

MINUTES OF THE MEETING OF THE NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER JOINT AUDIT AND SCRUTINY PANEL HELD ON FRIDAY 22nd FEBRUARY 2019 AT GEDLING BOROUGH COUNCIL CIVIC CENTRE, ARNOLD, NOTTINGHAMSHIRE COMMENCING AT 2PM

MEMBERSHIP

(A – denotes absent)

Mr Stephen Charnock (Chair)

Mr Leslie Ayoola **A**

Dr Phil Hodgson

Mr Peter McKay **A**

Vacancy

ALSO PRESENT

Paddy Tipping	Nottinghamshire Police and Crime Commissioner
Rachel Barber	Deputy Chief Constable, Notts Police
Austin Fuller	Inspector, Notts Police
Neil Harris	Ernst Young
Noel McMenamin	Democratic Services, Notts County Council
Charlie Radford	Chief Finance Officer, OPCC
Leona Scurr	Detective Superintendent, Notts Police
Brian Welch	Mazars

INVITEE

Luke Pulford Leicestershire JARAP Chair

1) APOLOGIES FOR ABSENCE

Apologies for absence were received from:
Councillor Leslie Ayoola;
Craig Guilford, Chief Constable Notts Police;
Peter McKay.

2) DECLARATIONS OF INTEREST BY MEMBERS AND OFFICERS

Dr Phil Hodgson declared an interest in item 5 '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 PREVIOUS MEETING**

The minutes of the last meeting held on 7 November 2018, having been circulated to all members, were taken as read and were confirmed and signed by the Chair.

4) **PROGRESS AGAINST ACTION TRACKER**

Action 012: The Chair and DCC Barber had not yet met lead officers on risks but would arrange to do so.

Action 014: HMIC invitation to a future meeting to be scheduled.

Action 016: The final PA Consulting report on shared services was not yet published and available to share with Panel members, and was to remain as an outstanding action.

Action 018: to be completed and closed following this meeting.

Action 019: to be marked as completed and closed.

5) **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.

Deputy Chief Constable Rachel Barber introduced the report which provided an update progress against recommendations arising from the audits and inspections which had taken place during quarter 3 of 2018/19, a schedule of planned audits and inspections, and further information on Nottinghamshire Police's Approach to tackling modern slavery and human trafficking.

During discussion of the report, the following points were raised:

- The Panel commended the report format, and noted that MFSS Contract Management, GDPR and Health Safety remained ongoing concerns;
- With the new structure now agreed and more robust governance arrangements in place, the Force was working to a realistic improvement plan. However, there were no quick fixes to any of the areas of limited assurance;
- Work was being undertaken to tackle employee behaviour in respect of GDPR, with email retention in particular being targeted;
- It was agreed that the Chair should be invited to Information Management Board meetings.

Inspector Austin Fuller provided a presentation on the steps being taken to tackle modern slavery and human trafficking.

During discussion, the following points were raised:

- There had been 71 cases investigated in Nottinghamshire in 2018. While numbers were relatively small, the issues were very complex, and intelligence from the public was less strong than for other crime categories;
- Its prevalence was expected to increase albeit not exponentially, and the impact of Brexit was as yet unknown. It was important not to lose sight of the fact that UK citizens, particularly vulnerable citizens, were at risk of exploitation;
- The Panel was assured that appropriate measures were in place to address the issue, but remained concerned that a lack of feedback and intelligence information from the public meant that cases weren't being reported;
- It was suggested that local private and public services (Royal Mail, Refuse Collection operatives and similar) could act as 'eyes and ears' in communities to identify those who were at risk.

RESOLVED 2019/013

- 1) To note the status of audits and inspections carried out over quarter 3, 2018/19;
- 2) To request further detail on 'the use of force within Nottinghamshire Police' at its May 2019 meeting
- 3) To arrange a standing invitation for the Chair to attend the Information Management Board.

6) EXTERNAL AUDIT SUMMARY PLAN 2018-19

Neil Harris of Ernst and Young introduced the report, highlighting the a proposed External Audit Summary Plan covering the audit for 2018-2019. Mr Harris explained that a more detailed plan would be provided once interim work had been undertaken, but no new significant areas of risk had been identified to date.

During discussion, the following points were raised:

- Mr Harris advised that specialist expertise would be needed to consider in detail any PFI arrangements in place. It would also take some time to

understand in detail MFSS governance arrangements and their implications.

- The Panel welcomed having a fresh set of eyes to examine MFSS governance arrangements, and indicated that governance around collaborative projects in general was variable.

RESOLVED: 2019/014

To approve the External Audit Summary Plan at Appendix A to the report.

7) ASSURANCE MAPPING 2019-20

DCC Barber introduced a report and provided a presentation, providing a dashboard view of assurance levels against each business area of the Force. The report identified Information governance, Information Services Project/Programme Management and Emergency Planning/Business Continuity as the main areas of limited assurance, and proposed these area be included in the Internal Audit Plan for the forthcoming year.

During discussions the following points were raised:

- The Panel commended the approach being adopted, and welcomed the clarity of the mapping exercise in identifying areas of concern;
- There was consensus that future reports be considered twice yearly.

RESOLVED: 2019/015

To agree that Finance, Information Governance, Information Services, Performance Management, and Emergency Planning/Business Continuity are included in the Internal Audit Plan 2019-2020, as outlined at Appendix 1 to the report.

8) INTERNAL AUDIT ANNUAL PLAN 2019-20

Brian Welch of Mazars introduced the report, which highlighted proposed plan of internal audit work for 2019-2020. This reflected the findings and recommendations at agenda item 7 above. In the brief discussion which followed, the Panel welcomed the joined up approach being adopted to address areas of limited assurance

RESOLVED: 2019/016

To approve the audit plan for 2019-2020 attached at Appendix A to the report.

9) **INTERNAL AUDIT PROGRESS REPORT**

Brian Welch of Mazars introduced the report, updating members on progress against the Internal Audit Annual Plan for 2018-2019, including the findings from completed audits.

During discussions the following points were raised:

- GDPR was highlighted as a recurring theme, as was considering whether current information management arrangements delivered what the Force needed;
- The Chair was willing to attend future Information Management Board meetings if a standing invitation was made. The role of the Board was to support but also challenge cultures and processes, and the Chair was anxious that progress be made in 2019-2020;
- The point was made that previously the issues/problems were presented – now, solutions had been identified, and needed taking on board. Retention and disposal of information was a key longstanding issue to address – not disposing of information caused more problems for the Force in the long term.

RESOLVED: 2019/017

That the report, and Panel members' comments on it, be noted.

10) **PRECEPT AND BUDGET REPORTS 2019-20**

RESOLVED: 2019/018

To note the report without substantive discussion.

11) **FORCE ASSURANCE REPORT COMPLIANCE WITH FREEDOM OF INFORMATION AND DATA PROTECTION REQUESTS**

DCC Barber introduced the report, which provided monitoring statistics for 2018 in respect of information requests processed by Nottinghamshire Police.

During discussion, the following points were raised:

- DCC Barber expressed the view that the arrival of a dedicated additional resource would improve performance and clear the backlog, albeit gradually
- Freedom of Information requests were often driven by students and journalists doing projects and who used the legislation to conduct research by proxy. This was a national issue.

RESOLVED: 2019/019

- 1) To note the progress made against the Business Continuity testing timetable, noting also forthcoming scheduled testing;
- 2) To receive an update on the correlation between individual risk registers and 'identified critical enablers' at its February 2019 meeting.

12) OPCC PUBLICATION SCHEME MONITORING, REVIEW AND ASSURANCE

Charlie Radford introduced the report, which provided an update on compliance with the Freedom of Information Act 2000 and the Elected Local Policing Bodies (Specified Information) Order 2011 in respect of published information.

During discussion, the following points were made:

- 95% of requests had been met in line with legislation;
- It was a challenge being open and transparent, but there was a need to identify new ways of working to minimise requests, for example through having links on the website directing citizens to further information.

RESOLVED: 2019/020

To approve the Summary Statement of Accounts for 2017/18.

13) FORCE REPORT ON MONITORING, REVIEW AND ASSURANCE OF THE PUBLICATION SCHEME

RESOLVED: 2019/021

To note the report without substantive discussion.

14) INDEPENDENT CUSTODY VISITOR REPORT

DCC Barber introduced the report, proposing changes to the current Independent Custody Visitor ICV scheme. The proposals arose from HMICFRS inspection visit to police custody suites, which resulted in a draft report recommending a number of recommendations to improve detainee rights and welfare.

During discussions the following point was raised:

- While the Panel recognised that Nottinghamshire had one of the better records in custody visit reporting, it was supportive of the proposal that the role of ICV scheme be expanded to review custody records;

- The Panel also supported setting up a pilot scheme similar to that in Derbyshire, as long as reporting maintained the ability to capture qualitative as well as quantitative data.

RESOLVED: 2019/022

To agree to implement an additional scheme of reporting, in line with the pilot ICV scheme developed by Derbyshire Office of the Police and Crime Commissioner.

15) JOINT AUDIT AND SCRUTINY PANEL PROPOSED WORK PLAN 2019-20

RESOLVED 2019/023

To note and agree the proposed work plan for 2019-2020.

16) SUMMARY OF ACTIONS

RESOLVED 2019/012

To include the following on the action tracker:

Action 020: Chair's Topic -Use of Force by Nottinghamshire Police to May 2019 meeting

Action 021: External Audit – Interim Visit Outcomes to May 2019 meeting

Action 22: Chair to be invited to attend Information Management Board meetings.

The meeting closed at 04.04pm

CHAIR