant’s concerns.

Where a complaint has been recorded it must be handled by the police force in a reasonable and proportionate way. Once the matter has been finalised the complainant is entitled to ask for a review if they are not satisfied it has been handled reasonably and proportionately. In most cases, where a complaint has been formally investigated it will be for the Independent Office for Police Conduct (IOPC) to carry out the review whereas if the matter has been dealt with “*other than by investigation*” the PCC will be the review body.

Method

In Nottinghamshire the PCC has commissioned Sancus Solutions to provide an independent reviewer who can consider and report on each complaint review. This process has been effective from 1 February 2020. Sancus Solutions provide a similar service to seven other PCCs. The reviewer appointed for the Nottinghamshire Office of the Police and Crime Commissioner has senior management experience of dealing with complaints.

When a complaint has been dealt with by the force the complainant receives a finalisation letter that advises to whom they should write if they are not satisfied their complaint has been dealt with in a reasonable and proportionate way. Where a complainant contacts the Office of the PCC seeking a review this is recorded and Professional Standards Department (PSD) are asked to make all relevant material available to the reviewer. The reviewer then accesses documents through the Centurion system that is used by PSD.

Once the reviewer has considered the case they provide a draft report for consideration and approval by the PCC or their deputy and, in appropriate cases, focused relevant feedback for PSD. Where the review determines that the original outcome was reasonable and proportionate the complaint review is not upheld. However if the outcome was not determined as reasonable and proportionate the complaint review is upheld and the PCC is entitled to make recommendations to the force for further action.

Complaint Reviews Breakdown

The new legislation only applies to cases coming to the force's attention on, or after, 1 February 2020. Therefore it was several weeks before the first complaint review was received.

For the twelve months (1/2/20 – 31/1/21) the Office of the Police and Crime Commissioner received 52 requests for a complaint review, all of which have now been considered.

Of the complaints undertaken, 9 (23%) complaint reviews have been upheld; in each case recommendations were made to the force.

Learning

The relatively low numbers mean it is difficult to identify specific patterns or to draw conclusions about how complaints are handled by the force. In a number of the nine upheld cases the enquiries carried out by the force were insufficient to address the complainant's concerns and suitable recommendations were made by the PCC to rectify this.

In some cases it was apparent that complaint handlers had either not fully understood the range of changes introduced in the new legislation or had not yet been confident about applying them (for instance there was limited consideration of the newly introduced concept of Practice Requiring Improvement – PRI). Any new legislation is likely to take some time to 'bed in' and for people to develop confidence in new practices. It is unfortunate that the changes became effective at the same time the coronavirus pandemic developed and it is likely this has made it more difficult for the force to reinforce the new approach in a consistent manner. Experience in other forces is similar.

One area for improvement that has been identified is the finalisation letters that were sent to complainants. In many cases these were unstructured, unclear or difficult to understand. In some cases the complaint had been handled appropriately but the finalisation letter did not adequately articulate this. During the first six months a significant proportion of finalisation letters were unsatisfactory. This was raised with the head of PSD who has been very supportive in ensuring additional training in letter writing (including a potential structure for the letter) is provided to her staff. Over the next six months this will be an area that will be considered in future reviews.

UPHELD REVIEWS

APPENDIX B

Date Received	Ref No.	Issue raised by the complainant	Action for consideration by Nottinghamshire Police
07.05.20	1	The complainant did not receive an update on their case despite them chasing. 3 months after the complaint was made, they received the finalisation letter.	For PSD to ensure there is an effective process for ensuring meaningful updates within 28 days to comply with National Guidance and Legislation.
10.07.20	2	Officers failed to investigate the incident thoroughly or make any attempts to prosecute the suspect.	That the Professional Standards Directorate should review their processes to ensure priority is given to the gathering of time-limited evidence (e.g. CCTV) where a complaint is made. That the person responsible for the bridewell reviews the way notification is carried out to identify whether processes can be improved.
12.06.20	3	Failure to update the complainant and failure to adequately investigate.	For Investigating Officers to clearly detail if a complaint is upheld or not in their outcome response.
04.07.20	4	The complaint was that the level of service was not acceptable.	It would be good practice for outcome letters to acknowledge if the level of service received has not been acceptable, this may contribute to a satisfactory outcome. PSD to record, action and review where organisational learning is identified.
20.08.20	5	The complaint had not been adequately considered. No updates were received, as the complainant was a suspect.	It would be good practice if the outcome letter confirms exactly what the complaints were, so it is clear exactly what has been considered. Should this scenario occur again, does Nottinghamshire Police have a process/guidance for updating an individual if they're both a victim & suspect?

30.07.20	6	The complaint related to a Public Order offence by a member of the public towards him.	For PSD to ensure that the outcome letters addresses the complaint.
08.10.20	7	Not satisfied with the outcome of the racial abuse incident.	For PSD to ensure victims are advised of the Victims Right to Review process when appropriate.

For Information	
Public	
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	25th May 2021
Report of:	Deputy Chief Constable Barber
Report Author:	Superintendent Donna Lawton
E-mail:	Donna.lawton@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	18

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

Complaint and Misconduct Investigations

1. Purpose of the Report

- 1.1 To inform the Joint Audit and Scrutiny Panel (JASP) that reform to the police complaints and misconduct legislation commenced on 1st February 2020. The data supplied within this report is from 27th November 2020 until 22nd April 2021.
- 1.2 To provide a final report, using data under the former legislation, of how the force compared nationally when dealing with complaints and misconduct matters.

2. Recommendations

- 2.1 It is recommended that the title/purpose of this report be revised by the Head of Professional Standards Directorate (PSD) and the OPCC Chief Executive to ensure scrutiny is provided to those key aspects of the complaints and misconduct system implemented by the 2020 legislation.

3. Reasons for Recommendations

- 3.1 To ensure that the JASP ensures the force and OPCC are compliant in their duty to record and investigate complaints and misconduct matters in accordance with the:
 - Police (Conduct) Regulations 2020
 - Police and Complaint and Misconduct Regulations 2020
 - Independent Office for Police Conduct (IOPC) Statutory Guidance 2020

4. Summary of Key Points

- 4.1 The force has been unable to provide a complete data set for this reporting period due to the change in legislation governing how complaints are recorded and handled. The new legislation listed in 3.1 was implemented on February 1st 2020.

4.2 Changes to the national complaints database - Centurion, mean that the force will be able to provide more qualitative analysis regarding the type of complaints it receives. The force will be able to report more fully on the individual and organisational learning identified from complaints. However, it should be noted that Centurion is a complex system and not all data can be readily extracted and can be time consuming.

The revised reporting should ensure the legislative changes are delivered by Nottinghamshire Police and the OPCC. The ethos of change is to ensure:

- The definition of a complaint has changed to ‘dissatisfaction with the service’ in order break the assumption that officers and staff have done something wrong.
- Complaints are handled quickly and at the first point of contact by a new service recovery team to improve customer satisfaction.
- Where a complaint investigation is required it will be done in a reasonable and proportionate manner to improve timeliness.
- Organisational and individual learning will be identified from complaints and implemented for continuous improvements to the service.
- The OPCC will review unresolved complaints. Recommendations from these reviews will be considered by the force.
- The force will promote a learning culture, where practice requiring improvement is identified and dealt with outside of the discipline regime by line managers through a formal reflective practice review process.
- The discipline regime is reserved for serious misconduct where formal disciplinary proceedings are justified.

4.4 The headlines for the new regulations from 27th November 2020 until 22nd April 2021 are as follows:

Initial complaint handling

- The front-end service recovery team are staffed by X1 Sergeant, x4 Complaint Handlers and X2 Administration Support Officers.
- In the reporting period the number of complaints received by the force was 425 in total. This has remained on average at 85 per month.

It is clear that a quick and professional conversation early is pivotal in resolving dissatisfaction with the service.

Inside Schedule 3 Complaints	Outside Schedule 3 Complaints
187	238

This shows an average of 56% of complaints are dealt with outside of Schedule 3. These are reviewed by a supervisor to ensure consistency and the correct application of the regulations.

- Staff skills and knowledge-

Upon a review of the department, it was identified that staff required training and additional support to suitably assess incidents reported in. A skills gap analysis was completed linked to the officer/staff members PDR. Training was then identified for the individual. The Covid 19 pandemic has stopped attachments to other departments at this time but these will start as soon as it is safe to do so.

However bespoke training has been provided to all staff during this reporting period on:

- Centurion.
- Property management training.
- The role of a Local Authority Designated Officer (LADO) in cases involving children.
- Taser training.
- Investigatory Powers Act training
- MOPI training.
- Artemis/Airwaves/BWV.
- Sub Judice.
- Demographic Data Capture

Staff have been given allocated individual learning time to also ensure they have a thorough understanding of the new regulations.

Training was given by an external provider (at cost) on 6th December 2020 in how to structure a letter and provide some consistency of approach during the investigation phase. This has proven successful and has already been commented upon positively by the OPCC appeals person who has noted a marked improvement. In turn this will lead to fewer complaints to appeal bodies and a duplication of work revisiting upheld appeals.

Training was given by an external provider (at cost) on 7th December 2020 for Senior Officers/staff who chair and sit within misconduct panels. This was to ensure their rationale for sanctions is appropriately written to withstand any appeals process This will prevent Judicial Reviews and formal appeals.

The bringing back into PSD of the two Reasonable Proportionate Handler (RPH) Sergeants has seen timeliness improve This decision has subsequently seen timeliness improve.

Peer reviews with Leicestershire and Cumbria PSD were also conducted in October 2020 to help share best practice. These peer reviews have helped improve existing processes within the Complaints Team and have

contributed towards the improvement of complaints being handled outside Schedule 3.

- Organisational learning-

This is a key area for PSD going forward. The emphasis will be on learning. The meetings and hearing officer is responsible for collating organisational learning. There is learning from all matters dealt with at meetings and hearings and as such it is now captured.

Once captured it is recorded and actioned. This is to be reviewed quarterly and will include any learning from the IOPC/OPCC too.

A monthly PSD bulletin is underway. It will share appropriate cases and the learning identified. The staff associations and Police Federation have all been consulted and have agreed this. This will ensure officers/staff do not make mistakes that could have been avoided.

- Inter Departmental links-

HR are now intrinsically linked into PSD. A monthly meeting is held to ensure HR are aware of individuals. There are multiple benefits to this including support for the officer/staff member and the investigation. Student officers from Operation Uplift have also come to the attention of PSD so DCI Sanders now attends the monthly student meeting held by CS Griffin and the Operation Uplift team.

- Reflective Practice-

Home Office Guidance states '*PRI means underperformance or conduct not amounting to Gross Misconduct or Misconduct, which falls short of the expectations of the public and the police service as set out in the Code Of Ethics*'.

The purpose behind the reformed system is to develop an approach to the handling of matters which fall short of the expectations set out in the Code of Ethics and are considered low-level conduct and mistakes.

During the reporting period we have had 9 officers subject to PRI. This is the highest number within our region and shows Nottinghamshire has taken the spirit of the regulatory changes in the way it was intended. This was positively commented upon at the National Complaints and Misconduct meeting.

4.5 The following areas of organisational level learning have been addressed in the reporting period:

- A review of Body Worn Video. This is currently under review and ultimately personal issue BWV is to be issued to all front line officers.
- Dog handlers are to be deployed with BWV.
- Internal processes during Operation Uplift have highlighted gaps surrounding sickness management. HR have taken the lead on this.

4.6 A comparison of performance data was taken from 27th November 2020 until 22nd April 2021 in comparison to the same period last year. The headlines are documented below:

- Complaint cases recorded are up 36.7%. An increase of 114 cases.
- Conduct cases have risen by 117.4%, an increase of 27. Some of these have been Covid 19 related.
- Regulation notices have risen by 164.3%. An increase of 23. This is to be expected with conduct cases rising.
- Local investigations (RPH) have shown a large improvement. Previously 103 days it is now at 66 days. There are legacy cases in here and this figure should fall again in the next reporting period. This is an area of focus for PSD.
- Conduct cases that have been finalised has risen by 21.2%. An increase of 7.
- The average number of working days to complete a conduct case has dropped by 41.5%. From 113 days to 66 days. This is against a backdrop of bullet point 2 above as conduct cases have risen by 117.4%.

5. Financial Implications and Budget Provision

5.1 There are no financial implications arising from this report.

6. Human Resources Implications

6.1 Due to changes that are to take place around building a learning culture an additional staff member namely a Constable is to be appointed. The recruitment process is currently open for this post.

7. Equality Implications

7.1 Equality data is recorded in relation to recording, compliance and monitoring of complaints and misconduct matters. The Head of professional Standards provides a quarterly report to the Equality Diversity and Human Rights Board chaired by the Chief Constable.

8. Risk Management

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

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

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

10. Changes in Legislation or other Legal Considerations

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

11. Details of outcome of consultation

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

12. Appendices

- 12.1 None

For Information / Consideration / Comment (delete as appropriate)	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	25th May 2021
Report of:	Deputy Chief Constable
Report Author:	Superintendent Donna Lawton
E-mail:	Donna.lawton@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	19

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

IOPC Investigations, Recommendations & Actions

1. Purpose of the Report

- 1.1 To inform the PCC in respect of the complaint and conduct matters which have been referred by Nottinghamshire Police to the Independent Office for Police Conduct (IOPC) during the relevant period 27th November 2020 to 22nd April 2021, together with relevant recommendations and actions

2. Recommendations

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

3. Reasons for Recommendations

- 3.1 The data summary in 4.2 outlines those DSI matters referred to the IOPC during the period 27th November 2020 to 22nd April 2021. In total 14 referrals were made compared to 24 in the last reporting period. Of the referrals made in this reporting period the IOPC have taken 1 as an independent investigation. 3 were taken within the last reporting period.
- 3.2 A total of 23 incidents were assessed in the reporting period to establish whether they met the criteria for referring to the IOPC. Where cases are not referred, the rationale is recorded and the matter reviewed to identify any personal or organisational learning. During the last reporting period there were 37 incidents recorded.
- 3.3 There have been no formal IOPC recommendations made in the reporting period.

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

- 4.1 Death or serious injury matters (DSI) are not necessarily linked to a public complaint or any identified misconduct. The full definition of a DSI can be found in section 29 Police Reform Act 2002; in brief it is where there is/may be a

causal link between a member of the public having contact with the police and death or serious injury occurring to that person. On receipt of a DSI referral the IOPC will determine the mode of investigation; usually an independent IOPC investigation or referred back to Force to investigate.

4.2 The data summary below outlines those DSI matters referred to the IOPC during the period 27th November 2021 to 22th April 2021.

Suicide following arrest	1
Injury following a collision during police pursuit	1
Suicide following investigation for sexual offence	3
Injury during arrest	1
Self – inflicted injury during arrest	0
Injury / death following police contact-other	5
Suicide while classified missing from home	1
Dog bite	1
Illness in custody	1

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

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

The table below shows the number in each category recorded by Nottinghamshire

Police in the reporting period 27th November 2021 to 22th April 2021. Serious assault is classed as actual bodily harm or above.

Type of conduct	Total
Serious assault	0
Serious sexual offences	0
Serious corruption (includes Abuse of Position Trust for Sexual Gain)	7
Criminal offence or behaviour aggravated by discrimination	0
Relevant offence (Where the sentence is fixed by law or 7 years upon first conviction)	0

5. Financial Implications and Budget Provision

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

6. Human Resources Implications

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

7. Equality Implications

7.1 No specific implications

8. Risk Management

8.1 It is essential the public have confidence in the service Nottinghamshire Police provide. Any risk identified is raised to the Organisational Risk and learning board.

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

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

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

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

10. Changes in Legislation or other Legal Considerations

10.1 None

11. Details of outcome of consultation

11.1 None

12. Appendices

12.1 None

For Information	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	25th May 2021
Report of:	Deputy Chief Constable Barber
Report Author:	Superintendent Donna Lawton
E-mail:	Donna.Lawton@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	20

PROFESSIONAL STANDARDS CONFIDENTIAL REPORTING PROCEDURE (Whistle Blowing)

1. Purpose of the Report

- 1.1 The purpose of this report is to update the Joint Audit and Scrutiny Panel (JASP) regarding the above area of business.
- 1.2 Specifically, the update will outline how the organisation and the Professional Standards Directorate (PSD) identifies and deals with those members of the organisation who make reports concerning breaches of professional standards. In particular, how they can be provided with support and confidentiality, when appropriate and necessary.

2. Recommendations

- 2.1 It is recommended that the Panel receive assurance from the processes in place relating to confidential reporting as detailed within the report.
- 2.2 It is recommended that the panel receive assurance that Nottinghamshire Police Professional Standards Directorate actively seeks information and intelligence from a variety of sources in order to prevent corruption.

3. Reasons for Recommendations

- 3.1 The number of confidential referrals has reduced year-on-year from 2018 to 2021. This is a trend experienced across all five regional forces. In December 2020 Nottinghamshire Police identified the counter corruption strategic priorities for the following 12 months, these will be reviewed in December 2021:
 - Disclosure of Information
 - Controlled Drug Use and Supply
 - Theft and Fraud

4. Summary of Key Points

- 4.1 Police officers, staff and volunteers, must be honest and act with integrity at all times. This is a principal and absolute standard of professional behaviour from which there can never be any departure. Without personnel possessing such attributes, public trust and confidence would be eroded, the Police would lack legitimacy and the service provided would become ineffective.

- 4.2 The reporting procedure for referring potential breaches in standards of professional behaviour, aims to create a climate where staff feel a genuine commitment to openness and transparency when reporting breaches of Professional Standards. Police personnel should be motivated with a desire to maintain the integrity of the Police service and feel assured that reporting misconduct and criminal transgression will be universally acknowledged as 'doing the right thing.'
- 4.3 The Force's 'Professional Standards Reporting Procedure' defines how Nottinghamshire Police will protect and support its officers, staff and volunteers, by both (a) providing a broad range of options for reporting breaches and (b) providing consistent and meaningful support to colleagues who report concerns.
- 4.4 The Code of Ethics as set by the College of Policing places a positive obligation on Police personnel to report suspected breaches in the standards of professional behaviour by their colleagues. Officers, staff and volunteers must be able to report such breaches openly, with the support of their peers and line managers and have the utmost confidence that in doing so, they will never be subject of victimisation, discrimination or disadvantage.
- 4.5 The reporting procedure identifies guiding principles and some examples of what activity or conduct should be reported, before outlining the different mechanisms and gateways for making such reports, which can be done anonymously, confidentially or in an open report.
- 4.6 The PSD have a key part to play in this procedure once a referral is made to the Directorate. Where open reports have been made, appropriate support will be given to the informant from the outset and proactive central and / or local management support and action will continue throughout the lifetime of the investigation and where necessary beyond that.
- 4.7 Confidentiality, when requested, will be given the highest priority. Nevertheless, relevant information will be subject of statutory rules governing disclosure. For misconduct cases that fall outside the scope of a criminal investigation, confidential information will be handled in a similar way to criminal intelligence. Where there can be no adverse effect on the person accused and a fair hearing can be guaranteed, immunity as to the disclosure of confidential information will always be sought.
- 4.8 For any officers, staff or volunteers who are concerned in coming forward to report any suspicion of corruption or misconduct the Force provides an anonymous and confidential digital reporting platform called 'Integrity Messenger.' This system allows two-way communication with the PSD Counter Corruption Unit (CCU) whilst still preserving the anonymity of the person reporting for as long as they feel the need. Two way digital dialogue allows for rapport and confidence building, which in turn can lead to the person reporting providing their personal details. This affords any linked investigation with an opportunity to pursue further lines of enquiry.

- 4.9 Work has recently been undertaken within the organisation to remind officers and staff of the location of the reporting tool and how to use it.
- 4.10 A confidential telephone reporting system, maintained by the CCU, is also available to all Officers and Staff. Telephone calls are taken in person between the hours of 8am and 4pm and outside of these times, there is a voicemail facility. This facility operates on both an external and internal telephone number.

In the previous reporting period of 1st March 2020 to 27th November 2020 a total of 17 confidential referrals were received by the CCU. All of these referrals fell outside of the National Counter Corruption categories as set by the NCA:

Non-counter corruption categories:

Business Interests	2
Inappropriate social media use	3
Line management issues	5
Conduct issue	2
Notifiable Associations	2
Other	3

In the current reporting period of 27th November 2020 to 22nd April 2021 a total of 21 confidential referrals were received by the CCU some categories of which were new such as Bullying and Grievance and Information security. Again all of these referrals fell outside of the National Counter Corruption categories as set by the NCA:

Non-counter corruption categories:

Bullying/Grievance	6
Line Management Issue	5
Conduct Issue	8
Information Security	1
Other	1

As can be seen, there has been a small increase during the most recent recording period, potentially due to increased communications within the

workforce around the reporting methods available. However, the organisation also appears comfortable reporting issues openly in person to PSD. The department still receive overt queries and give regular advice on how to deal with unsatisfactory performance.

Concerningly bullying and grievance issues appeared. Further work is underway with this category to identify themes/departments/individuals.

The CCU Department has seen an increase in workload due to the Covid 19 pandemic and this continues to date. The reporting mechanism has been by phone call or in person to the CCU and generally by supervisors of the individual concerned.

The CCU proactive work has increased over recent months and in turn, so has the number of corruption investigations. Six such investigations have been instigated in this reporting period from proactive work, including a theft and conduct issue, potential APSP and misuse of systems / disclosure of information. This is in addition to numerous welfare referrals and concerning behaviours which have been identified and dealt with through interventions and ethical interviews to prevent escalation.

The Head of department has visited all Senior Management Team meetings and discussed PSD and the CCU, identifying warning signs and what leaders should look for within their teams. Monthly meetings take place with all divisional heads of departments to discuss on going cases and learning that has been identified. Additionally, the CCU Sergeant has completed virtual briefings with all supervisors from the Response rotas across the force, particularly aimed at APSP behaviours but including the reporting mechanisms available. All of this should build towards a healthier and more professional workforce.

The Force achieved 'good' for its HMICFRS (Her Majesty's Inspectorate of Constabulary and Fire and Rescue Service) inspection rating in relation to how well it maintains an ethical culture and lawful workforce behaviour.

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

5. Financial Implications and Budget Provision

- 5.1 No specific financial implications are noted.

6. Human Resources Implications

- 6.1 An additional Detective Constable was requested at the 2020 ADA and will be joining the CCU. The officer will be DC 3316 Mohson Hussain.

7. Equality Implications

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

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

8. Risk Management

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

8.2 The overwhelming majority of individual members of Police personnel including police officers, staff and volunteers within Nottinghamshire Police are dedicated, hard working, compassionate, and deliver policing services with a high degree of integrity. Regrettably, there are a small number of Police personnel that are guilty of and vulnerable to, unethical behaviour, dishonesty and corruption. The harm they do far outweighs the numbers they represent.

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

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

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

10. Changes in Legislation or other Legal Considerations

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

11. Details of outcome of consultation

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

12. Appendices

12.1 There are no appendices attached to this report.

For Information	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	25th May 2021
Report of:	DCC Rachel Barber
Report Author:	Amanda Froggatt, Corporate Development Manager
E-mail:	amanda.froggatt@notts.police.uk
Other Contacts:	Laura Spinks, Force Assurance Lead Andrew Burton, Risk and Business Continuity Officer
Agenda Item:	21

BUSINESS CONTINUITY MANAGEMENT

1. Purpose of the Report

- 1.1 The purpose of this report is to present to the Joint Audit and Scrutiny Panel (JASP) an update on the Force Business Continuity Planning process.
- 1.2 To inform JASP of the Force Critical Functions identified by Heads of Department.
- 1.3 To inform JASP of the Business Continuity Testing timetable, which identifies key areas of the business to be tested each quarter.

2. Recommendations

- 2.1 It is recommended that JASP approves the identified list of Force Critical Functions.

3. Reasons for Recommendations

- 3.1 To enable JASP to fulfil its obligations with regards to ensuring the Force can enact an appropriate response should a critical incident occur.

4. Summary of Key Points

UPDATE

- 4.1 All Force wide Business Continuity Plans have been activated and continue to be dynamically reviewed to address the COVID-19 virus threat. All outcomes are regularly reported to the COVID-19 Gold meetings together with any potential threats that may arise.
- 4.2 Access to a business continuity drive has been created to ensure corporate oversight of all force plans. An overview document outlining critical resources for key function is also accessible to provide a priority guide in the event of systems, and other resources, needing to be restored.

Access to the drive is restricted to plan owners due to the contents and classification of information contained.

CRITICAL FUNCTIONS

- 4.3 The current list of critical force functions was circulated to ACC Milano and ACC Cooper and it has been agreed they remain as outlined in Appendix 1.

TESTING TIMETABLE

- 4.4 The timetable attached at Appendix 2 prioritises the key critical force functions for specific testing and then the capacity for individual Departments to identify contingency plans and innovative ways to recover essential services. This testing will be conducted by the Assurance and Planning Team together with appropriate staff from each Department.
- 4.5 The testing will be in the format of shallow dives. If any areas of concern are raised as a result of that light touch process, then further deep dives will be conducted into those specific areas.
- 4.6 Any learning from the testing regime will be fed directly to the Head of the Department and the Force Business Continuity Manager will work with appropriate individuals to ensure plans are updated and appropriate action is taken.
- 4.7 Learning will also continue to be directed to the Organisational Risk, Learning, Standards and Integrity Board so that good practice is shared force-wide and any risks are elevated to the appropriate risk registers.
- 4.8 The testing cycle will ensure that the plans are robust, fit for purpose and provide confidence that the Force can provide effective resources to tackle critical incidents and still address vulnerable individual and community needs.
- 4.9 This timetable will take place alongside the testing scenarios undertaken by the Force Emergency Planning and Local Resilience Forum. Any learning will be shared through the Organisational Risk, Learning, Standards and Integrity Board.

5 Financial Implications and Budget Provision

- 5.1 There are no direct financial implications associated with business continuity management within the Force.

6 Human Resources Implications

- 6.1 Professional support for Business Continuity Management is provided by one full time equivalent (FTE) who also has the risk portfolio and is based within Corporate Development.
- 6.2 General responsibility for business continuity management forms an integral part of the job descriptions of individuals managing critical functions within the Force.

7 Equality Implications

7.1 There are no known equality implications associated with the implementation of business continuity management within the Force.

8 Risk Management

8.1 Business continuity management is closely linked to the management of risk. Whilst the Force will maintain business continuity plans for its critical functions in order to meet its statutory obligations, an awareness and assessment of current risks will enable those plans to take account of changing circumstances and will therefore lead to better and more effective business continuity plans.

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

9.1 There is no specific reference to business continuity management in the current Police and Crime Plan, although continuation of Critical Functions at a time of disruption is vital in achieving any priority.

10 Changes in Legislation or other Legal Considerations

10.1 The Civil Contingencies Act 2004 places a statutory duty on all Category 1 responders (which includes the police) to maintain plans to ensure they continue to perform their functions in the event of an emergency, so far as is reasonably practicable. An emergency is defined as an event that threatens serious damage to human welfare, the environment or the security of a place in the United Kingdom. The qualification “so far as is reasonably practicable” means that in practice the Force is required to maintain plans for the continuity of its most critical functions to an acceptable level.

11 Details of outcome of consultation

11.1 Each departmental head has been consulted in relation to the identification of critical functions.

12. Appendices

Appendix 1: Business Continuity Force Critical Functions Priority Testing

Appendix 2: Proposed Business Continuity Testing Timetable

Appendix 1

Business Continuity Force Critical Functions

Definition of Critical Functions	Department	Section	Identified Critical Functions	Tested
<p>The Force has 9 Critical Functions which must be maintained:</p> <ul style="list-style-type: none"> To maintain effective communications with the public To receive and respond to Emergency Calls providing an appropriate response to immediate incidents prioritising those at greatest risk due to vulnerability To continue to effectively investigate crime ensuring vulnerable individuals are quickly identified and receive a response appropriate to their needs Maintain the ability to deal with: <ul style="list-style-type: none"> ➤ Major, Critical and Emergency Incidents ➤ Serious Crime ➤ Firearms Incidents ➤ Serious Public Order ➤ Fatal and Serious Road 	Senior Command Team	Chief Officer Team	<p>Maintain effective command of the force by developing and maintaining a command structure</p> <p>Engage where appropriate with both National and Local agencies, including Strategic Coordination Group, LRF and OPCC</p> <p>Engage with Regional Forces re collaboration</p> <p>Set policing strategy and prioritise the use of policing capability</p> <p>Set the strategy for return to normality following Critical Incident</p>	Yes
	Contact Management	Control Room	<p>Answering telephone calls – 999s (Immediate)</p> <p>Answering telephone calls – 101's (Immediate)</p> <p>Incident Creation (Immediate)</p> <p>Incident grading (CSA's) and incident grading (Dispatchers) (Immediate)</p> <p>Dispatching (Immediate)</p> <p>Control of incidents (dispatchers) and Control of Major incidents (Control Room Managers) (Immediate 24 hours)</p> <p>Answering telephone calls – 101s (Switchboard) (1 hour) Immediate</p> <p>Real Time Intelligence (Within 12 hours) (Immediate)</p>	Tested Regularly
	Local Policing City and County	Response	Provides the 24/7 365 capability to respond to incidents graded "Urgent" or "Priority" by the Force Control Room (FCR) Protect life and Property. (50 Officers 7 Sergeants 3 Inspectors immediately)	Yes
		Neighbourhoods	Provide Reassurance, visibility and engagement with communities	Yes

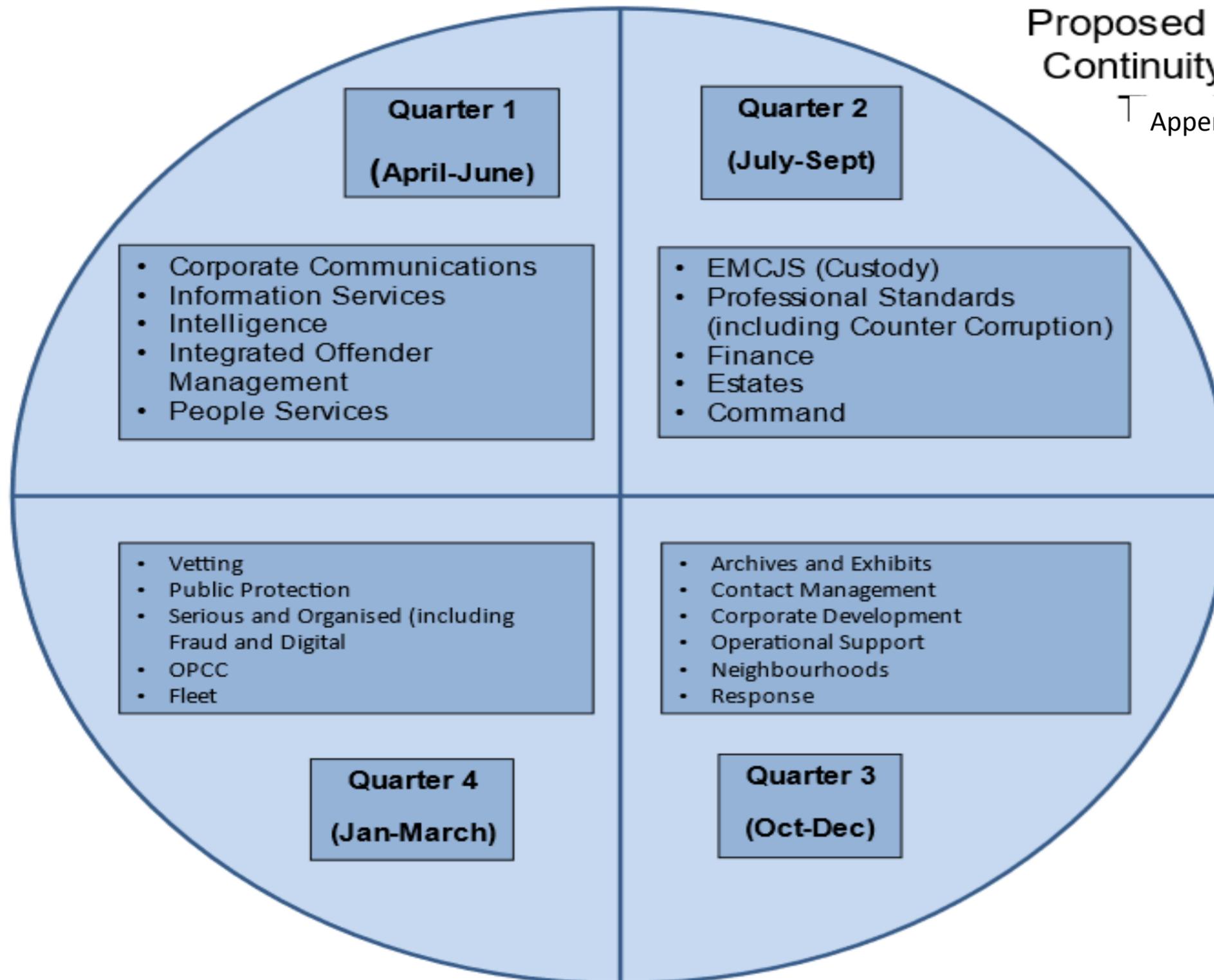
Definition of Critical Functions	Department	Section	Identified Critical Functions	Tested
<p>Traffic Collisions</p> <ul style="list-style-type: none"> Ensure the health, safety & well-being of staff through the provision of effective training, equipment, support and governance to deal with operational challenges. To provide effective custody facilities and Critical Case Progression To deal effectively with all matters which impact upon community cohesion, or the credibility and reputation of the Force To provide effective command and control of incidents To maintain a cadre of Police Officers/Staff with specialist knowledge e.g. Firearms and Critical Incident Commanders 	Crime and Operational Support	Intelligence	<p>Provide capability for Intelligence development to identify, research, report on open/closed source material</p> <p>Management of SPoC applications and out of hours (on call) cover.</p>	Yes
		Complex Crime	<p>Investigation of threat to life or firearms incidents</p> <p>Investigation of high risk Missings /Sudden Deaths</p> <p>Escalate where appropriate To EMSOU for additional resources</p>	Yes
		Public Protection	<p>Provide trained and equipped staff to conduct Child /Adult Protection investigations (CAIU and CSE investigations. (Immediate)</p> <p>Maintain Force Investigative capability</p>	Yes
	Operational Support Department	Armed Policing	<p>Provide Armed Police Incident Response capability including specialist Armed Police Response capability (including. Baton Rounds/CS/Stun Grenades)</p> <p>Provide trained Strategic/Tactical/Operational firearms Commanders to authorise and command deployments</p> <p>Provide trained Firearms Tactical Advisor for Gold/Silver Commanders</p> <p>Provide trained and equipped Explosives Search Dog and handler at relevant incidents</p>	Yes
		Tactical Support Teams	<p>Provide trained and equipped officers to give expert advice on Police searches</p> <p>Provide trained and equipped officers to search in relation to missing people, serious crime, both defensive and offensive terrorist searches and CBRN</p> <p>Provide PSU level officers fully trained and equipped to respond immediately to the threat of serious disorder</p> <p>Provide fully trained officers who are able to respond to any CBRN incident</p>	Yes

Definition of Critical Functions	Department	Section	Identified Critical Functions	Tested
		Operational Emergency Planning	Provide planning support to operations within the Force in addition a contingency and response to emergencies and incidents within the Force. Also tasks units within EMOpSS	Yes
		Serious Collision Investigation	Provide dedicated Road Death SIO's. Provide specialist capability to attend and investigate major/serious injury/fatal RTC Maintain Force Investigative capability	Yes
	EMCJS (custody)	Detain prisoners	Provide facilities for the reception and detention of arrested persons within Nottinghamshire	Yes
		Processing Prisoners	Provide facilities and enable effective processing of detained persons – including required pre charge processes (fingerprint, photo, DNA, drug testing, PNC update) and interview facilities.	Yes
	Corporate Services	Archives and Exhibits	Maintenance and provision of walk in freezers to ensure preservation of evidential items associated with serious crime. Ensure property/exhibits can be made readily available when required for court and criminal investigations.	Yes
		Information Services	Access to FHQ for the Support and Maintenance of Force IT technologies and systems supporting the ACPO Critical Policing Functions (4 hours) (Immediate 24 hours)	Yes
	Enabling Services	Estates	Provision of emergency accommodation Maintaining the emergency accommodation plan	Yes
		Fleet	Support Emergency Planning and operation support with an Emergency situation, including sourcing additional fleet when required	Yes
	Professional Standards		Provide on call critical incident cover.	Yes

Definition of Critical Functions	Department	Section	Identified Critical Functions	Tested
	Department			
	Enabling Services	Corporate Communications	<p>To maintain effective communications with the public, through a number of different communications platforms, including the force website and social media, and external news outlets (Immediate)</p> <p>Strategic communications management (Immediate)</p> <p>To ensure officers and staff, Partners and Stakeholders are kept up to date with information (Immediate)</p>	Yes
		People Services	Provide link and engage with Staff Associations /Unions, Duties Team and Occupational Health. Giving guidance and support to Senior Team and supporting staff and families as appropriate	Yes

Proposed Business Continuity Testing

Appendix 2



Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	25 May 2020
Report Author:	Kayt Radford
E-mail:	Kayt.radford@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	22

Custody Record Review Quarterly Report

1. Purpose of the Report

- 1.1 The Custody Record Review report details the findings of 48 custody record reviews undertaken during Quarter 4, 2020-21.

2. Recommendations

- 2.1 That the committee note the results of the report.
- 2.2 That the committee support the continuation of custody record reviews and that the results are published.

3. Reasons for Recommendations

- 3.1 To inform the committee of the results of the custody record reviews of the most vulnerable persons held in police detention (young people, immigration and foreign nationals and detainees in poor mental health).
- 3.2 To provide reassurance to the public that police custody is a safe and dignified place for the community.

4. Summary of Key Points (this should include background information)

- 4.1 Custody record reviews have highlighted that Appropriate Adult (AA) provision is good for young people with all records confirming that an AA attended. Average waiting times for an AA to arrive in custody have improved from the previous quarter.
- 4.2 Custody record reviews have shown that interviews were conducted in person by solicitors, AAs and police investigators despite a third national lockdown. However, instances of remote attendance at interview by solicitors have persisted during this quarter. Custody record reviews have shown that consent to the remote attendance by solicitors has been obtained from the detainee (and where necessary the AA too). This complies with the NPCC national custody protocol.
- 4.3 More than half of juveniles were held in custody overnight to allow police investigation, but none were found to have been held post charge.

5. Financial Implications and Budget Provision

5.1 Costs incurred are covered in the current budget provision.

6. Human Resources Implications

6.1 None

7. Equality Implications

7.1 Custody record reviews can show due consideration for the public sector equality duty Section 149 of the Equality Act 2010. Reviews focus on vulnerable detainees, including those of protected characteristics (gender, age and disability). The information extracted from custody record reviews also support the public sector equality duty by reporting on detainee's religious requirements.

8. Risk Management

Custody Record Reviews help to support safe police detention for the community.

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

Custody Record Reviews support the police and crime plan priority, transforming services and delivering quality policing.

10. Details of outcome of consultation

None

11. Appendices

Appendix 1 – custody record review report

Custody Record Review Report

January – March 2021

Introduction

The table below shows the number and type of custody records scrutinised during January – March 2021.

Young People	Immigration/Foreign Nationals	Detainees in poor Mental Health	Total
30	14	4	48

Key findings

The key findings from this report are:

Custody record reviews have highlighted that Appropriate Adult (AA) provision is good for young people with all records confirming that an AA attended. Average waiting times for an AA to arrive in custody have improved from the previous quarter.

Custody record reviews have shown that interviews were conducted in person by solicitors, AAs and police investigators despite a third national lockdown. However, instances of remote attendance at interview by solicitors have persisted during this quarter. Custody record reviews have shown consent to the remote attendance by solicitors has been obtained from the detainee (and where necessary the AA too). This complies with the NPCC national custody protocol.

More than half of juveniles were held in custody overnight to allow police investigation, but none were found to have been held post charge.

Detailed findings

General Requirements

- All detainees were provided with an explanation of the use of the cell call button.
- All detainees were regularly offered food and other refreshments. Those detainees who specified that they had dietary requirements were provided with appropriate meals.
- All detainees were told that the toilet in the cell was pixelated, that reading material was available and that religious texts and a prayer room were also

available if required.

- 80% of female detainees were assigned a female single point of contact whilst detained. 85% of female detainees offered sanitary or other products required for hygiene during the period of detention.

Appropriate adults

- The Force identified the need of an AA for all young people detained. Of the records reviewed of detainees in poor mental health, one detainee was identified as requiring an AA.
- The Force identified early on in the process that an AA was required for young people. Some records showed that the Force organised telephone calls with an AA early in the detention process to support detainees through the Rights and Entitlements process; AAs normally attend custody in person, but delays can be experienced whilst waiting for them to attend. Average waiting time for young people to see an AA was 4 hours.

Solicitors

- 79% of detainees who requested a solicitor, actually had contact.
- Solicitors continue to attend interview in person despite a third national lockdown. However, solicitors are also attending interview by telephone or by video conferencing. There is evidence on the records that consent had been obtained from detainees to proceed with a virtual interview and also if necessary, Appropriate Adults. This is in accordance with the NPCC custody protocol released in the summer of 2020.

Observation levels

- All custody record reviewed showed that an appropriate observation level was set.
- There was evidence of the force changing observations levels appropriately, responding to the changing needs of detainees.
- 77% of cell visits were conducted as prescribed. There were instances of cell visits being missed on some records and in other cases late by more than 5 mins.

Liaison and Diversion

- Liaison and Diversion provision has increased in this quarter to 60%. This is a significant increase on the previous quarter of 42.5%.

Young People Detained Overnight

- More than half of juveniles were held in custody overnight to allow police investigation, but none were found to have been held post charge.

Immigration/Foreign National Detainees

- All detainees who needed the support of an interpreter, where appropriately identified and arrangements were made with interpreter services.
- 74% of detainees spoke with an interpreters in under 2 hours (over the telephone). Interpreters attended interview in person with the detainee later in the custody process.
- Where Immigration Officers were required to attend custody, more than half of detainees had to wait over 18 hours for interview.

Good Practice/Covid-19

- Detainees generally looked after well, being offered meals and drinks, rights and entitlements and risk assessments completed.
- There was no evidence on the records reviewed that detainees are being provided with soap and access to hand washing facilities to prevent the spread of Covid-19. However, verbal reports from ICVs who are telephoning the suites have confirmed that detainees are being provided with hand washing facilities and face masks. Detainees are given a clean mask on departure and transport arranged from the suite.
- Evidence of L&D, MH clinicians and healthcare practitioners all undertaking visits with detainees in their own cell to manage social distancing.

Recommendations for change

- To continue discussions with Nottinghamshire Police about how the wait times for AAs might be reduced.
- To investigate the wait times for immigration officers to attend custody.

For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	25 May 2021
Report of:	DCC Barber Charlie Radford, Chief Finance Officer OPCC
Report Author:	Laura Spinks
E-mail:	laura.spinks@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	23

Joint Audit and Scrutiny Panel Proposed Work Plan 2021

1. Purpose of the Report

- 1.1 The purpose of this report is to present the proposed work plan for the Joint Audit and Scrutiny Panel for 2021.

2. Recommendations

- 2.1 That Joint Audit and Scrutiny Panel members note the report and attached appendix and agree the contents.
- 2.2 That members of the Joint Audit and Scrutiny Panel note the key themes identified to accompany each of the Force Audit and Inspection reports.

3. Reasons for Recommendations

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

4. Summary of Key Points

- 4.1 The proposed workplan has been discussed with members and prepared based on the business planning cycle for both the OPCC and Nottinghamshire Police.
- 4.3 The proposed Joint Audit and Scrutiny work plan has been prepared in consultation with the Chief Finance Officer in order to fulfil our statutory obligations with regards to reporting in these areas of business.

5. Financial Implications and Budget Provision

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

6. Human Resources Implications

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

7. Equality Implications

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

8. Risk Management

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

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

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

10. Changes in Legislation or other Legal Considerations

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

11. Details of outcome of consultation

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

12. Appendices

12.1 Appendix 1: Proposed Joint Audit and Scrutiny Work Programme

Agreed JOINT AUDIT AND SCRUTINY PANEL WORK PLAN 2021/22

24 FEBRUARY 2021 10am AUDIT PLANNING MEETING			
	Force Assurance Mapping Report	Annually	Force – Laura Spinks
	New Internal Audit Plan 2021/22	Annually	Mazars – Mark Lunn
	External Audit ISA 260 for 2019/20 Accounts - moved to May	Annually	Ernst and Young
	Final Statements of Accounts – Group and CC – moved to May	Annually	OPCC – Charlie Radford
	PCC Update Report	Each Meeting	OPCC – Phil Gilbert
	Budget Reports (for information) <ul style="list-style-type: none"> • Treasury Management Strategy • Reserves Strategy • Capital Report • MTFS • Budget Report 	Annually	OPCC – Charlie Radford
	External Audit Plan (if available) – moved to May	Annually	Ernst and Young
	Internal Audit Progress Report	Each Meeting	Mazars – Mark Lunn
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMICFRS, AGS improvements) Key theme for Force Audit Report – Change Programme Outcomes, summary of completed and future ADA proposals	Each meeting	OPCC - where appropriate Force – Laura Spinks
	OPCC Report on Compliance with Freedom of Information Requests and the Specified Information Order	6-Monthly	OPCC – Katy Owen
	Force Assurance Report on Compliance with Freedom of Information and Data Protection Requests	6-Monthly	OPCC – Pat Stocker
	Force Report on Monitoring, Review and Assurance of the Publication Scheme	6-Monthly	Force – Pat Stocker

25 MAY 2021 10am YEAR END MEETING

Internal Audit Progress Report	Each Meeting	Mazars – Mark Lunn
Annual Internal Audit Assurance Report (including review of past year and audit schedule for 2020/21)	Annually	Mazars – Mark Lunn
Draft Annual OPCC Governance Statement 2020/21 Draft Annual Force Governance Statement 2020/21	Annually	OPCC – Charlie Radford Force – Laura Spinks
External Audit ISA 260 for 2019/20 Accounts	Annually	Ernst and Young
Review of OPCC Risk Management arrangements Review of Force Risk Management arrangements Key Theme for Risk – Project Regain	6-Monthly	OPCC – Kevin Dennis Force – Laura Spinks
Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMICFRS, AGS improvements) Key theme for Force Audit Report – Estates Management	Each meeting	OPCC - as required Force – Laura Spinks
PCC Update Report	Each Meeting	OPCC – Phil Gilbert
Force Report on Complaints and Misconduct, Investigations, New and Open Cases	6-Monthly	Force – Supt PSD
Force Report on IPCC Investigations, Recommendations and Actions	6-Monthly	Force – Supt PSD
Force Report of Whistle Blowing and Anti-Fraud and Corruption Policies and Review of Compliance	6-Monthly	Force – Supt PSD
PCC Report on Complaints, Investigations, New and Open Cases	6-Monthly	PCC – Lisa Gilmour
Force Report on Business Continuity Compliance and Assurance Testing and Exercising	Annually	Force – Laura Spinks/Andy B
Force Treasury Update Report to show compliance with Treasury Management Strategy	Annually	OPCC – Charlie Radford
Revenue & Capital Outturn Reports		Force

Custody Review Report		OPCC – Kayt Radford
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29 JULY 2021 at 2pm DRAFT ACCOUNTS MEETING

Draft Force Statement of Accounts 20/21	Annually	OPCC – Charlie Radford	
Draft Group Statement of Accounts 20/21		Force – Mark Kimberley	
Internal Audit Progress Report	Each Meeting	Mazars – Mark Lunn	
External Audit Plan – moved from May meeting	Annually	Ernst and Young	
Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMICFRS, AGS improvements)	Each meeting	OPCC - as required	
Key theme for Force Audit Report – Victims Code		Force – Laura Spinks	
Review Working Together Agreement incorporating SoD, Fin Regs and SOs	Annually	OPCC – Kevin Dennis	
OPCC Report on Compliance with Freedom of Information Requests and the Specified Information Order	6-Monthly	OPCC – Katy Owen	
Force Assurance Report on Compliance with Freedom of Information and Data Protection Requests	6-Monthly	Force – Pat Stocker	
Force Report on Monitoring, Review and Assurance of the Publication Scheme	6-Monthly	Force – Pat Stocker	
PCC Update Report	Each Meeting	OPCC – Phil Gilbert	

30 SEPTEMBER 2021 at 10am TBC FINAL ACCOUNTS MEETING

Final Force Statement of Accounts 20/21	Force	Force – Mark Kimberley
Final Group Statement of Accounts 20/21 (OPCC and Force AGS to be incorporated)	OPCC	OPCC – Charlie
External Audit ISA260 Report	Annually	Ernst & Young

	Internal Audit Progress Report	Each Meeting	Mazars – Mark Lunn

30 NOVEMBER 2021 at 10am CHAIR TOPIC

Internal Audit Progress Report	Each Meeting	Mazars – Mark Lunn
Summary set of Accounts for Publication	Annually	OPCC – Charlie Radford
Review of OPCC Risk Management arrangements Review of Force Risk Management arrangements Key Theme for Risk – To be Advised	6-Monthly	OPCC – Kevin Dennis Force – Laura Spinks
Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMICFRS, AGS improvements) Key theme for Force Audit Report – Health and Safety	Each meeting	OPCC - Where appropriate Force – Laura Spinks
Annual Audit Letter – External Audit	Annually	Ernst and Young
PCC Update Report	Each Meeting	OPCC – Phil Gilbert
PCC Report on Complaints, Investigations, New and Open Cases	6-Monthly	Force – Lisa Gilmour
Force Report on Complaints and Misconduct, Investigations, New and Open Cases	6-Monthly	Force – Supt PSD
Force Report on IOPC Investigations, Recommendations and Actions	6-Monthly	Force – Supt PSD
Force Report of Whistle Blowing and Anti-Fraud and Corruption Policies and Review of Compliance.	6-Monthly	Force – Supt PSD
Draft JASP Work Plan for 2022/23	Annual	Force – Laura Spinks

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

Sources of assurance to include:

- Effectiveness of partnerships
- Monitor the application of the pension schemes
- Review of delegated powers
- Review Register of Interests
- Financial Management/Financial Systems
- Legislative change
- Scheme of delegation
- Annual report from PSD on their activity - i.e. no of dismissals final letters and nature of the event
- By exception report on Insurance Claims covering Public Liability, Employer's Liability, Motor Liabilities including Costing and Lessons Learned
- By exception report on Outcomes of Public Finance Initiative Contracts