



JOINT AUDIT AND SCRUTINY PANEL

**WEDNESDAY 30 MAY 2018 at 10.00 AM
FORCE HEADQUARTERS, SHERWOOD LODGE
ARNOLD, NOTTINGHAMSHIRE NG5 8PP**

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

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

A G E N D A

1. Apologies for absence
2. Declarations of interest by Panel Members and Officers (see notes below)
3. To agree the minutes of the previous meeting held on 5 December 2017
4. Progress Against Action Tracker
5. Internal Audit Annual Assurance Report
6. Internal Audit Annual Plan 2018/19
7. External Audit Plan
8. Draft Statement of Accounts and Annual Governance Statement for 2017-18
9. Follow-up Review: EM Legal Services

10. Female Detainees in Police Custody
11. Strategic Risk Management Report – A New Approach
12. Update on Actions from Audits, Inspections and Reviews
13. PCCs Update Report - OPCC
14. Complaints and Misconduct Investigations
15. Independent Office for Police Conduct (IOPC) Investigations, Recommendations and Actions
16. Professional Standards Confidential Reporting Procedure
17. Business Continuity Management Report (2017/18)
18. Force Report on Monitoring, Review and Assurance of the Publication Scheme
19. Joint Audit and Scrutiny Panel Proposed Work Plan 2018/19
20. Summary of Actions (verbal)

NOTES

- Members of the **public are welcome to attend** to observe this meeting
- For **further information** on this agenda, please contact the Office of the Police and Crime Commissioner on 0115 9670999 extension 801 2005 or email nopcc@nottinghamshire.pnn.police.uk
- A **declaration of interest** could involve a private or financial matter which could be seen as having an influence on the decision being taken, such as having a family member who would be directly affected by the decision being taken, or being involved with the organisation the decision relates to. Contact the Democratic Services Officer: **Sara Allmond tel. 0115 977 3794** for clarification or advice prior to the meeting.

MINUTES OF THE MEETING OF THE NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER JOINT AUDIT AND SCRUTINY PANEL HELD ON TUESDAY 5TH DECEMBER 2017 AT FORCE HEADQUARTERS, SHERWOOD LODGE, ARNOLD, NOTTINGHAMSHIRE COMMENCING AT 10AM

MEMBERSHIP

(A – denotes absent)

Mr Stephen Charnock (Chair)

Mr Leslie Ayoola

Mr John Brooks

Dr Phil Hodgson **A**

Mr Peter McKay

OFFICERS PRESENT

Sara Allmond	Democratic Services, Notts County Council
Rachel Barber	Deputy Chief Constable, Notts Police
Mark Kimberley	Head of Finance, Notts Police
Julie Mair	Head of Corporate Development, Notts Police
Anita Pipes	KPMG
Charlie Radford	Chief Finance Officer, OPCC
Paddy Tipping	Police & Crime Commissioner
Brian Welch	Mazars
Paul Winter	Superintendent, Notts Police

1) APOLOGIES FOR ABSENCE

Apologies for absence were received from Dr Phil Hodgson, Andrew Cardoza and Chief Constable Craig Guildford.

2) DECLARATIONS OF INTEREST BY MEMBERS AND OFFICERS

No declarations of interest were made.

3) MINUTES OF THE PREVIOUS MEETING

The minutes of the last meeting held on 28 September 2017, having been circulated to all members, were taken as read and were confirmed and signed by the Chair.

4) PROGRESS AGAINST ACTION TRACKER

The following update were provided:-

- Action 002 – the draft new terms of reference were currently going through the approval process.
- Action 005 – action is complete
- Action 009 – this will now be reported to the March 2018 meeting.

5) PRESENTATION ON THE BUSINESS CHANGE PROGRAMME AND PLANNED REVIEWS FOR 2018/19

Supt Paul Winter gave a presentation to the Panel on the business change programme and planned reviews for 2018/19. The presentation is attached to the minutes as **Appendix A**.

During discussion the following points were raised:-

- The year one deep dive was already in process as this was taking place during the 2017/18 financial year. Business Cases would be prepared at the start of 2018 covering most of the organisation.
- £12million efficiency savings were required in 2017/18 and £16million in future years.
- One of the hurdles encountered was change fatigue due to the number of changes the Force had already had to go through due to financial pressures. The current change programme would include future planning, forecasting as well as possible once the change programme was embedded there would then only be smaller changes to meet changing needs.
- Discussions were ongoing regarding regional collaboration.
- The Force Management Statements which were a requirement of the HMIC would be adapted to make them useful for the Force as well as HMIC. There was currently no agreed template for the statements.
- Partners would be involved in the change programme in projects that related to their work. Once the new approach was signed off, the Force would go out to consultation with partners.
- Work was being carried out to align budgets better with the new structure. This would take time to embed. Reinvestment was predominately in police officers.
- Fewer grants were available and the few available were generally at regional or national level.
- A list of what had been achieved so far would be provided to members.

RESOLVED: 2017/023

To note the presentation and receive an update on the programme in one year

6) ANNUAL AUDIT LETTER 2016-17

Anita Pipes introduced the report which provided members with the Annual Audit letter relating to the accounts for 2016-17.

During discussions the following points were raised:-

- The Panel acknowledged the comments and feedback and noted that the lessons for both the Force and OPCC had been taken on board. Work was already underway to remove any anomalies from the system in preparation for next year.
- The Panel requested an update on the four recommendations within the report at the March meeting.

RESOLVED: 2017/024

To accept the Annual Audit Letter 2016-17

7) SUMMARY STATEMENT OF ACCOUNTS 2016-17

Charlie Radford introduced the report which provided a summary version of the statement of accounts for 2016-17 to be published on the PCC's website.

RESOLVED: 2017/025

To agree the format of the summary statement.

8) POLICE AND CRIME COMMISSIONER'S UPDATE REPORT – TO SEPTEMBER 2017

Paddy Tipping introduced his report which provided the Panel with information provided to the Police and Crime Panel and an overview of performance in respect on 1st April to 30th September 2017.

During discussions the following points were raised:-

- The Police and Crime Panel challenged and scrutinised the PCC effectively and appropriately and there was a healthy relationship. The Panel received a small amount of funding from the Government for its administration and the Panel was administered by Nottinghamshire County Council. The Panel's powers were limited and additional resources would help. The Panels recently had a regional meeting to discuss regional issues.
- The performance figures were difficult to compare due to the reporting requirements changing regularly. A national discussion was being undertaken in relation to incident recording.
- In relation to the PEEL report, this was an area of growing demand and the resources for Operation Equinox had been mainstreamed as investigations into historical cases were expected to be a long term requirement.
- Whilst the proposal was to reduce the number of supervisors for police officers, each would be provided enough time within their shifts to carry out their supervisor's role more comprehensively.
- It was anticipated that the latest round of officer recruitment would improve the BME representation, with more work still to do. There was a larger spread of diversity across the applicants, however there were still some communities underrepresented. The percentage of BME residents within the national and local population was increasing meaning the gap was getting wider.

RESOLVED: 2017/026

To note the report.

9) MID-YEAR TREASURY MANAGEMENT REPORT 2017-18

Charlie Radford introduced the report which provided the mid-year position of the treasury management

RESOLVED: 2017/027

To note the report.

10) UPDATE ON INSURANCE

Charlie Radford introduced the report which provided an update on insurance and the potential costs of future insurance policies.

RESOLVED: 2017/028

To note the report.

11) INTERNAL AUDIT PROGRESS REPORT

Brian Welch introduced the report which provided an update on progress against the Internal Audit Plan for 2017-18 and the findings from completed audits.

During discussions the following point was raised:-

- The outcome of the property audit was consistent with other Forces and work had been undertaken to reduce the amount of property being seized that did not need to be in the first place, and work was ongoing to make improvements regarding the storage and return of property.

RESVOLVED: 2017/029

To receive assurance from the work undertaken by internal audit.

12) AUDIT AND INSPECTION UPDATE REPORT

Julie Mair introduced the report which provided an update on progress against the recommendations arising from audits and inspections which had taken place during quarter three, 2017/18.

RESOLVED: 2017/030

- 1) That the status of audits and inspections carried out over the last quarter be noted.
- 2) That the Panel receive further information on MARAC at the next meeting as set out in the Panel's action tracker.
- 3) To participate in the consultation process offered by HMIC regarding the Force Management Template.

13) PANEL WORK PROGRAMME AND MEETING SCHEDULE

RESOLVED: 2017/031

To note the work programme.

The meeting closed at 12.23pm

CHAIR

AUDIT & SCRUTINY PANEL MEETING

Actions arising from previous meetings an progress against action tracker

	ACTION	ALLOCATED TO	TIMESCALES FOR UPDATES	UPDATE
001	Terms of Reference – draft document a. Compare with ToR for other A&S panels in the region b. Review statutory responsibilities c. Refresh Work Programme d. Further develop Assurance Mapping	CR/ JM		The ToR have been updated. The statutory responsibilities have been reviewed and these have been mapped against the requirements for Audit Committees (CIPFA Practical Guidance for Local Authorities and Police. A draft work plan has been developed for discussion at the next JASP. The next steps will include the further development an Assurance Map that will help to inform the Internal Audit Plan and other areas of potential review.
002	Terms of Reference – draft document Panel members to comment	A&S Panel	September 2017	New ToR issued Dec 2017 Electronic copies to be issued.

003	Work plan and agenda items Use of assurance map	CR/JM/Chair	December 2017	On agenda for discussion at Dec JASP meeting
004	Internal Audit customer satisfaction surveys Review current from Liaise with A&I team re monitoring process to improve response rates	BW CR/BW/JM		The Audit and Inspection team within Force will start to coordinate the completion of the surveys. It is also proposed that highlights from these are discussed at the Regional meeting which is chaired by ACO Dawkins to help drive improvements.
005	Draft OPCC and Group final statutory accounts and draft Annual Governance statements Panel members to provide comments via the chair	Panel members	2 weeks	Completed Sept 2017
006	Internal Audit Progress Report Reporting on completion of management actions Identify ways of ensuring feedback for every report commissioned	BW JM RB CR		Amalgamates With item 4
007	PCC investigation – adoption of an overall dashboard style picture to enable panel members to see any trends and back logs and compare to other forces	Supt Leona Scurr	When next report is due	Future performance reports that are submitted to the JASP will include the Forces ranking in the national IPCC data. This is so the panel can see how we compare nationally and we aren't just comparing ourselves to ourselves

008	Information on the PEEL inspection be brought to next meeting	Brian Welch / Phil Gilbert	Next Meeting	This information is provided in the PCC's update report going to Dec JASP meeting
009	More detailed report on progress made against the risks associated with MARAC	Supt Rob Griffin	Next Meeting	To be reported to May JASP Report to Dec JASP (App 2 of Audit and Inspection Report)
010	Update on Business Change	Matt MacFarlane	To be reported to Dec 2018 meeting	

For Information / Consideration	
Public/Non Public*	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	30 May 2018
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Brian Welch
Agenda Item:	5

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 2017-18.

2. Recommendations

- 2.1 Members are recommended to consider the report and.

3. Reasons for Recommendations

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

4. Summary of Key Points

- 4.1 The attached report details the work undertaken during 2017-18. 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 2017-18 and these will be followed-up in 2018-19.

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 2017-18



Office of the Police & Crime Commissioner for Nottinghamshire and
Nottinghamshire Police

Internal Audit Annual Report 2017/18

April 2018

This report has been prepared on the basis of the limitations set out on page 13.

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- 02 Head of Internal Audit Opinion
- 03 Performance

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- A3 Definition of Assurances and Priorities
- A4 Contact Details
- A5 Statement of Responsibility

01 Introduction

Purpose of this Report

This report summarises the work that Internal Audit has undertaken and the key control environment themes identified across Office of the Police and Crime Commissioner for Nottinghamshire and Nottinghamshire Police during the 2017/18 financial year, the service for which is provided by Mazars LLP.

The purpose of the Annual Internal Audit Report is to meet the Head of Internal Audit annual reporting requirements set out in the Public Sector Internal Audit Standards (PSIAS) and the Accounts and Audit Regulations 2011. The PSIAS requirements are that the report must include:

- An annual internal audit opinion on the overall adequacy and effectiveness of the organisation's governance, risk and control framework (the control environment);
- A summary of the audit work from which the opinion is derived (including reliance placed on the work by other assurance bodies); and
- A statement on conformation with the PSIAS and the results of the internal audit quality assurance and improvement programme (QAIP), if applicable.

The report should also include:

- The disclosure of any qualifications to that opinion, together with reasons for the qualification;
- The disclosure of any impairments or restriction in scope;
- A comparison of the work actually undertaken with the work that was planned and a summary of the performance of the internal audit function against its performance measures and targets;
- Any issues judged to be particularly relevant to the preparation of the annual governance statement; and
- Progress against any improvement plans resulting from QAIP external assessment.

The Police and Crime Commissioner and Chief Constable are responsible for ensuring that the organisations have proper internal control and management systems in place. In order to do this, they must obtain assurance on the effectiveness of those systems throughout the year, and are required to make a statement on the effectiveness of internal control within their annual report and financial statements.

Internal audit provides the Police and Crime Commissioner and Chief Constable, through the Joint Audit & Scrutiny Panel (JASP), with an independent and objective opinion on governance, risk management and internal control and their effectiveness in achieving the organisation's agreed objectives. Internal audit also has an independent and objective advisory role to help line managers improve governance, risk management and internal control. The work of internal audit, culminating in our annual opinion, forms a part of the OPCC and Force's overall assurance framework and assists in preparing an informed statement on internal control.

Responsibility for a sound system of internal control rests with the Police and Crime Commissioner and Chief Constable and work performed by internal audit should not be relied upon to identify all weaknesses which exist or all improvements which may be made. Effective implementation of our recommendations makes an important contribution to the maintenance of reliable systems of internal control and governance.

02 Head of Internal Audit Opinion

Opinions

From the Internal Audit work undertaken in compliance with the Public Sector Internal Audit Standards (PSIAS) for the year ending 31st March 2018, we can provide the following opinions:



Basis of the Opinion

Internal Audit applies a risk-based approach and our audits assess the governance framework, the risk management process, as well as the effectiveness of controls across a number of areas. Our findings on these themes are set out below. Overall, we can provide assurance that management have in place a generally effective control environment and, whilst further remedial actions are needed in some areas, we are assured that management have in place effective processes for the implementation of identified areas of weakness.

Corporate Governance

Whilst no specific audit of Governance was carried out during 2017/18, we have carried out a number of audits where governance arrangements were a key aspect. Through the delivery of the internal audit plan and attendance at Joint Audit & Scrutiny Panel (JASP) meetings, we are satisfied that the governance framework for the Office of the Police and Crime Commissioner for Nottinghamshire and Nottinghamshire Police has been effective for the year ended 31st March 2018.

Risk Management

During 2016/17 Internal Audit undertook an audit of the controls and processes in place in respect of risk management. The specific areas that formed part of these reviews included: policies and procedures; risk registers; risk mitigation; reporting arrangements and follow up of previous recommendations. At the time of that audit we identified weaknesses within the system of internal control, and non-compliance with the control framework, which put some of the Force and OPCC objectives at risk. We are, however, assured via the follow-up reports that have been presented to the JASP throughout 2017/18, actions are being taken to address the identified issues.

Whilst a specific audit of risk management was not carried during 2017/18, risk management at an operational level is considered during each of our audit assignments. During the course of delivering the 2017/18 audit programme, a key element of each audit scope was to evaluate the control environment and, in particular, how key risks were being managed. As summarised in the 'Internal Control' section below, we were able to place reliance on the systems of internal control and the manner in which risks were being managed by the Force and OPCC.

Internal Control

In summarising the opinions provided as part of the 2017/18 audit programme, as illustrated in the tables below, we have carried out nine audits of which two were of an advisory nature, one of which related to an additional request for audit, and no opinion was provided.

The Office of the Police and Crime Commissioner for Nottinghamshire and Nottinghamshire Police have a generally sound control environment, although we have noted areas where improvements are required. During the 2017/18 year, five (71.4%) internal audits received "satisfactory assurance", whilst two (28.6%) internal audits were rated 'limited assurance'. In addition, of the four collaborative audits covering the East Midlands policing region, all were rated at least 'satisfactory assurance'.

The following tables provide a brief overview of the assurance gradings given as a consequence of audits carried out during 2017/18, split between those specific to Nottinghamshire and those undertaken as part of East Midlands regional collaborative audits. More details of the audit opinions and the priority of recommendations for all 2017/18 Internal Audit assignments is provided in Appendix A1 – Audit Opinions and Recommendations. In addition, further analysis of those areas where systems improvement are required are set out in Appendix A2 – Audit Projects with Limited and Nil Assurance 2017/18.

Nottinghamshire Only

Assurance Gradings	2017/18	
Significant	0	0%
Satisfactory	5	71.4%
Limited	2	28.6%
Nil	0	0%
Sub-Total	7	
No opinion	2	
Total	9	

Collaboration Audits

Assurance Gradings	2017/18	
Significant	2	50%
Satisfactory	2	50%
Limited	0	0%
Nil	0	0%
Total	4	

In arriving at our overall audit opinion, and whilst acknowledging that further remedial actions are needed in some areas, we have been assured by management that processes have been put in place for the implementation of recommendations to address identified areas of weakness.

Issues relevant to Annual Governance Statement

The work of internal audit, culminating in our annual opinion, forms a part of the OPCC and Force's overall assurance framework and assists in preparing an informed statement on internal control. Internal Audit, through its annual programme of activity, has a duty to bring to your attention any areas of weakness we believe should be considered when producing the Annual Governance Statement. As part of this responsibility, we have highlighted any limited or nil assurance reports within Appendix A2.

Restriction placed on the work of Internal Audit

As set out in the Audit Charter, we can confirm that Internal Audit had unrestricted right of access to all OPCC and Force records and information, both manual and computerised, cash, stores and other property or assets it considered necessary to fulfil its responsibilities.

03 Performance

The following table details the Internal Audit Service performance for the year to date measured against the key performance indicators that were set out within Audit Charter.

No	Indicator	Criteria	Performance
1	Annual report provided to the JASP	As agreed with the Client Officer	Achieved
2	Annual Operational and Strategic Plans to the JASP	As agreed with the Client Officer	Achieved
3	Progress report to the JASP	7 working days prior to meeting.	Achieved
4	Issue of draft report	Within 10 working days of completion of final exit meeting.	100% (10/10)
5	Issue of final report	Within 5 working days of agreement of responses.	100% (9/9)
6	Follow-up of priority one recommendations	90% within four months. 100% within six months.	N/A
7	Follow-up of other recommendations	100% within 12 months of date of final report.	N/A
8	Audit Brief to auditee	At least 10 working days prior to commencement of fieldwork.	100% (10/10)
9	Customer satisfaction (measured by survey)	85% average satisfactory or above	100% (2/2)

Quality and Conformance with the Public Sector Internal Audit Standards

In addition to the firm's overall policy and procedures, our internal audit manual and working papers are designed to ensure compliance with the Firm's quality requirements. Furthermore, our internal audit manual and approach are based on professional internal auditing standards issued by the Global Institute of Internal Auditors, as well as sector specific codes such as the Public Sector Internal Audit Standards.

Our methodology and work has been subject to review as part of our internal Quality Assurance Reviews undertaken by our Standards and Risk Management team as well as external scrutiny by the likes of external auditors, as well as other regulatory bodies. No adverse comments have been raised around our compliance with professional standards or our work not being able to be relied upon.

Appendix A1 - Audit Opinions and Recommendations 2017/18

Nottinghamshire 2017/18 Audits	Report Status	Assurance Opinion	Priority 1 (Fundamental)	Priority 2 (Significant)	Priority 3 (Housekeeping)	Total
Seized Property	Final	Limited	5	4	1	10
Workforce Planning	Final	Satisfactory	-	4	4	8
Estates Management	Final	Satisfactory	-	-	3	3
Fleet Management	Final	Satisfactory	-	5	1	6
PEEL Review Action Plan	Final	N/A	-	-	-	-
Road Safety Partnership	Final	Limited	3	2		5
Procurement Follow-up	Final	Satisfactory	-	4	2	6
Core Financial Systems	Final	Satisfactory	-	6	4	10
Counter Fraud Review	Final	N/A	-	-	-	-
DMS Follow-up	Draft					
Total			8	25	15	48

Collaboration Audits 2017/18	Status	Assurance Opinion	Priority 1 (Fundamental)	Priority 2 (Significant)	Priority 3 (Housekeeping)	Total
EMCHRS Learning & Development ¹	Final	Satisfactory		2	3	5
EMSOU Forensic Services ¹	Final	Significant			3	3
EMCHRS Occupational Health ¹	Final	Significant			3	3
Criminal Justice (EMCJS) ¹	Final	Satisfactory		1	2	3
POCA ¹	Draft					
Total			-	3	11	14

¹ Denotes those collaborative arrangements which Nottinghamshire are a part of.

Appendix A2 - Audit Projects with Limited and Nil Assurance 2017/18

Project	Grading	Summary of Key Findings
Road Safety Partnership	Limited	<p>We raised three priority 1 recommendations and two priority 2 recommendations where we believe there is scope for improvement within the control environment. These are set out below:</p> <ul style="list-style-type: none"> • The RSP Strategy should be reviewed and updated to ensure that it is aligned with the aims and objectives of its partners. The Strategy should explicitly set out the roles and responsibilities of partners and, in particular, the management of the RSP's finances and each partners responsibilities for joint funded activities. (Priority 1) • The review of the Strategy / Terms of Reference of the Partnership Board should include an analysis of its membership, ensuring that those who attend, and therefore make decisions, are of sufficient seniority and have delegated approval to make such decisions. (Priority 1) • A corrective action plan should be put in place to determine the income and expenditure of the partnership to ensure that a budget deficit for 2017/18 does not occur. (Priority 1) • Clear guidance should be produced, and communicated to the relevant staff / officers, with regards what is deemed to be relevant expenditure and can be charged to the partnership budget. (Priority 2) • The RSP should be required to produce an annual report which, amongst other things, sets out actual performance against it strategic aims, and provides a transparent record of expenditure made against the partnership budget. (Priority 2)
Seized Property	Limited	<p>We raised five priority 1 recommendations, four priority 2 recommendations and one priority 3 recommendation where we believe there is scope for improvement within the control environment. The priority 1 and 2 recommendations are set out below:</p> <ul style="list-style-type: none"> • Officers should be reminded to ensure property is checked in and out correctly whenever property has been moved from the temporary locations. (Priority 1) • Cash should be stored securely in a safe at all times when not in use. This should be held within a holding safe or the main vaults at the Northern, Central or Southern Main Stores in line with the cash handling procedures. (Priority 1)

		<ul style="list-style-type: none"> • 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. (Priority 1) • The Main Vault in the main stores should be subject to an audit on a periodic basis, every 6-12 months. This audit should be completed to ensure that all valuables and cash stated to be held in the vault is accounted for. (Priority 1) • Temporary Locations should be reviewed and audited during the collection and delivery runs. Where discrepancies are identified, these should be raised with the Officer in Case to verify the location of property. (Priority 1) • The Insurance Policy should be updated to ensure that the coverage limit matches that held within the Vaults at Nottinghamshire Police. This should include the use of the Vault by the East Midlands Special Operations Unit (EMSOU). (Priority 2) • Property should be logged onto Niche at the point of seizure, or earliest opportunity, prior to being placed in a temporary store. Items held within the temporary store that have not been appropriately logged should be raised with the responsible officer. (Priority 2) • Officers within the Force should be provided with further Niche Training in relation to the continuity of property management, including the checking in and out of property from temporary storage. (Priority 2) • Policies and Procedures in relation to seized property should be updated to reflect the current adopted process since implementation of Niche in February 2016. (Priority 2)
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Appendix A3 – Definition of Assurances and Priorities

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.

Appendix A4 - Contact Details

Contact Details

David Hoose	07552 007708 David.Hoose@Mazars.co.uk
Brian Welch	07780 970200 Brian.Welch@Mazars.co.uk

Appendix A5 - Statement of Responsibility

Status of our reports

The responsibility for maintaining internal control rests with management, with internal audit providing a service to management to enable them to achieve this objective. Specifically, we assess the adequacy of the internal control arrangements implemented by management and perform testing on those controls to ensure that they are operating for the period under review. We plan our work in order to ensure that we have a reasonable expectation of detecting significant control weaknesses. However, our procedures alone are not a guarantee that fraud, where existing, will be discovered.

The contents of this report are confidential and not for distribution to anyone other than the Office of the Police and Crime Commissioner for Nottinghamshire and Nottinghamshire Police. Disclosure to third parties cannot be made without the prior written consent of Mazars LLP.

Mazars LLP is the UK firm of Mazars, an international advisory and accountancy group. Mazars LLP is registered by the Institute of Chartered Accountants in England and Wales to carry out company audit work.

For Decision	
Public/Non Public*	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	30 May 2018
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Brian Welch
Agenda Item:	6

INTERNAL AUDIT ANNUAL PLAN 2018-19

1. Purpose of the Report

1.1 To inform members of the proposed plan of work for 2018-19.

2. Recommendations

2.1 Members are requested to consider and approve the audit plan for 2018-19 attached at **Appendix A**.

3. Reasons for Recommendations

3.1 This complies with good governance and financial regulations

4. Summary of Key Points

4.1 The internal auditors have met with the OPCC and force to agree the plan proposed at **Appendix A**. This plan for 2018-19 has been established based upon meeting statutory requirements for auditing key financial systems, the need to audit systems where there has been a significant change in year and other audit requests based upon risks within the strategic risk register and advisory audits required to ensure the smooth running of both legal 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 The risk register has been used in the production of this internal audit plan.

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

9.1 The work of internal audit supports all of the Police & Crime Plan priorities.

10. Changes in Legislation or other Legal Considerations

10.1 Legislative changes and potential risks associated with such changes have been considered in putting together this plan.

11. Details of outcome of consultation

11.1 The OPCC and Force were part of the process for producing this plan.

12. Appendices

12.1 **Appendix A** – Internal Audit Plan 2018-19



Office of the Police & Crime Commissioner for Nottinghamshire and Nottinghamshire Police

Draft Internal Audit Plan 2018/19

April 2018

This report has been prepared on the basis of the limitations set out on page 10.

This report and the work connected therewith are subject to the Terms and Conditions of the Framework Agreement dated 21 April 2015 between The Police and Crime Commissioner for Nottinghamshire and Mazars LLP and Order Form dated 12 May 2015 between Police and Crime Commissioner for Nottinghamshire and Mazars LLP. This report is confidential and has been prepared for the sole use of Police and Crime Commissioner for Nottinghamshire. This report 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, we accept no responsibility or liability to any third party who purports to use or rely, for any reason whatsoever, on this report, its contents or conclusions.

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1. Introduction

- 1.1 An annual proposed Internal Audit Operational Plan has been prepared on behalf of the Police and Crime Commissioner for Nottinghamshire and Nottinghamshire Police (the OPCC and Force) for the period 1 April 2018 to 31 March 2019.
- 1.2 As part of fulfilling the Joint Audit & Scrutiny Panel's (JASP) responsibilities, the JASP require assurance that it is focusing its attention on the key risks to the OPCC and Force and that it is receiving timely and effective assurance with regards the management of those risks. As Internal Audit is a one source of this assurance, Internal Audit have reviewed the OPCC / Force Risk Register with the aim of identifying where the OPCC / Force obtains this assurance and that the Internal Audit plan is suitably focused and aligned with other sources of assurance. The results of this exercise were considered when drawing the audit plan.
- 1.3 **Appendix A** contains our proposed **Annual Audit Plan 2018 – 2019**.

2. The Scope and Purpose of Internal Audit

- 2.1 Internal Audit's primary role is to provide the organisation's management with independent assurance on the effectiveness of the internal control systems that contribute to the achievement of the organisation's business objectives. In so doing, this will support the OPCC and Force in signing the Annual Governance Statement. It is also Internal Audit's role to provide the OPCC and Force with assurance that they have in place effective processes for the management of risk.
- 2.2 In drawing up the internal audit work programme it should be noted that:
 - The OPCC and Force are accountable for internal control. The OPCC and Force are responsible for maintaining a sound system of internal control that supports the achievement of the organisation's objectives, and for reviewing its effectiveness;
 - The system of internal control is designed to manage rather than eliminate the risk of failure to achieve these objectives;
 - The system of internal control can therefore only provide reasonable and not absolute assurance of effectiveness; and
 - The system of internal control is based on an on-going risk management process designed to identify the principal risks to the achievement of the organisation's objectives; to evaluate the nature and extent of those risks; and to manage them efficiently, effectively and economically.

2.3 As set out in the Audit Charter, Internal Audit fulfils its role by:

- Coordinating assurance activities with other assurance providers (such as the external auditors and HMIC) such that the assurance needs of the OPCC and Force, regulators and other stakeholders are met in the most effective way.
- Evaluating and assessing the implications of new or changing systems, products, services, operations and control processes.
- Carrying out assurance and consulting activities across all aspects of the OPCC and Force's business based on a risk-based plan agreed with the Joint Audit & Scrutiny Panel (JASP).
- Providing the Police & Crime Commissioner and Chief Constable with reasonable, but not absolute, assurance as to the adequacy and effectiveness of the key controls associated with the management of risk in the area being audited.
- Issuing periodic reports to the JASP and Senior Management Team summarising results of assurance activities.
- Re-enforcing an anti-fraud, anti-bribery and anti-corruption culture within the OPCC and Force to aid the prevention and detection of fraud.
- Assisting in the investigation of allegations of fraud, bribery and corruption within the OPCC and Force and notifying management and the JASP of the results.
- Assessing the adequacy of remedial action to address significant risk and control issues reported to the JASP. Responsibility for remedial action in response to audit findings rests with line management.

3. Approach

3.1 As part of fulfilling the Joint Audit & Scrutiny Panel's (JASP) responsibilities, the JASP require assurance that it is focusing its attention on the key risks to the OPCC and Force and that it is receiving timely and effective assurance with regards the management of those risks. As Internal Audit is a one source of this assurance, Internal Audit have reviewed the OPCC / Force Risk Register with the aim of identifying where the OPCC / Force obtains this assurance and that the Internal Audit plan is suitably focused and aligned with other sources of assurance. The results of this exercise were considered when drawing the audit plan.

3.2 The Assurance Framework provides a top-down identification and analysis of the assurance needs of the JASP, and aims to provide a co-ordinated view of the activity of the various assurance providers and therefore the right combination of direct, risk and independent assurance activities as shown below:



3.3 In drawing up the operational audit plan, the assurance review of the OPCC / Force risk register identified where the OPCC / Force obtained assurance it was managing its key risks, with the aim of aligning the Internal Audit plan with other sources of assurance. Audit were supported by management in conducting this review. The review was carried out through discussions with appropriate staff and review of documents to confirm the adequacy of the assurance processes in place. In particular, the review consisted of:

- Reviewing the key strategic risks (OPCC and Force) that the JASP require assurance on.
- Using the 'three lines of defence' model referred to above, considering the key sources of assurance that the risks are being effectively managed.
- Identifying and agreeing gaps in assurance.
- Agreeing whether the gaps should be addressed and, if so, whether Internal Audit were the appropriate source of that assurance.

In determining Internal Audit's current and future role in the 'assurance landscape', it should be noted that Internal Audit has a wider remit than purely focusing on just those risks set out in the OPCC / Force Strategic Risk Register, and is required to provide assurance on the systems of internal control, risk management and governance arrangements. For this reason, we also considered other key areas of assurance, including those relating to Finance, Governance, Procurement, Information Technology and Risk Management.

- 3.4 Through a focused approach to assurance, the internal audit service can be utilised to provide the right level of assurance, it can avoid unnecessary use of its finite resources and it can support the OPCC and Force in maintaining an effective Assurance Framework. Internal Audit, through its support for the Assurance Framework, should:
- support the OPCC and Force in managing its risks through the establishment (and, more importantly, the maintenance) of an Assurance Framework that is fit for purpose;
 - look to other sources of assurance and assurance providers, including third party assurance, to supplement the resources of the internal audit team;
 - work alongside other assurance providers, such as External Audit, to more effectively provide assurance and avoid duplication; and
 - through risk-based auditing, focus internal audit resource on what is really important to each organisation.
- 3.5 Further to the above risk identification process, it should also be remembered that Nottinghamshire form part of the wider East Midlands Policing Region and, as such, collaborate on a wide variety of services. The aim will therefore be to, wherever possible, align the audit plans across the region in order to secure efficiencies through collaborative auditing.

4 External Audit Consultation

- 4.1 We liaise closely with your external auditors in preparing, and then delivering, a co-ordinated approach to the provision of assurance.
- 4.2 We speak regularly with the External Auditors to consult on audit plans; discuss matters of mutual interest; discuss common understanding of audit techniques; methods and terminology; and to seek opportunities for co-operation in the conduct of audit work. In particular, we will offer the External Auditors the opportunity to rely on our work where appropriate, provided this does not prejudice our independence.
- 4.3 Internal audit forms a significant part of the organisation's governance arrangements and it is therefore also important that Internal and External Audit have an effective working relationship. To facilitate this relationship we included in the Audit Charter liaison arrangement with the external auditors under the Public Internal Audit Standards. The key principles behind this agreement are:
- a willingness and commitment to working together;
 - clear and open lines of communication; and
 - avoidance of duplication of work where possible.

Appendix A – Annual Audit Plan 2018-19

AUDITABLE AREA	PROPOSED TIMING ¹	JASP ²	PLAN DAYS	Commentary on Coverage
Core Assurance				
Core Financial Systems Assurance: <ul style="list-style-type: none"> • General Ledger • Payroll • Cash & Bank • Payments & Creditors • Income & Debtors 	Q3	Feb 2019	25	To provide assurance with regards the adequacy and effectiveness of the systems of internal control in operation to manage the core financial systems. The scope of the work will include, but not be limited to: <ul style="list-style-type: none"> • Policies and procedures • Access controls • Amendments to standing data • Reconciliations • Authorisation routines • Reporting Similar to in previous years, the audit will include operations within the Multi-Force Shared Service (MFSS). See OPCC001.
Code of Governance	Q1	July 2018	8	To provide assurance with regards compliance with the Code of Corporate Governance. In particular, it will review the process for compiling the Annual Governance Statement and will provide a challenge with regards the evidence collected to support the declaration.
Strategic & Operational Risk Assurance				
Partnership Working	Q4	Feb 2019	10	The audit will provide assurance with regards how the Force and OPCC work with their key strategic partners. The audit will focus on, for a sample of strategic partnerships, the governance arrangements underpinning the partnership, including the rationale / aims of the partnership, decision-making, objectives, budget implications, performance and risk management.

AUDITABLE AREA	PROPOSED TIMING ¹	JASP ²	PLAN DAYS	Commentary on Coverage
Commissioning	Q2	Nov 2018	10	The audit will provide assurance with regards the controls and processes in place to ensure that there is an effective Commissioning Framework in place that contributes to the delivery of the Police & Crime Plan. See OPCC003.
MFSS Contract Management	Q1	July 2018	8	In light of the reliance placed on the Multi Force Shared Service (MFSS) to deliver services to the force, and taking account of the ongoing work internal audit have carried out on site at MFSS as part of the core financial systems audits, this audit will provide assurance that the force have robust contract monitoring arrangements in place to manage its relationship with the shared service.
IT Strategy	Q1	July 2018	10	To provide assurance that a clear and effective IT Strategy has been developed and that it supports the delivery of the Force's corporate objectives. See SRR004.
Seized Property	Q3	Feb 2019	10	An audit took place in 2017/18 of Seized Property for which a limited assurance opinion was given. It was determined weaknesses in the systems of internal controls are such to put the Organisation's objectives at risk. The area will be revisited to provide assurance that the Force has effective controls in place for the receipting, storage, management and disposal of seized property. It will also determine the extent to which previous recommendations have been implemented.
Information Technology - GDPR	Q3	Feb 2019	10	Using computer specialist resource, the objective will be to provide assurance with regards the force's implementation of, and adherence to, the new General Data Protection Regulations (GDPR) that will apply from 25 th May 2018. See SRR008.
Health & Safety	Q2	Nov 2018	7	It will provide assurance that the Force has effective processes in place in respect of health and safety and these are being consistently applied.
Firearms Licensing	Q4	May 2019	8	To provide assurance that the Force has effective controls in place for the management / issue of licences and the holding of firearms.

AUDITABLE AREA	PROPOSED TIMING ¹	JASP ²	PLAN DAYS	Commentary on Coverage
Collaboration				
Collaboration	Q3 & Q4	Nov 2018 & Feb 2019	10	Resources have been allocated across each OPCC / Force in order to provide assurance with regards the systems and controls in place to deliver specific elements of regional collaboration. The intention would be to carry out audit reviews across the region. Consideration will be given to assessing whether the area of collaboration is delivering against its original objectives and what arrangements are in place, from an OPCC / Force perspective, for monitoring and managing the service.
Other				
Audit Management	Ongoing		14	This includes audit planning, production of progress and annual reports, and attendance at progress and JASP meetings.
Follow-up of Limited Assurance Report	Q2		3	Audit will follow-up the recommendations made in recent limited assurance reports where there is no specific audit of the area in the plan.
Contingency			7	To allow for additional / unforeseen audits to be carried out in agreement with the JASP and management.
TOTAL			140	

¹ Proposed timings for each audit to be agreed, with any changes reported to the JASP.

² Dates for delivery to the JASP are estimates at this stage and will be updated when future meeting dates are known and when precise fieldwork dates have been agreed.

Appendix B – Levels of Assurance & Opinions

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.

Appendix C – Contact Details

Contact Details

David Hoose	07552 007708 David.Hoose@mazars.co.uk
Brian Welch	07780 970200 Brian.Welch@mazars.co.uk

Statement of Responsibility

We take responsibility to the Office of the Police & Crime Commissioner for Northamptonshire and Northamptonshire 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 rely 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 Information and Decision	
Public/Non Public*	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	30th May 2018
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Andrew Cardoza KPMG
Agenda Item:	7

EXTERNAL AUDIT PLAN 2017-18

1. Purpose of the Report

- 1.1 To provide members with the proposed External Audit Plan covering the audit of the Accounts for 2017-18.

2. Recommendations

- 2.1 Members are requested to consider and approve the External Audit Plan attached at Appendix A.

3. Reasons for Recommendations

- 3.1 This complies with good governance, financial regulations and audit regulations.

4. Summary of Key Points

- 4.1 The External Auditor has assessed the required time to complete the audit for the accounts for 2017-18.

5. Financial Implications and Budget Provision

- 5.1 None as a direct result of this report. The External Audit fees for the Force and OPCC accounts have been budgeted for within the OPCC budget.

6. Human Resources Implications

- 6.1 None

7. Equality Implications

- 7.1 None

8. Risk Management

8.1 Risks identified by the External Auditor have been included within the plan.

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

9.1 None

10. Changes in Legislation or other Legal Considerations

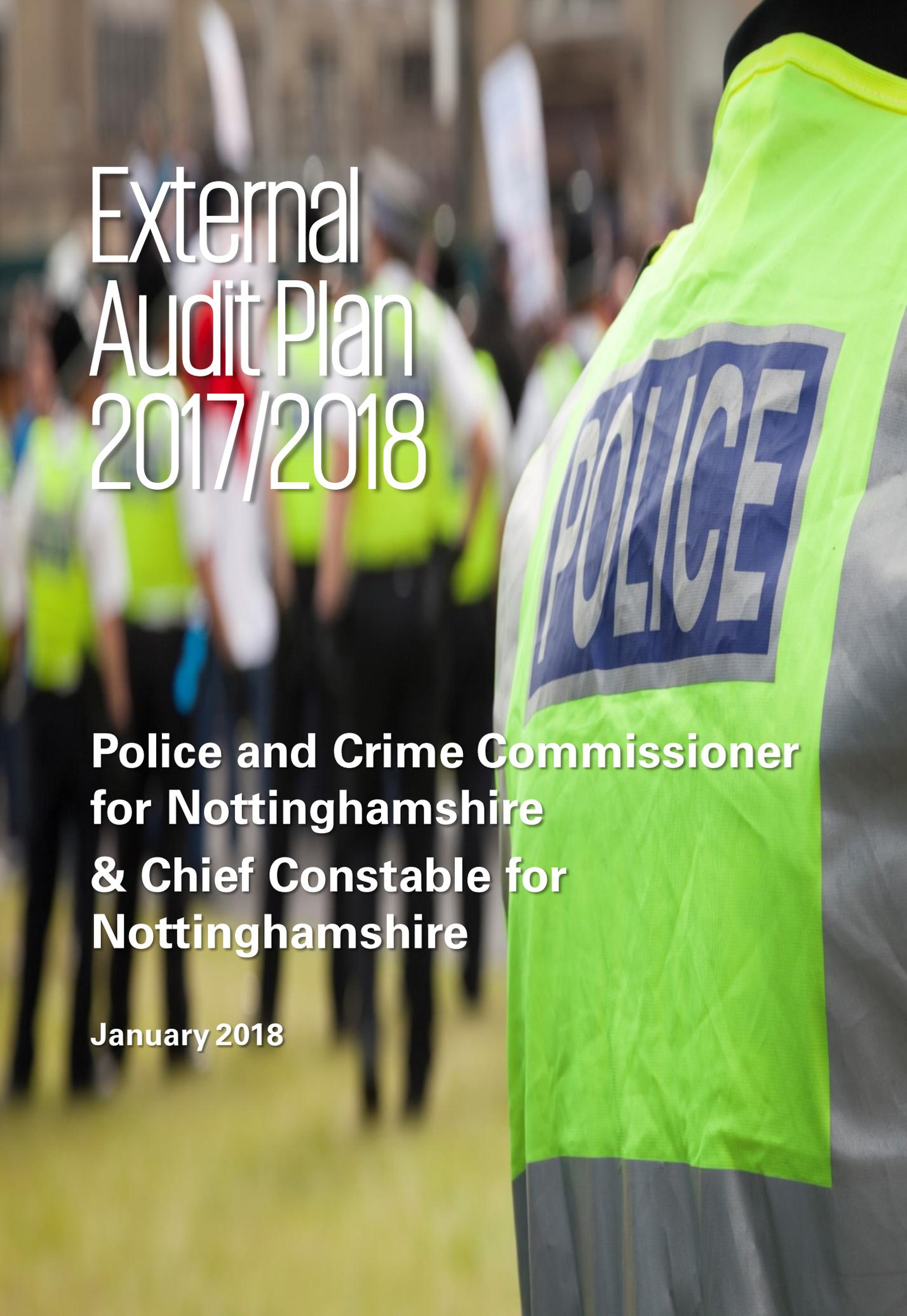
10.1 None

11. Details of outcome of consultation

11.1 Not applicable

12. Appendices

A – External Audit Plan



External Audit Plan 2017/2018

**Police and Crime Commissioner
for Nottinghamshire
& Chief Constable for
Nottinghamshire**

January 2018

Summary for Joint Audit and Scrutiny Panel (JASP)

Financial statements

There are no significant changes to the Code of Practice on Local Authority Accounting ("the Code") in 2017/18, which provides stability in terms of the accounting standards local authority bodies need to comply with. Despite this, the deadline for the production and signing of the financial statements has been significantly advanced in comparison to year ended 31 March 2017.

This represents a significant change for the Police and Crime Commissioner and Chief Constable and will need to be carefully managed in order to ensure the new deadlines are met. As a result we have recognised a significant risk in relation to this matter.

In order to meet the revised deadlines it will be essential that the draft financial statements and all prepared by client documentation is available in line with agreed timetables. Where this is not achieved there is a significant likelihood that the audit report will not be issued by 31 July 2018.

Materiality

Materiality for planning purposes has been set at £3.3million for both the Police and Crime Commissioner and the Chief Constable.

We are obliged to report uncorrected omissions or misstatements other than those which are 'clearly trivial' to those charged with governance and this has been set at a level of £160,000 for both the Police and Crime Commissioner and the Chief Constable.

Significant risks

Those risks requiring specific audit attention and procedures to address the likelihood of a material financial statement error have been identified as:

- **Pension Liabilities** – The valuation of the Police and Crime Commissioner and Chief Constable's pension liabilities, as calculated by the Actuary, is dependent upon both the accuracy and completeness of the data provided and the assumptions adopted. We will review the processes in place to ensure accuracy of data provided to the Actuary and consider the assumptions used in determining the valuation.
- **Valuation of PPE** – Whilst the Police and Crime Commissioner and Chief Constable operates a cyclical revaluation approach, the Code requires that all land and buildings be held at fair value. We will consider the way in which the PCC and CC ensures that assets not subject to in-year revaluation are not materially misstated.
- **Faster Close** – As set out above, the timetable for the production of the financial statements has been significantly advanced with draft accounts having to be prepared by 31 May (2017: 30 June) and the final accounts signed by 31 July (2017: 30 September). We will work with the Police and Crime Commissioner and Chief Constable in advance of our audit to understand the steps being taken to meet these deadlines and the impact on our work.

Summary for Joint Audit and Scrutiny Panel (cont.)

Financial Statements (cont.)

Other areas of audit focus

Those risks with less likelihood of giving rise to a material error but which are nevertheless worthy of additional audit focus have been identified as:

- **Management review of Accounts** – The draft set of accounts provided for audit are required to be fully compliant with the code and have undergone management review and necessary amendment for any known errors prior to the deadline dates and submission to the auditor. The draft accounts should match the Big Red Button with amendments made in the BRB system. We will work with the Police and Crime Commissioner and Chief Constable in advance of our audit to understand the steps being taken to meet these deadlines and the impact on our work

See pages 4 to 11 for more details.

Value for Money Arrangements work

Our risk assessment regarding your arrangements to secure value for money has identified the following VFM significant risk to date:

- **Medium Term Financial Planning** – The Police and Crime Commissioner and Chief Constable continue to face significant financial pressures and uncertainties in relation to its future funding levels with grant allocations for future years not yet being published. The Police and Crime Commissioner and Chief Constable need to have effective arrangements in place for managing their annual budgets, generating income and identifying and implementing any savings required to balance its medium term financial plan. We will consider the way in which the Police and Crime Commissioner and Chief Constable identify, approve, and monitor both savings plans and how budgets are monitored throughout the year.
- **MFSS Governance and VFM** - MFSS currently provides transactional back office services to Nottinghamshire Police and other PCCs. PCCs have expressed concerns around governance of MFSS and the services provided to clients. We will review the governance arrangements to ensure proper arrangements in MFSS Financial Governance.

See pages 12 to 17 for more details.

Logistics

Our team is:

- Andrew Cardoza – Director
- Anita Pipes – Manager

More details are in **Appendix 2**.

Our work will be completed in four phases from December to July and our key deliverables are this Audit Plan, an Interim Report/Letter and a Report to Those Charged With Governance as outlined on **page 20**.

Our fee for the 2017/18 audit of the Police and Crime Commissioner is £35,220 (£35,220 2016/17) and for that of the Chief Constable £15,000 (£15,000 2016/17). **See page 19**. These fees are in line with the scale fees published by PSAA.

Acknowledgements

We would like to take this opportunity to thank officers and Members for their continuing help and co-operation throughout our audit work.

Introduction

Background and Statutory responsibilities

This document supplements our Audit Fee Letter 2017/18 presented to you in April 2017, which also set out details of our appointment by Public Sector Audit Appointments Ltd (PSAA).

Our statutory responsibilities and powers are set out in the Local Audit and Accountability Act 2014, the National Audit Office's Code of Audit Practice and the PSAA Statement of Responsibilities.

Our audit has two key objectives, requiring us to audit/review and report on your:

01 | Financial statements :
Providing an opinion on your accounts. We also review each Annual Governance Statement and Narrative Report and report by exception on these; and

02 | Use of resources:
Concluding on the arrangements in place for securing economy, efficiency and effectiveness in your use of resources (the value for money conclusion).

The audit planning process and risk assessment is an on-going process and the assessment and fees in this plan will be kept under review and updated if necessary. Any change to our identified risks will be reported to the JASP.

Financial Statements Audit

Our financial statements audit work follows a four stage audit process which is identified below. Appendix 1 provides more detail on the activities that this includes. This report concentrates on the Financial Statements Audit Planning stage of the Financial Statements Audit.



Value for Money Arrangements Work

Our Value for Money (VFM) Arrangements Work follows a six stage process which is identified below. Page 12 provides more detail on the activities that this includes. This report concentrates on explaining the VFM approach for 2017/18 and the findings of our VFM risk assessment.



Financial statements audit planning

Financial Statements Audit Planning

Our planning work takes place during December 2017 to January 2018. This involves the following key aspects:

- Determining our materiality level;
- Risk assessment;
- Identification of significant risks;
- Consideration of potential fraud risks;
- Identification of key account balances in the financial statements and related assertions, estimates and disclosures;
- Consideration of management's use of experts; and
- Issuing this audit plan to communicate our audit strategy.

Risk assessment

Auditing standards require us to consider two standard risks for all organisations. We are not elaborating on these standard risks in this plan but consider them as a matter of course in our audit and will include any findings arising from our work in our ISA 260 Report.

Management override of controls

01

Management is typically in a powerful position to perpetrate fraud owing to its ability to manipulate accounting records and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. Our audit methodology incorporates the risk of management override as a default significant risk. In line with our methodology, we carry out appropriate controls testing and substantive procedures, including over journal entries, accounting estimates and significant transactions that are outside the normal course of business, or are otherwise unusual.

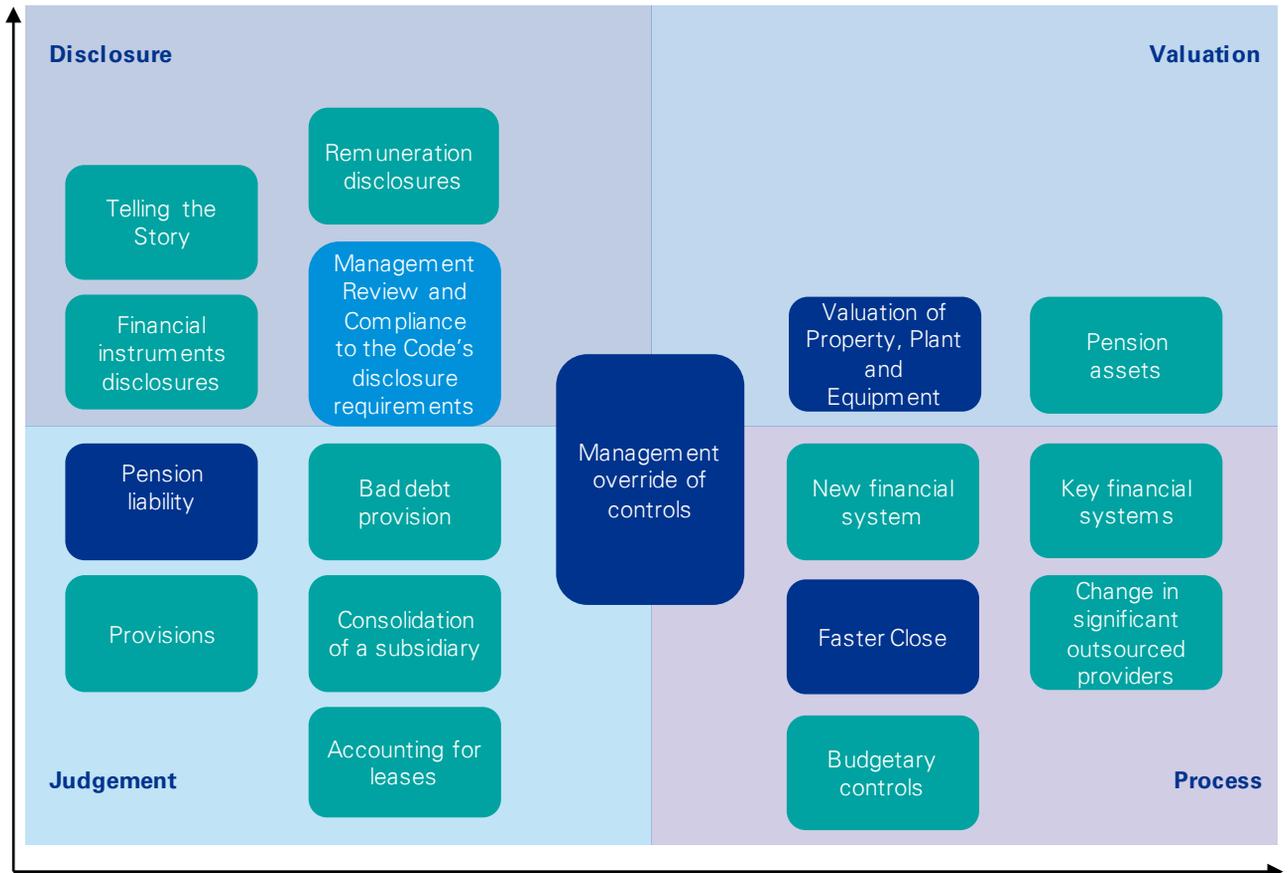
Fraudulent revenue recognition

02

We do not consider this to be a significant risk for the Police and Crime Commissioner and Chief Constable as there are limited incentives and opportunities to manipulate the way income is recognised. We therefore rebut this risk and do not incorporate specific work into our audit plan in this area over and above our standard fraud procedures.

Financial statements audit planning (cont.)

The diagram below identifies significant risks and other areas of audit focus, which we expand on overleaf. The diagram also identifies a range of other areas considered by our audit approach.



Keys: ■ Significant risk ■ Other area of audit focus ■ Example other areas considered by our approach

Financial statements audit planning (cont.)

Significant Audit Risks

Those risks requiring specific audit attention and procedures to address the likelihood of a material financial statement error in relation to the Police and Crime Commissioner or Chief Constable.

Pension Liabilities

Risk:

The net pension liability represents a material element of the Police and Crime Commissioner and Chief Constable's balance sheets.

The valuation of the pension liabilities rely on a number of assumptions, most notably around the actuarial assumptions, and actuarial methodology which results in the overall valuations.

There are financial assumptions and demographic assumptions used in the calculations of the valuations, such as the discount rate, inflation rates, mortality rates etc. The assumptions should also reflect the profile of the Police and Crime Commissioner and Chief Constable's employees, and should be based on appropriate data. The basis of the assumptions is derived on a consistent basis year to year, or updated to reflect any changes.

There is a risk that the assumptions and methodologies used in the valuations of the Police and Crime Commissioner and Chief Constable's pension obligations are not reasonable. This could have a material impact to net pension liabilities accounted for in the financial statements.

Approach:

As part of our work we will review the controls in place over the information sent directly to the schemes' actuary. We will also liaise with the auditors of the Local Government Pension Fund in order to gain an understanding of the effectiveness of those controls operated by the Pension Fund. This will include consideration of the process and controls with respect to the assumptions used in the valuation. We will also evaluate the competency, objectivity and independence of Barnett Waddingham.

We will review the appropriateness of the key assumptions included within the valuation, compare them to expected ranges, and consider the need to make use of a KPMG actuary. We will review the methodology applied in the valuation by Barnett Waddingham.

In addition, we will review the overall actuarial valuations and consider the disclosure implications in the respective financial statements of the Police and Crime Commissioner and Chief Constable.

Financial statements audit planning (cont.)

Significant Audit Risks

Those risks requiring specific audit attention and procedures to address the likelihood of a material financial statement error in relation to the Police and Crime Commissioner or Chief Constable.

Valuation of PPE

Risk:

The Code requires that where assets are subject to revaluation, their year end carrying value should reflect the appropriate fair value at that date. The Police and Crime Commissioner and Chief Constable have adopted a rolling revaluation model which sees all land and buildings revalued over a five year cycle. As a result of this, however, individual assets may not be revalued for four years.

This creates a risk that the carrying value of those assets not revalued in year differs materially from the year end fair value. In addition, as the valuation is undertaken as at the end of December there is a risk that the fair value is different at the year end.

Approach:

We will review the approach that the Police and Crime Commissioner and Chief Constable have adopted to assess the risk that assets not subject to valuation are materially misstated and consider the robustness of that approach. We will also assess the risk of the valuation changing materially during the year.

In addition, we will consider movement in market indices between revaluation dates and the year end in order to determine whether these indicate that fair values have moved materially over that time.

In relation to those assets which have been revalued during the year we will assess the valuer's qualifications, objectivity and independence to carry out such valuations and review the methodology used (including testing the underlying data and assumptions).

Financial statements audit planning (cont.)

Significant Risks

Those risks requiring specific audit attention and procedures to address the likelihood of a material financial statement error in relation to the Police and Crime Commissioner or Chief Constable

Faster Close

Issue:

In prior years, the Police and Crime Commissioner and Chief Constable have been required to prepare draft financial statements by 30 June and then final signed accounts by 30 September. For years ending on and after 31 March 2018 however, revised deadlines apply which require draft accounts by 31 May and final signed accounts by 31 July.

These changes represent a significant change to the timetables that the Police and Crime Commissioner and Chief Constable have previously worked to. The time available to produce draft accounts has been reduced by one month and the overall time available for completion of both accounts production and audit is two months shorter than in prior years.

In order to meet the revised deadlines, the Police and Crime Commissioner and Chief Constable may need to make greater use of accounting estimates. In doing so, consideration will need to be given to ensuring that these estimates remain valid at the point of finalising the financial statements. In addition, there are a number of logistical challenges that will need to be managed. These include:

- Ensuring that any third parties involved in the production of the accounts (including valuers, and actuaries) are aware of the revised deadlines and have made arrangements to provide the output of their work in accordance with this;
- Revising the closedown and accounts production timetables in order to ensure that all working papers and other supporting documentation are available at the start of the audit process;
- Ensuring that the JASP meeting schedules have been updated to permit signing in July; and
- Applying a shorter paper deadline to the July meeting of the JASP in order to accommodate the production of the final versions of the accounts and our ISA 260 report.

In the event that the above areas are not effectively managed there is a significant risk that the audits will not be completed by the 31 July deadline.

Approach:

We will continue to liaise with officers in preparation for our audit in order to understand the steps that the Police and Crime Commissioner and Chief Constable are taking in order to ensure they meet the revised deadlines. We will also look to advance audit work into the interim visit in order to streamline the year end audit work.

Where there is greater reliance upon accounting estimates we will consider the assumptions used and challenge the robustness of those estimates.

Financial statements audit planning (cont.)

Other areas of audit focus

Those risks with less likelihood of giving rise to a material error but which are nevertheless worthy of audit understanding.

Management Review of Accounts

Issue:

In 2016-17 Nottinghamshire PCC and CC were a pilot site for the new CIPFA financial system known as the Big Red Button. Our ISA 260 report for 2016/17 highlighted a number of challenges with the statement of accounts provided for audit last year.

The initial draft statement of accounts provided for audit was not code compliant and we identified a number of issues with version control and timely management review of the accounts.

We understand that recommendations made in the ISA 260 report will be actioned.

In order to meet the earlier deadlines this year the S151 officers of the PCC and CC will need to ensure the Big Red Button has been updated correctly with all prior year adjustments and supports the figures presented for audit. The draft statement will need to be code compliant and a full and detailed management review will be required prior to the audit. All working papers will need to be in line with the statement of accounts and updated as necessary when changes are made in the Big Red Button.

In the event that the above areas are not effectively managed there is a significant risk that the audits will not be completed by the 31 July deadline.

Approach:

We will continue to liaise with officers in preparation for our audit in order to understand the steps that the Police and Crime Commissioner and Chief Constable are taking in order to ensure they meet the requirements of the code and that they have reviewed and amended the accounts prior to the first draft being submitted to auditors by the required deadline. We will also look to advance audit work into the interim visit in order to streamline the year end audit work.

Financial statements audit planning (cont.)

Materiality

We are required to plan our audit to determine with reasonable confidence whether or not the financial statements are free from material misstatement. An omission or misstatement is regarded as material if it would reasonably influence the user of financial statements. This therefore involves an assessment of the qualitative and quantitative nature of omissions and misstatements.

Generally, we would not consider differences in opinion in respect of areas of judgement to represent 'misstatements' unless the application of that judgement results in a financial amount falling outside of a range which we consider to be acceptable.

For both the Police and Crime Commissioner and the Chief Constable, materiality for planning purposes has been set at £3.3 million, which equates to 1.5 percent of the Chief Constables gross expenditure.

We design our procedures to detect errors in specific accounts at a lower level of precision.

Prior Year Gross Expenditure: £221m (2016/17: £221m)

Materiality

£3.3m

1.5% of Expenditure

(2016/17: £3.3m,
1.5%)



Financial statements audit planning (cont.)

Reporting to the Joint Audit and Scrutiny Panel (JASP)

Whilst our audit procedures are designed to identify misstatements which are material to our opinion on the financial statements as a whole, we nevertheless report to the JASP any unadjusted misstatements of lesser amounts to the extent that these are identified by our audit work.

Under ISA 260(UK&I) 'Communication with those charged with governance', we are obliged to report uncorrected omissions or misstatements other than those which are 'clearly trivial' to those charged with governance. ISA 260 (UK&I) defines 'clearly trivial' as matters that are clearly inconsequential, whether taken individually or in aggregate and whether judged by any quantitative or qualitative criteria.

In the context of both the Police and Crime Commissioner and Chief Constable, we propose that an individual difference could normally be considered to be clearly trivial if it is less than £160,000.

If management has corrected material misstatements identified during the course of the audit, we will consider whether those corrections should be communicated to the JASP to assist it in fulfilling its governance responsibilities.

We will report:



Non-Trivial corrected audit misstatements



Non-trivial uncorrected audit misstatements



Errors and omissions in disclosure
(Corrected and uncorrected)

Value for money arrangements work

VFM audit approach

The Local Audit and Accountability Act 2014 requires auditors of local government bodies to be satisfied that an authority 'has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources'.

This is supported by the Code of Audit Practice, published by the NAO in April 2015, which requires auditors to 'take into account their knowledge of the relevant local sector as a whole, and the audited body specifically, to identify any risks that, in the auditor's judgement, have the potential to cause the auditor to reach an inappropriate conclusion on the audited body's arrangements.'

Overall criterion

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

The VFM approach is fundamentally unchanged from that adopted in 2016/17 and the process is shown in the diagram below. The diagram overleaf shows the details of the sub-criteria for our VFM work.



Value for money arrangements work (cont.)

Value for Money sub-criterion

Informed decision making

Proper arrangements:

- Acting in the public interest, through demonstrating and applying the principles and values of sound governance.
- Understanding and using appropriate and reliable financial and performance information to support informed decision making and performance management.
- Reliable and timely financial reporting that supports the delivery of strategic priorities.
- Managing risks effectively and maintaining a sound system of internal control.

Sustainable resource deployment

Proper arrangements:

- Planning finances effectively to support the sustainable delivery of strategic priorities and maintain statutory functions.
- Managing and utilising assets to support the delivery of strategic priorities.
- Planning, organising and developing the workforce effectively to deliver strategic priorities.

Working with partners and third parties

Proper arrangements:

- Working with third parties effectively to deliver strategic priorities.
- Commissioning services effectively to support the delivery of strategic priorities.
- Procuring supplies and services effectively to support the delivery of strategic priorities.

Value for money arrangements work (cont.)

VFM audit stage



VFM audit risk assessment

Audit approach

We consider the relevance and significance of the potential business risks faced by all local authority bodies, and other risks that apply specifically to the Police and Crime Commissioner and Chief Constable. These are the significant operational and financial risks in achieving statutory functions and objectives, which are relevant to auditors' responsibilities under the *Code of Audit Practice*.

In doing so we consider:

- The Police and Crime Commissioner and Chief Constable's own assessment of the risks it faces, and its arrangements to manage and address its risks;
- Information from Her Majesty's Inspectorate of Constabulary and Fire & Rescue Service VFM profile tool;
- Evidence gained from previous audit work, including the response to that work; and
- The work of other inspectorates and review agencies.



Linkages with financial statements and other audit work

Audit approach

There is a degree of overlap between the work we do as part of the VFM audit and our financial statements audit. For example, our financial statements audit includes an assessment and testing of the organisational control environment, including the financial management and governance arrangements, many aspects of which are relevant to our VFM audit responsibilities.

We have always sought to avoid duplication of audit effort by integrating our financial statements and VFM work, and this will continue. We will therefore draw upon relevant aspects of our financial statements audit work to inform the VFM audit.



Identification of significant risks

Audit approach

The Code identifies a matter as 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. Significance has both qualitative and quantitative aspects.*'

If we identify significant VFM risks, then we will highlight the risk to the Police and Crime Commissioner and Chief Constable and consider the most appropriate audit response in each case, including:

- Considering the results of work by the Police and Crime Commissioner and Chief Constable, inspectorates and other review agencies; and
- Carrying out local risk-based work to form a view on the adequacy of the Police and Crime Commissioner and Chief Constable's arrangements for securing economy, efficiency and effectiveness in its use of resources.

Value for money arrangements work (cont.)

VFM audit stage



Assessment of work by other review agencies, and Delivery of local risk based work

Audit approach

Depending on the nature of the significant VFM risk identified, we may be able to draw on the work of other inspectorates, review agencies and other relevant bodies to provide us with the necessary evidence to reach our conclusion on the risk.

We will also consider the evidence obtained by way of our financial statements audit work and other work already undertaken.

If evidence from other inspectorates, agencies and bodies is not available and our other audit work is not sufficient, we will need to consider what additional work we will be required to undertake to satisfy ourselves that we have reasonable evidence to support the conclusion that we will draw. Such work may include:

- Additional meetings with senior managers;
- Review of specific related minutes and internal reports; and
- Examination of financial models for reasonableness, using our own experience and benchmarking data from within and without the sector.



Concluding on VFM arrangements

Audit approach

At the conclusion of the VFM audit we will consider the results of the work undertaken and assess the assurance obtained against each of the VFM themes regarding the adequacy of the Police and Crime Commissioner and Chief Constable's arrangements for securing economy, efficiency and effectiveness in the use of resources.

If any issues are identified that may be significant to this assessment, and in particular if there are issues that indicate we may need to consider qualifying our VFM conclusion, we will discuss these with management as soon as possible. Such issues will also be considered more widely as part of KPMG's quality control processes, to help ensure the consistency of auditors' decisions.



Reporting

Audit approach

On the following page, we report the results of our initial risk assessment.

We will report on the results of the VFM audit through our ISA 260 Report. This will summarise any specific matters arising, and the basis for our overall conclusion.

The key output from the work will be the VFM conclusion (i.e. our opinion on the arrangements for securing VFM), which forms part of our audit report.

Value for money arrangements work (cont.)

Significant VFM Risks

Those risks requiring specific audit attention and procedures to address the likelihood that proper arrangements are not in place to deliver value for money.

Risk:

Medium Term Financial Planning

The Police and Crime Commissioner and Chief Constable identified the need to make efficiency savings of £1.3 million in 2017/18 in addition to ongoing pay savings of £4.2m. The current forecast shows that they will deliver an underspend of approximately £2.1 million for the financial year for the force and that the OPCC will deliver a balanced budget.

The overall budget was approved by the Police and Crime Commissioner in February 2017 and recognised a need for £1.3million in savings. The approved budget includes individual proposals to support the delivery of the overall savings requirement. Further savings of £7 million will be required over the period 2018 to 2020 to principally address future reductions to funding levels alongside service cost and demand pressures. As a result, the need for savings will continue to have a significant impact on the Police and Crime Commissioner and Chief Constable's financial resilience.

There is no plan to use reserves to support the 2017-18 expenditure and the overall aim is to return £10.1m to reserves in the medium to long term.

Approach:

As part of our additional risk based work, we will review the controls the Police and Crime Commissioner and Chief Constable have in place to ensure financial resilience, specifically that the Medium Term Financial Plan has duly taken into consideration factors such as funding reductions, salary and general inflation, demand pressures, restructuring costs and sensitivity analysis given the degree of variability in the above factors.

VFM Sub-criterion:

This risk is related to the following Value For Money sub-criterion:
— Sustainable resource deployment.

Value for money arrangements work (cont.)

Significant VFM Risks

Those risks requiring specific audit attention and procedures to address the likelihood that proper arrangements are not in place to deliver value for money.

Risk:	MFSS Governance and VFM <p>Multi Force Shared Services (MFSS) currently provides transactional back office services to Cheshire, Nottinghamshire and Northamptonshire Police and the Civil Nuclear Authority. PCCs in particular have expressed concerns around the governance of MFSS around the role of the Joint Oversight Committee (JOC) and the supporting Section 22 agreement. PCCs consider that an alternative legal vehicle is required to better support and govern MFSS and the services provided to clients. Potential growth in the membership of MFSS through the on-boarding of Cheshire Fire & Rescue Service, British Transport Police, and Avon & Somerset Police (at a later date), means that the existing governance arrangements are becoming unwieldy. The Nottinghamshire PCC has agreed that the Force should continue to be a member of MFSS and migrate to Oracle Fusion. This decision was based upon the outcome of the Grant Thornton tri-force evaluation report, which amongst other things, tested whether MFSS was providing value for money.</p> <p>Oracle Cloud Applications (FUSION) will offer expanded application functionality, real-time Business Intelligence and related modules all via Oracle Cloud Applications. By moving to a fully Oracle hosted service the annual savings for the MFSS are £2.667m over five years with additional MFSS savings taking the five year total savings to £3.54m (shared amongst the partner forces). Nottinghamshire expect savings of £200k a year.</p> <p>Fusion was due to be implemented in April 2018 but the project has been pushed back by MFSS to November 2018 with the potential for further delay. The project costs have increased from £6.7m to a projected £10.4m, with Nottinghamshire Police allocated £600k of this increase (total costs £1.152m payable in 17-18 and £583k in 2018-19). With the change in partners and the share of costs being based on head count the total cost to Nottinghamshire Police of this project is not yet fully known. The current budget for Fusion is £650k for 2017-18 and £2.155m in 17-18.</p>
Approach:	As part of our additional risk based work, we will review the Grant Thornton tri-force evaluation report to ensure proper arrangements in MFSS Financial governance. We will review the costs of the project in 2017-18 and the anticipated costs in 2018-19 to establish how these differ from the budget.
VFM Sub-criterion:	This risk is related to the following Value For Money sub-criterion: — Working with partners and other third parties.

Other matters

Whole of government accounts (WGA)

We are required to issue an assurance statement to the National Audit Office confirming the income, expenditure, asset and liabilities of the Police and Crime Commissioner and Chief Constable at a group level. Deadlines for completion of this for 2017/18 have not yet been confirmed.

Elector challenge

The Local Audit and Accountability Act 2014 gives electors certain rights. These are:

- The right to inspect the accounts;
- The right to ask the auditor questions about the accounts; and
- The right to object to the accounts.

As a result of these rights, in particular the right to object to the accounts, we may need to undertake additional work to form our decision on the elector's objection. The additional work could range from a small piece of work where we interview an officer and review evidence to form our decision, to a more detailed piece of work, where we have to interview a range of officers, review significant amounts of evidence and seek legal representations on the issues raised.

The costs incurred in responding to specific questions or objections raised by electors is not part of the fee. This work will be charged in accordance with the PSAA's fee scales.



Other matters

Reporting and communication

Reporting is a key part of the audit process, not only in communicating the audit findings for the year, but also in ensuring the audit team are accountable to you in addressing the issues identified as part of the audit strategy. Throughout the year we will communicate with you through meetings with the Finance team and the JASP. Our communication outputs are included in Appendix 1.

Independence and Objectivity

Auditors are also required to be independent and objective. Appendix 3 provides more details of our confirmation of independence and objectivity.

Audit fee

Our Audit Fee Letter 2017/18 presented to you in April 2017 first set out our fees for the 2017/18 audit. This letter also set out our assumptions. We have not considered it necessary to seek approval for any changes to the agreed fees at this stage.

Should there be a need to charge additional audit fees then these will be agreed with the respective s.151 Officers and PSAA. If such a variation is agreed, we will report that to you in due course.

The planned scale audit fees for 2017/18 are:

- Police and Crime Commissioner : £35,220, compared to 2016/17 of £35,220; and
- Chief Constable : £15,000, compared to 2016/2017 of £15,000.

Appendix 1:

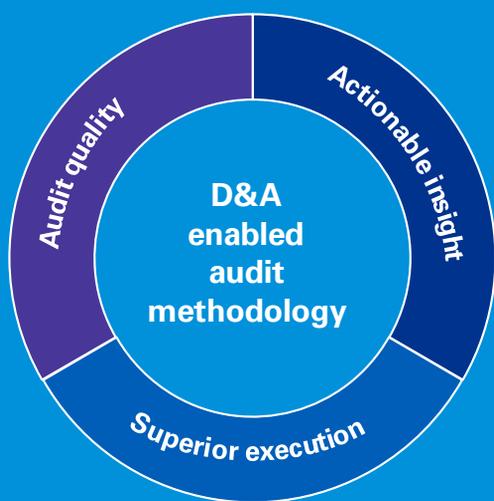
Key elements of our financial statements audit approach

Driving more value from the audit through data and analytics

Technology is embedded throughout our audit approach to deliver a high quality audit opinion. Use of Data and Analytics (D&A) to analyse large populations of transactions in order to identify key areas for our audit focus is just one element. Data and Analytics allows us to:

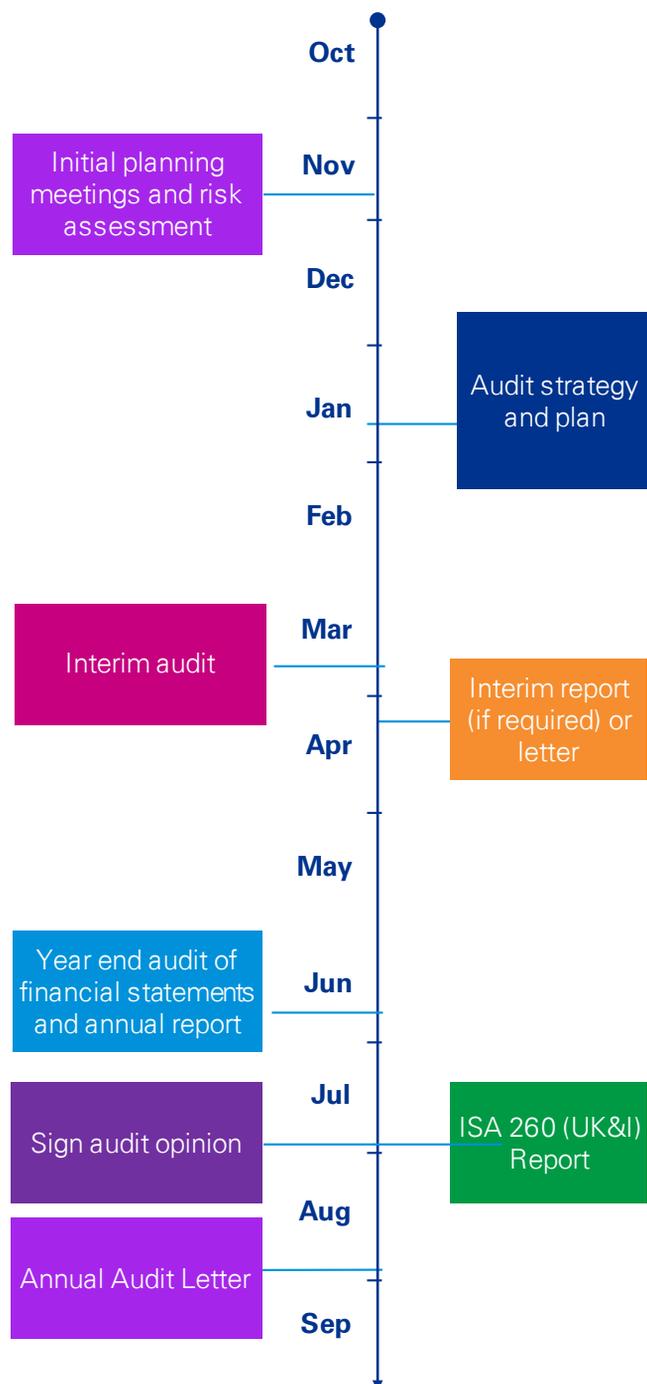
- Obtain greater understanding of your processes, to automatically extract control configurations and to obtain higher levels assurance.
- Focus manual procedures on key areas of risk and on transactional exceptions.
- Identify data patterns and the root cause of issues to increase forward-looking insight.

We anticipate using data and analytics in our work around journals.



Communication

Continuous communication involving regular meetings between the, audit team, senior management and the JASP.



Appendix 1:

Key elements of our financial statements audit approach

Audit workflow

Planning

- Determining our materiality level;
- Risk assessment;
- Identification of significant risks;
- Consideration of potential fraud risks;
- Identification of key account balances in the financial statements and related assertions, estimates and disclosures;
- Consideration of managements use of experts; and
- Issuing this audit plan to communicate our audit strategy.

Control evaluation

- Understand accounting and reporting activities;
- Evaluate design and implementation of selected controls;
- Test operating effectiveness of selected controls; and
- Assess control risk and risk of the accounts being misstated.

Substantive testing

- Plan substantive procedures;
- Perform substantive procedures; and
- Consider if audit evidence is sufficient and appropriate

Completion

- Perform completion procedures;
 - Perform overall evaluation;
 - Form an audit opinion; and
 - JASP reporting.
-



Appendix 2:

Audit team

Your audit team has been drawn from our specialist public sector assurance department. Our audit team were all part of the Police and Crime Commissioner and Chief Constable audits last year.



Andrew Cardoza
Director

T: 0121 232 3869
E: andrew.cardoza@kpmg.co.uk

'My role is to lead our team and ensure the delivery of a high quality, valued added external audit opinion. I will be the main point of contact for the JASP and Chief Finance Officers.'



Anita Pipes
Manager

T: 0115 945 4481
E: anita.pipes@kpmg.co.uk

'I provide quality assurance for the audit work and specifically any technical accounting and risk areas. I will be responsible for the on-site delivery of our work and will supervise the work of our audit assistants.'

Appendix 3:

Independence and objectivity requirements

ASSESSMENT OF OUR OBJECTIVITY AND INDEPENDENCE AS AUDITOR OF POLICE AND CRIME COMMISSIONER FOR NOTTINGHAMSHIRE AND CHIEF CONSTABLE FOR NOTTINGHAMSHIRE

Professional ethical standards require us to provide to you at the planning stage of the audit a written disclosure of relationships (including the provision of non-audit services) that bear on KPMG LLP's objectivity and independence, the threats to KPMG LLP's independence that these create, any safeguards that have been put in place and why they address such threats, together with any other information necessary to enable KPMG LLP's objectivity and independence to be assessed.

In considering issues of independence and objectivity we consider relevant professional, regulatory and legal requirements and guidance, including the provisions of the Code of Audit Practice, the provisions of Public Sector Audit Appointments Ltd's ('PSAA's') Terms of Appointment relating to independence and the requirements of the FRC Ethical Standard and General Guidance Supporting Local Audit (Auditor General Guidance 1 – AGN01) issued by the National Audit Office ('NAO').

This Appendix is intended to comply with this requirement and facilitate a subsequent discussion with you on audit independence and addresses:

- General procedures to safeguard independence and objectivity;
- Independence and objectivity considerations relating to the provision of non-audit services; and
- Independence and objectivity considerations relating to other matters.

General procedures to safeguard independence and objectivity

KPMG LLP is committed to being and being seen to be independent. As part of our ethics and independence policies, all KPMG LLP partners, Audit Directors and staff annually confirm their compliance with our ethics and independence policies and procedures. Our ethics and independence policies and procedures are fully consistent with the requirements of the FRC Ethical Standard. As a result we have underlying safeguards in place to maintain independence through:

- Instilling professional values
- Communications
- Internal accountability
- Risk management
- Independent reviews.

We are satisfied that our general procedures support our independence and objectivity.

Independence and objectivity considerations relating to the provision of non-audit services

Summary of fees

We have considered the fees charged by us to the Police and Crime Commissioner, Chief Constable and its affiliates for professional services provided by us during the reporting period.

There are no fees in relation to the provision of non-audit services which need to be disclosed to the JASP.

Appendix 3:

Independence and objectivity requirements (cont.)

Independence and objectivity considerations relating to other matters

There are no other matters that, in our professional judgement, bear on our independence which need to be disclosed to the JASP.

Confirmation of audit independence

We confirm that as of the date of this report, in our professional judgement, KPMG LLP is independent within the meaning of regulatory and professional requirements and the objectivity of the Director and audit staff is not impaired.

This report is intended solely for the information of the JASP of the Police and Crime Commissioner and Chief Constable and should not be used for any other purposes.

We would be very happy to discuss the matters identified above (or any other matters relating to our objectivity and independence) should you wish to do so.

KPMG LLP

KPMG LLP



kpmg.com/uk



This report is addressed to the Police and Crime Commissioner and Chief Constable and has been prepared for the sole use of the Police and Crime Commissioner and Chief Constable. We take no responsibility to any member of staff acting in their individual capacities, or to third parties. We draw your attention to the Statement of Responsibilities of auditors and audited bodies, which is available on Public Sector Audit Appointment's website (www.psa.co.uk).

External auditors do not act as a substitute for the audited body's own responsibility for putting in place proper arrangements to ensure that public 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.

We are committed to providing you with a high quality service. If you have any concerns or are dissatisfied with any part of KPMG's work, in the first instance you should contact Andrew Cardoza, the engagement lead to the Police and Crime Commissioner and Chief Constable, who will try to resolve your complaint. If you are dissatisfied with your response please contact the national lead partner for all of KPMG's work under our contract with Public Sector Audit Appointments Limited, Andrew Sayers, by email to Andrew.Sayers@kpmg.co.uk. After this, if you are still dissatisfied with how your complaint has been handled you can access PSAA's complaints procedure by emailing generalenquiries@psaa.co.uk by telephoning 020 7072 7445 or by writing to Public Sector Audit Appointments Limited, 3rd Floor, Local Government House, Smith Square, London, SW1P 3HZ. © 2017 KPMG LLP, a UK limited liability partnership and a member firm of the KPMG network of independent member firms affiliated with KPMG International Cooperative ("KPMG International"), a Swiss entity. All rights reserved.

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CREATE: CRT086281A

For Decision	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	30th May 2018
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Mark Kimberley, Pamela Taylor, Amanda Froggatt
Agenda Item:	8

DRAFT STATEMENT OF ACCOUNTS AND ANNUAL GOVERNANCE STATEMENTS FOR 2017-18

1. Purpose of the Report

- 1.1 To provide members with a copy of the unaudited statement of accounts and annual governance statements for 2017-18.

2. Recommendations

- 2.1 Members are requested to:
- Review the tabled draft documents and provide any feedback on items which should be amended or included in the Statements of accounts for the Chief Constable and the Commissioner
 - Review the draft Annual Governance Statements provided and provide any feedback for the Chief Constable and the Commissioner

This feedback should be provided before the final draft statements are signed by the Chief Finance Officers and made available to the external auditors.

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

12. Appendices

A – The Chief Constables Statement of Accounts 2017-18 – TO FOLLOW
B – The Group Statement of Accounts 2017-18 – TO FOLLOW
C - The Chief Constables Annual Governance Statement 2017-18
D – The PCC's Annual Governance Statement 2017-18

Appendix A – The Chief Constables Statement of Accounts 2017-18 – TO FOLLOW

Appendix B – The Group Statement of Accounts 2017-18 – TO FOLLOW



NOTTINGHAMSHIRE
POLICE
PROUD TO SERVE

Nottinghamshire Police Annual Governance Statement 2017/18

DRAFT

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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.

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 (Head of Finance) 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

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, and respecting the rule of the law

- The Force has retained the PROUD values which are explicitly linked to the Code of Ethics.
- The Code of Ethics sits at the centre of the National Decision Model, so is explicitly referenced and considered in any decision making situation.
- There are also 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.
- In the 2017 HMICFRS PEEL Legitimacy Inspection Nottinghamshire Police received a grading of good for ensuring that its workforce behaves ethically and lawfully.
- Standards are governed by the quarterly Organisation Risk, Learning and Ethics Board, chaired by the Deputy Chief Constable (DCC).
- Bi-annually, a report on IOPC investigations is presented at the NOPCC's Audit and Scrutiny Panel to inform the OPCC of the Force's application of the IOPC Statutory Guidance.
- 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 IOPC.
- In an effort to ensure consistency and fair practice, the Professional Standards Department are now responsible for monitoring staff conduct. This allows parity on how cases are assessed; ensuring staff and officers are treated fairly and respectfully.
- All gross misconduct hearings are now held in public and the outcomes are published on the force website.
- The Force has dedicated local resolution 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.
- Business Interests, Additional Employment and Notifiable Associations are reviewed annually within the Integrity Health check.
- A redacted version of the Register of Approved Business Interests is published on the Force website annually; any changes are reported on a monthly basis to the Organisational Risk, Learning and Ethics Board.
- The Force work to the Contract Standing Orders Procedure Rules to ensure fairness and consistency of approach in line with sound commercial practice for strategic procurement managed by the East Midlands Strategic Commercial Unit (EMSCU).
- The HMICFRS PEEL Legitimacy Inspection 2017 found that Nottinghamshire Police is good at ensuring that its workforce behaves ethically and lawfully. Leaders are positive ethical role models. Members of the workforce have a good understanding of the Code of Ethics and are guided by ethics and values in their decision making. The force clarifies and reinforces expected standards of behaviour.
- 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 ACO Finance job description (Head of Finance with effect from 1st April 2018)
- The Counter Corruption Unit policy clearly sets out the procedures to be operated that are designed to encourage prevention, promote detection and identify a clear pathway for the investigation of fraudulent or corrupt practices and behaviour.

2.2 Principle B: Ensuring openness and comprehensive stakeholder engagement

- Nottinghamshire Police meets its legal responsibility as a public authority to respond to Freedom of Information Act (FOIA) and Data Protection Subject Access Requests (DPSARs) within legislative deadlines.
- Publication scheme monitoring, review and assurance is reported to the Joint Audit and Scrutiny Panel on an annual basis, this again, is also reported to the Information Assurance Board which is held bi-monthly
- There are a number of Information Sharing Agreements (ISAs) in place with partners and other agencies which are reviewed on an ad hoc basis.
- In accordance with the Freedom of Information Act, our website is updated proactively with force information. This ensures transparency and encourages increased confidence from and accountability to the public and stakeholders.
- The Force is committed to working in partnership to deliver its priorities and provide the best service to its communities.
- 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 2015-20 sets out the overall aims and 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.
- The three statutory CSPs are responsible for the delivery of local community safety strategies and action plans. The SNB Delivery Groups support the SNB and CSPs to implement the community safety strategies.
- Each of the three Community Safety Partnership's in the County produces performance information on a monthly basis. 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.
- The Chief Constable reports with the PCC to the Nottinghamshire Members of Parliament on an annual basis.
- The Force is working towards a bespoke neighbourhood engagement plan for every neighbourhood, including measures for breaking down engagement barriers (such as social exclusion, accessibility issues and concerns over privacy) and engaging with young people.
- Formal engagement mechanisms delivered in the community include Victim Satisfaction Surveys, Neighbourhood Watch Meetings, Neighbourhood priority surveys, Locality Boards, Neighbourhood engagement meetings, Key Individual Networks and Independent Advisory Groups.

- The Force has a strategic Independent Advisory Group (IAG) which represents different community groups across Nottinghamshire. They provide an invaluable service to the Force in three core areas; critical incidents, building trust and confidence and advising on strategies, policies and procedures. The Force has a many systems in place for the collection of local survey information that is used to shape the direction of service delivery.

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

- The local direction and priorities for the Force vision are set in the Police and Crime Commissioner's Police and Crime Plan, created following a comprehensive multi-agency strategic assessment.
- At a national level, the Force work 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.
- Requests for investment are directed to the Priority Plan Programme Board (PPPB). The PPPB governs activity throughout its lifecycle, supporting continuous improvement and enabling it to meet its future performance and financial challenges. Following approval at PPPB business cases are submitted to the Force Executive Board (FEB), and then the OPCC where appropriate, for final approval. The purpose of the FEB is to direct, set and oversee the strategic development of Nottinghamshire Police.

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

- Decision making is recorded as part of minutes, action plans and decision logs. Key decisions from FEB are published on the Force Intranet under 'News'. This ensures the force's decision making processes are clear, transparent and robust.
- The Force's meeting structure is reviewed annually to ensure it is fit for purpose and that the governance mechanisms are providing an effective decision making framework.
- During 2016/17 the Force reviewed its approach to business planning and introduced a Priority Plan programme in order to achieve the Chief Constable's vision and strategic priorities
- The Force produces an annual strategic intelligence assessment which outlines the capacity and capability to meet its greatest threats including those outlined in the strategic policing requirements.
- An enhanced policing establishment is currently being worked towards with a sustainable financial picture to support and deliver this. The Medium Term Operational Financial Plan remains 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 Priority Plan business planning cycle to create a joined up approach identifying opportunities and risks that are present, and, on the horizon.
- As part of the Priority Plan process in 2017 Heads of Department completed Annual Departmental Assessments which included proposals for business change and key expected benefits..

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

- Opportunities for collaboration continue to be explored with an established supporting governance structure
- In December 2016 the first phase of the strategic review of transactional services and systems provision (MFSS/ Fusion) was completed by Grant Thornton. The force is working closely with MFSS and partner organisations to ensure the implementation of Fusion is delivered and alongside this is internally exploring business process to better exploit the opportunities offered through the new system. This programme of work is expected to continue throughout 2018/19.
- The NOPCC and Force operate under a comprehensive 'Working Together Agreement' which comprises of the scheme of consent, the Joint Code of Corporate Governance, Financial Regulations and Contract Standing Orders.
- Any changes to financial legislation are monitored through professional network subscriptions, such as CIPFA. Potential changes are discussed by the Finance Team and action taken as appropriate.
- Learning and development is delivered collaboratively by EMCHRS L&D. Each force within the collaboration holds quarterly Training Priority Panels (TPP) which set the learning and development priorities. Training priorities are based on consideration of risk and forthcoming legislative changes; they are informed by both emerging national issues and local priorities.
- Individual training and development needs are assessed as part of the PDR process.
- The Strategic Workforce Planning Group, chaired by the ACC manages the career pathways, secondments and identifies resources risks recognising the need for succession planning.

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

- In October 2017 a decision was made to completely overhaul the Risk Management process and for the force to adopt a more sophisticated approach which links risks to our governance methods and internal audit processes. This approach will be signed off by Chief Officer Team and presented to the Joint Audit and Scrutiny Panel in May 2018 and on agreement will be cascaded and embedded into the force.
- The quarterly Organisational Risk and Learning Board has now been revised to include Ethics. This is a force-wide forum for thematic leads and heads of department to identify any emerging strategic opportunities and risks and discuss risk management and organisational learning.
- Performance against the OPCC themed indicators is reported to the Force Executive Board on a monthly basis.
- A Performance Scorecard is produced for Strategic Resources and Performance at every quarterly meeting. This is a public forum for the OPCC and his Deputy to scrutinise the performance of the Force.
- The Financial Performance and Insight Report, including revenue and capital budget monitoring are reported to the Force Executive Board on a monthly basis.
- The Financial Performance and Insight Report is also presented at the Strategic Resources and Performance quarterly meeting.
- 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.

- 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.
- 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.
- In relation to the General Data Protection Requirements (GDPR) a working group is in the process of completing a series of self-assessment gap analysis documents in order to assess our current compliance level. On completion, an implementation plan will be prepared in order to deliver the requirements.
- The force also has a Disclosure and Barring Service (DBS) which helps employers make safer recruitment decisions and prevent unsuitable people from working with vulnerable groups, including children.
- 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.
- Internal Audit, Review and Inspection Monitoring and assurance and improvement outcomes are presented to the Joint Audit and Scrutiny Panel at every meeting.
- Budget monitoring reports are presented to the Strategic Resources and Performance meeting on a quarterly basis.

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

- The Police and Crime Panel scrutinises the action and decision 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 Force has a robust process to capture HMICFRS recommendations and track through their lifecycle to formulate the Audit and Inspection Report
- 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.
- Existing collaborations have an established supporting governance structure and formal Collaboration Agreements as per Section 22A of the Police Act 1996.

3.0 Chief Finance Officer Role

- The role of Chief Financial Officer (CFO) was fulfilled by the Assistant Chief Officer for Finance and Resources for Nottinghamshire, Northamptonshire and Leicestershire for the whole of the financial year 2017-18, this responsibility now rests with the Head of Finance with effect from 1st April 2018.
- As a key member of the leadership team, the 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.

4.0 Review of effectiveness

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.

The force was externally reviewed by KPMG in 2016/17. The key findings of the audit were published in September 2017. There were 5 recommendations raised (as detailed below) which have all been completed.

<p>Code Compliance Our review of the accounts this year identified that the PCC/Group accounts presented for audit were not code compliant.</p>	<p>This issue has since been resolved and will not be a problem next year. In relation to the notes this issue was picked up by the internal management review and was being addressed before the auditors identified it. One of the notes is actually more than required by the code and will be reviewed in the post audit review. It may be something that is kept as a working paper for the auditors, but removed from the statements as it adds no value to the reader of the statements.</p>
<p>Management Review of the Draft Statement of Accounts The initial draft accounts provided for audit contained numerous errors and had not been subject to a timely or robust management review prior to audit which would have identified these problems.</p>	<p>Casting errors arose where the functionality had not been turned on in the BRB. It should be emphasized that we were a PILOT for the BRB. We did not buy into something that was already fully developed and therefore we knew there would be issues. We also did not become a pilot until very late in the process. Until deciding to use the BRB and CIPFA agreeing to include us we had been making plans and initiating them for a period 11 cut off with period 12 estimates. The use of BRB allowed us to use actual data as at the end of the financial year, but it did concertina this years closedown process. As problems were identified we addressed these and CIPFA were on site or available to assist in turning functionality on. In an ideal world we would have had time to bring in the BRB check that everything in the previous year worked, before even starting this year's closedown. Due to CIPFAs timetable this was not possible. We have already proven that we did get the statements correct and code compliant by the fact that we have been issued with Unqualified Opinion. These statements will provide the template for next year.</p>
<p>Management Review of Working Papers and version control Our testing this year identified that working papers were once again not subject to a thorough management review. This led to delays and additional work.</p>	<p>The Management review of working papers did not take place this year. All effort was directed at getting the statements correct. With the exception of Officers Emoluments which was put through independent checks by staff and managers and different errors kept feeding through. Each time this identified it was amended. Next year a change in process will ensure a peer review has time to take place before the draft statements are issued to the auditors. As explained previously this was not possible this year. The planned post review of the accounts will ensure items that were not automated in BRB are for next year and all of the manual adjustments made are fully integrated into BRB. The one exception to this may be the rounding corrections that will be made at the very end.</p>

<p>Staff Availability This year the audit was heavily reliant on one member of staff. During the two week audit period the staff member was often on leave or working from home which led to delays in progressing with audit queries.</p>	<p>During the original planned two week audit the key member of staff was absent for 1.5 days, but made herself available via email or telephone. However, due to absence of the senior External Auditor the audit went on beyond that planned two week period. These took the audit into the period of summer holidays and legitimate other absences for personal appointments.</p>
<p>Audit Advert and Publication of Accounts This year we identified that the accounts were advertised for 29 working days instead of the required 30.</p>	<p>The advert was indeed worded that the public inspection period would run from 14 June to 24 July, which does equate to 29 working days not 30. However, the advert was on the website from the 16th May (and remains there today) and if a member of public had made enquiry or request on either the 13 June or the 25 July we would have responded fully. Indeed if a request is made at any time we would respond. There were no public enquiries. In relation to providing audit evidence: The advert was shared with the Audit Director on the 16 May and following his reply that the dates were "ok" was made live on the website. This error will not be made next year.</p>

5.0 Improvement actions

The review process to support the production of the Annual Governance Statement in 2017/18 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.

Identified improvement action(s):	Lead Dept.	Update
1. The force should review its plan to ensure that by April 2018 it has achieved clearance for all those people that it is required to clear	Supt Leona Scurr	
2. The force should continue to undertake appropriate activities to understand fully its leadership capacity and capability, in order to identify any gaps, and put plans in place to address them	ACC Cooper	

Chief Constable and Chief Finance Officer Declaration

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

Signed

Signed

Date

Date

Craig Guildford
Chief Constable

Mark Kimberley
Chief Financial Officer

DRAFT

APPENDIX A

Improvement actions for 2017/18

The following improvement actions are identified for 2017/18, these are summarised according to the relevant governance principle.

Identified improvement action(s):	Lead Dept.	Update
3. The force should review its plan to ensure that by April 2018 it has achieved clearance for all those people that it is required to clear		
4. The force should continue to undertake appropriate activities to understand fully its leadership capacity and capability, in order to identify any gaps, and put plans in place to address them		

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 (2016) (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

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 and Stakeholder events – to seek public opinion on priorities, police activity and the budget

Police & Crime Panel

- Formalise the appointment of the 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 regularly

Effective Management Team

- Chief Executive is the Monitoring Officer responsible for governance
- Chief Finance Officer is the s151 Officer responsible for safeguarding the financial position of the group

HOW WE COMPLY WITH THE CIPFA SOLACE FRAMEWORK	PRINCIPLE A Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of 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 2017-18.</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 Department 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 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>

PRINCIPLE C Defining outcomes in terms of sustainable, economic, social and environmental outcomes	PRINCIPLE D Determining the interventions necessary to optimise the achievement of intended outcomes	PRINCIPLE E Developing capacity and capability
<p>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 reflective of emerging priorities for policing in Nottinghamshire.</p> <p>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.</p> <p>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.</p>	<p>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.</p> <p>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.</p>	<p>The Force works closely with the College of Policing to ensure we maximise our investment in officers and staff.</p> <p>This now includes the apprenticeship scheme for new recruits and further development of officers aspiring into senior ranks.</p> <p>Nottinghamshire is the first Force to recruit new officers on the national apprenticeship scheme.</p> <p>Internally, the Force and OPCC are identifying posts within the staffing structures that could be provided through the apprenticeship scheme.</p> <p>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.</p>

PRINCIPLE F Managing risks and performance		PRINCIPLE G Implementing good practices in transparency, reporting and accountability.
<p>Performance is a key driver for the force. This year there has been a national focus on ensuring compliance with the National Crime Recording Standard. This resulted in a reported crime increase during the year (18.4% for Nottinghamshire's total crime for 2017-18). However, we were well ranked best for tackling most serious crime.</p> <p>The force continues to experience a significant reduction in the number of people held in custody with mental health issues; ensuring these people are now directed to the correct help at first point of contact.</p> <p>The Office of the Police & Crime Commissioner and the Force have a joint risk management strategy and monitor risks through the same system. The strategy has recently been reviewed and will be reported to the Audit & Scrutiny Panel in May 2018. These strategic risks are monitored reported to every meeting of the Joint Audit and Scrutiny Panel.</p> <p>The Office of the Police & Crime Commissioner will be developing a risk plan linked to the new Police & Crime Plan.</p>	<p>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.</p> <p>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.</p> <p>Lessons are learnt across forces through this shared contract.</p> <p>The Professional Standards department provides reports on actions within the disciplinary process and on lessons learnt nationally from the IPCC.</p> <p>An external community panel has been set up to review discrimination complaints.</p> <p>All recommendations from external and internal reviews (e.g. Audit and HMIC) are collated, reviewed and regularly reported on.</p>	<p>All decisions of the Commissioner are published on the website, together with any supporting information to explain why any particular option was taken.</p> <p>The Police and Crime plan together with financial strategies and internal policies are also published and reviewed regularly.</p> <p>Reporting of performance both operational and financial is undertaken on a regular basis. And the Commissioner meets with the Chief Constable on a weekly basis to challenge where the performance is slipping.</p> <p>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.</p> <p>In 2017-18 Nottinghamshire OPCC was awarded the "Transparency Quality Mark" by CoPaCC for the third year running.</p>

REVIEW OF EFFECTIVENESS

The Commissioner uses a number of ways to review and assess the effectiveness of its governance arrangements. These are 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 2017-18, 11 areas including collaboration areas were reported on. Of which 9 were deemed to be satisfactory (83% of local recommendations and 100% of regional recommendations). All Key Financial Systems have been audited and considered satisfactory, during the year.	Of the remaining 2 areas reviewed none were core financial systems and 8 of 15 recommendations were identified as Priority 1 (fundamental). These are detailed within the published annual report and will be monitored and reviewed during 2018-19. The internal auditors opinion for 2017-18 is that in the areas audited this was generally adequate and effective risk management, control and governance processes were in place to manage the achievement of the organisations objectives.
Assurance from External Audit	
The External Auditor, KPMG, 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 s151 or Monitoring Officer	None issued
Outcomes from Monitoring Officers Investigations	None issued
Proven frauds by members of staff or officers	One identified 2017-18 relating to external funds
Objections received from local electors	None
Ombudsman referrals upheld exceed national averages	None identified 2017-18
Limited assurance from Internal Audit Reports	2 out of 11 Internal Audit reports were issued with limited assurance.

Follow up of issues identified in 2016-17	
Issues identified	Action taken
Levels of Reserves were considered to be low but compared with the previous year this was improving significantly	The repayment of reserves has continued at a pace faster than estimated. This is now a good position and will allow investment in assets going forward.
Collaboration – Governance arrangements	S 22 agreement for MFSS has been signed.. The Chair of the Oversight Board has undertaken a review of Governance and suggested changes in the year. Terms of reference have all been reviewed.
Internal Audit – Limited assurance on Key Financial Systems	<p>None of the Key Financial Systems were considered to have limited assurance.</p> <p>The two audits with limited assurance were Seized Property and the Road Safety Partnership. These will be followed-up in 2018-19.</p> <p>Of the five audits with limited assurance in 2016-17: 2 have been reviewed and found to be satisfactory (Implementation of DMS and Procurement); 2 have been deferred to 2018-19 for follow-up (Data Protection Act Compliance and Risk Management) and 1 regional audit has been followed-up by Derbyshire during the year and found to be low risk. This report has now been provided to the Audit & Scrutiny Panel (EM Legal Services)</p>
Economic Outlook	<p>The settlement for 2018-19 and 2019-20 provides opportunity to deliver balanced budgets for the medium term. However, a funding formula review will take place probably post the next CSR and this provides some uncertainty.</p> <p>The public finances continue to be monitored in light of Brexit and the potential impact on police funding.</p>

CONCLUSION

The Commissioner is satisfied that the appropriate governance arrangements are in place, however he remains committed to maintaining and wherever possible improving these arrangements, in particular by:

- Addressing the issues identified by internal audit as requires improving
- Addressing the issues identified by HMIC as requiring improvement
- Continued dialogue with the public through the Engagement strategy and public meetings

SIGNED

Paddy Tipping
Nottinghamshire Police & Crime Commissioner
24th July 2018

Kevin Dennis
Chief Executive
24th July 2018

Charlotte Radford CPFA
Chief Finance Officer
24th July 2018

For Information	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	30th May 2018
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	
Agenda Item:	9

Follow-up Review: EM Legal Services

1. Purpose of the Report

- 1.1 During 2016-17 Internal Audit reviewed a numbers of areas of collaboration. One of those review resulted in a Limited Assurance being given to EM Legal Services.
- 1.2 The lead force for this work is Derbyshire and therefore they undertook a follow-up review of the collaboration and a copy of this report is provided at **Appendix A**.

2. Recommendations

- 2.1 Members are requested to note this report.

3. Reasons for Recommendations

- 3.1 This complies with good governance.

4. Summary of Key Points

- 4.1 The attached report details the findings of the follow-up review. The risks identified in the precious audit report have been addressed and the risk is now considered to be low.

5. Financial Implications and Budget Provision

- 5.1 None as a result of this review

6. Human Resources Implications

- 6.1 None as a resu8lt of this review.

7. Equality Implications

- 7.1 None as a result of this review

8. Risk Management

8.1 As reported the risks are now considered to be low.

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

9.1 None as a result of tis review.

10. Details of outcome of consultation

10.1 Not applicable

11. Appendices

A Report from Derbyshire Joint Audit, Risk and Assurance Committee

JOINT AUDIT, RISK AND ASSURANCE COMMITTEE
15 JUNE 2017
REPORT OF THE CHIEF FINANCE OFFICER / DIRECTOR OF FINANCE

7D: EMPLS (COLLABORATIVE LEGAL SERVICES) AUDIT UPDATE

1. PURPOSE OF THE REPORT

- 1.1 To provide an update to the JARAC on progress made by the East Midlands Police Legal Services (EMPLS) collaboration against the recommendations made by Internal Audit and tabled at the December 2016 JARAC

2. INFORMATION AND ANALYSIS

- 2.1 Following a robust and helpful discussion at December 2016's JARAC, the Chief Finance Officer and Director of Finance gave further updates at March 2017's JARAC concerning action taken by the management team of EMPLS to address the recommendations that were made to counter the "Limited Assurance" assessment by Internal Audit.
- 2.2 Since that update was given a further, more formal, request was made to the Head and Deputy Head of the EMPLS unit such that it could be provided to the Committee.
- 2.3 The Deputy Head of EMPLS provided the following update (note that the numerical references relate to the recommendations made in the Final Audit Report at Appendix A):

4.1 – Management Board

Although addressed elsewhere, I confirm that a meeting of the Management Board took place in February this year, when it received a report on and approved the matters set out hereafter.

4.2 – Business Planning and Monitoring

An updated Business Plan covering the period 2017 – 2020 was presented to the Management Board and approved. The Business Plan continues to be a standing item at senior management (Silver) meetings within the Department.

4.3 – Key Performance Indicators

The Management Board approved a refreshed set of KPIs and received information on compliance with those indicators.

However, going forward, the Department is procuring a new case management system which includes, within its specification, the ability to produce detailed management information, primarily focussed around the key measures of cost, volumes and timeliness. The system is required to be capable of producing user-configurable bespoke reports as well as standard management information. On installation, budget provision has been made for optimum configuration to ensure key information can be produced.

4.4 – Performance Reports

Please see response at 4.3 above.

4.5 – Performance Monitoring

Information was produced to the Management Board in relation to the performance of the Department, in terms of the scope of the work undertaken, volumes and general budget performance. The ability to produce more detailed information will be enhanced by the introduction of a new case management system.

4.6 – Risk Management

The Department maintains two registers. The Departmental Register contains details of risks relating to the Department itself. It is now RAG rated using a 5x5 risk scoring matrix. It is a standing item at Silver Meetings.

Additionally, risk is a standing item at team (Bronze) Meetings, which also consider the Third Party Risk Register, identifying risks to Forces. That Register is also considered at the Silver Meeting and any risks rated at Red or Amber notified to the relevant Force(s).

3. RECOMMENDATION

- 3.1 To note the update from EMPLS and discuss, as appropriate, any concerns with the Internal Auditor such that the future ‘follow-up’ exercise can take account of the Committee’s views.

IMPLICATIONS

All implications are assessed and scored to the table below.

HIGH – supporting explanation and narrative required and to be contained within the report

MEDIUM – narrative to be contained within the report at the discretion of the author

LOW – no narrative required

	LOW	MEDIUM	HIGH
Crime & Disorder	X		
Environmental	X		
Equality & Diversity	X		
Financial	X		
Health & Safety	X		
Human Rights	X		
Legal	X		
Personnel	X		

Contact details in the event of enquiries	Andrew Dale External telephone number: 0300122 6000 Email address: andrew.dale.16973@derbyshire.pnn.police.uk
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BACKGROUND PAPERS

None

ATTACHMENTS

Appendix A: Final Internal Audit Report for EMPLS

Consideration	
Public/Non Public*	Public
Report to:	Audit & Scrutiny Panel
Date of Meeting:	Tuesday 8th May 2018
Report of:	Female Dignity and Privacy in Police Custody
Report Author:	Jackie Nash
E-mail:	Jackie.nash@nottinghamshire.pnn.police.uk
Agenda Item:	10

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

Female Detainees in Police Custody

1. Purpose of the Report

- 1.1 To provide Members with a report on the dignity and privacy of female detainees in Police Custody.

2. Recommendations

- 2.1 Members are recommended to consider this report.

3. Reasons for Recommendations

- 3.1 This complies with good governance.

4. Summary of Key Points

- 4.1 The attached report details research into females in custody in response to a letter sent out to all PCC's from the Independent Custody Visiting Association (ICVA).

5. Financial Implications and Budget Provision

- 5.1 None as a direct result of this report.

6. Human Resources Implications

- 6.1 None.

7. Equality Implications

- 7.1 None.

8. Risk Management

- 8.1 None.

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

- 9.1 None.

10. Changes in Legislation or other Legal Considerations

10.1 None.

11. Details of outcome of consultation

11.1 None.

12. Appendices

12.1 Appendix 1 - Female Detainees in Police Custody.

FEMALE DETAINEES IN POLICE CUSTODY

During the Independent Custody Visiting Team Meeting on 30/01/19, the Chief Inspector and Inspector (Nottinghamshire Custody Inspectors) were asked specific questions pertaining to female detainees in police custody in Mansfield and Bridewell custody suites.

The Inspectors were asked if their booking in systems prompted the question about female menstruation and they said no, female detainees are only asked if they are pregnant at the booking in stage. Due to the current layout of the 2 custody suites there is limited privacy, however, screens are in place at the Bridewell for this purpose although they still only offer a small amount of shielding from others in the booking in area. The main booking in area is on the ground floor which has no privacy screens and relies on staff recognising a vulnerable detainee to ensure privacy. A leaflet for all female detainees around additional support on female dignity, drafted in various different languages, is currently being developed for introduction into Nottinghamshire suites and will be in place within the next few weeks.

When asked if female detainees are proactively offered a female officer point of contact and given the opportunity to speak to them, the Inspectors assured that all female detainees are offered a female DO at the booking in stage and that this process is audited. A female DO will see the female detainee within 30 minutes of booking in to speak privately. The Inspector said that he will ensure that this process is also recorded for audit purposes. When asked if they had sufficient diversity of staff to enable this the Inspectors said there is a good balance between male and female staff.

If the detainee is non-English speaking this conversation will be organised via the telephone interpreter until an interpreter arrives at the custody suite and the conversation will then be repeated in private.

During the private conversation with a female DO, the detainee will then be offered a feminine hygiene pack. The Inspectors were asked if the custody suites stock a decent range of sanitary products they said yes. They provided samples in a pack of one sanitary towel for heavy flow and 3 tampons with a range of flows. Vagisil feminine wipes will routinely be provided with the hygiene pack. Detainees are asked to place used sanitary protection in the pack and seal for collection for disposal.

When asked if a fresh hygiene pack is proactively offered every 6 hours so that a detainee does not have to request it the Inspectors said that they were not automatically offered. However, on the initial visit by the allocated female staff member, detainees are told that they can have access to packs when they wish and this is not time restrictive, and that they can have them at any time.

When a designated female DO goes off shift, another designated female DO will be allocated to the detainee. Staff have been asked to record this on the detention log and the Insp will incorporate this into the detention log handover.

The Inspectors were asked whether the toilet facilities are private/sufficiently pixelated on CCTV. They said yes. However the ICV's mentioned that when CCTV cameras are cleaned they get 'knocked off centre'. The Insp said there was a problem accessing some of the CCTV cameras from the ceiling space and a separate contractor was called in to rectify this. The Inspector has been informed that the pixelation is now working correctly. The camera itself is encased in a perspex dome which can be rotated (with some effort) however the camera itself does not move. Nevertheless, actions that cause vibrations on the camera could jolt it and cause the lens to move

(eg throwing a shoe at it). A clear direction has gone out to all staff around checking that the camera is pixelated in the right place prior to placing a detainee into the cell. Where a fault is seen the cell will have a service request raised and the cell will be put out of use. Although ICV's are not allowed to view CCTV footage, they will ask the DO to check on the pixelation on the monitors.

When asked whether the female detainees are informed by the designated DO that the toilet area is pixelated, the Inspectors said yes and that the cells have adequate washing facilities. The Inspector has agreed that ICV's can ask female detainees if they are aware that the toilet area is pixelated and private. In Mansfield custody suite, if preferred, female detainees are offered swift access to washing facilities outside the cells in the sluice room (unless the room is required for drugs searches) which has a toilet and a sink and is suitable for female detainees to use to change sanitary protection and to have a wash in privacy. There is no CCTV in this room. When asked whether the sluice room is hygienic enough for female detainees to use the Insp said that as the sluice rooms are also used for drugs searches he is unable to put additional hygienic facilities in there. Apart from the cells, there is no private facility currently available at the Bridewell, other than a general toilet that is used by both male and female detainees waiting to be booked in. This will be rectified in the plans for the new Bridewell custody building.

Paper suits are not often given to high risk female detainees, who were likely to be handcuffed and reviewed every 30 minutes and Healthcare Professionals would be brought down to attend to the detainee. Regardless of risk, they are afforded the same level of care and respect they deserve. If they are at high risk, then the Custody Sgt will have to dynamically manage this but it would not result in sanitary protection not being provided. The Inspectors were asked if they had thought about providing disposable sanitary pants as these can be worn under paper suits. These pants are now on order.

Lastly the Inspectors were asked if the sanitary products are stored appropriately and hygienically and they said they are stored in a cupboard in the receptacles they arrive in and not taken out until the pack is made up for use.

The Inspectors will ensure that all aspects of sanitary protection and female dignity in custody are part of initial and refresher training for all custody staff.

ICV's always ask female detainees if they have been offered a feminine hygiene pack and they will now also ask them if they have been allocated a designated female DO and whether they have been informed that the toilet area is private. They will also ask the DO to check that the toilet area in the cells is pixelated correctly.

The current Bridewell structure offers little in the way of privacy for detainees, however the plans for the building of the new Bridewell custody suite will address all concerns regarding dignity, confidentiality when booking in and discussions with vulnerable detainees. Focusing on these concerns is the driving factor behind the structure for the new suite. We are hopeful that input from the ICV's will be included in the planning of the new building.

For Information	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	30th May 2018
Report of:	Superintendent Matt McFarlane
Report Author:	Amanda Froggatt, Strategic Support Officer
E-mail:	amanda.froggatt@nottinghamshire.pnn.police.uk
Other Contacts:	-
Agenda Item:	11

Strategic Risk Management Report – A New Approach

1. Purpose of the Report

- 1.1 The purpose of this report is to introduce a new strategic risk management approach, which considers risk through an arrangement of organisational infrastructure. This intrinsically links governance and assurance to support delivery of the Commissioner’s Police and Crime Plan priorities and the Force’s Delivery Plan.

2. Recommendations

- 2.1 it is recommended that members of the Joint Audit and Scrutiny Panel (JASP) note the proposed amended approach to strategic risk management (Appendix 1).

3. Reasons for Recommendations

- 3.1 The introduction of an infrastructure of organisational themes for strategic risk allows it to be neatly dovetailed into the strategic planning processes of the organisation.
- 3.2 This approach will also allow us to articulate ownership and responsibility clearly to members of the organisation.

4. Summary of Key Points

4.1 The Organisational Infrastructure Approach

- 4.2 All organisations, regardless of sector or business, do what they do through an organisational infrastructure; a framework of enabling governance themes or domains. Everything that happens in an organisation is achieved through the following:

Financial Management	Asset Management
Workforce / HR Management	Ethical Standards / Conduct Management
Information Governance	Project / Programme Management
Legislative and APP Compliance	Risk Management
Partnership / Relationship Governance	Business Continuity / Emergency Resilience
Performance Management	Decision-making Arrangements

- 4.3 The organisational infrastructure should be a key focus of senior management. Whilst operational issues and priorities will come and go the organisation-wide infrastructure of supporting and enabling governance will always remain and be relied upon in all circumstances.
- 4.4 Looking at this from the Nottinghamshire Office of the Police and Crime Commissioner's (NOPCC)/Force's perspective and the Police and Crime Plan and Forces' Delivery Plan being the over-arching and directing documents, the format and content of the Strategic Risk Management Register (SRMR) will specifically demonstrate the contribution of each infrastructure domain to the deliverables.
- 4.5 Equally, the SRMR will enable the Chief Constable to obtain assurances from Senior Leaders regarding the underlying effectiveness of and compliance with the infrastructure.
- 4.6 The benefits of this approach are:
- 4.6.1 Strategic Planning:** This changed approach and focus to strategic risk management will allow risk to neatly dovetail into the strategic planning process. The identification of strategic leads for each organisational theme together with senior leaders will give clear accountability for risk.
- 4.6.2 Assurance Mapping:** The review of the SRMR and the refresh of the current risks and their status, will create a better informed organisational-wide Assurance Map as the new adopted processes will allow gaps to be easily identified and corrective action taken if required.

Where it is identified that assurance is required, the Force's Internal Audit Plan and Priority Plan Change Programme will be reviewed, to identify any on-going reviews that may be needed to provide future clarity and assurance.

- 4.6.3 Governance:** This new process will create a more efficient and effective basis for the annual governance review process and the preparation of the annual governance statement. It will allow a key framework to enable the Chief Constable to provide assurances to the Commissioner through the emerging 'Holding to Account' arrangements.

5 Financial Implications and Budget Provision

- 5.1 There are no direct financial implications as a result of this report. Financial implications as a result 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 Consultation has taken place with all Chief Officers and proposed Force Leads.

12. Appendices

- 12.1 **Appendix 1** – Organisational Themes and Strategic/Tactical Leads.

FINANCIAL MANAGEMENT

FEB Strategic Lead – DCC Barber
Tactical Lead – Mark Kimberley (Head of Finance)

Risk Description

The failure to create, maintain and develop an effective strategic and operational approach to Force-wide financial management that would have the consequence of the inability of the Force to adequately manage its resources and demonstrate compliance with statutory obligations, resulting in potentially poor financial management, accountability, transparency, and a failure to meet the financial targets contained in the PCC's annual budget and MTFS.

Indicative Controls

1. Budget strategy exists and is regularly reviewed including roles, responsibilities, timescales, reporting procedures etc.
2. Set of up-to-date Financial Regulations supported by financial procedures
3. Efficient suite of integrated financial systems that enables the effective stewardship of resources and facilitates effective and devolved budget monitoring
4. Financial systems that adequately link/integrate with other systems (notably HR systems)
5. Financial management procedures adopt the latest guidance and best practice (i.e. CIPFA FM Model)
6. Financial management linked to performance management
7. Financial management integrated in risk management approach
8. Annual and periodic processes to set, monitor and report on financial performance
9. Clearly set and agreed financial performance measures
10. Prompt identification and reporting of financial variations
11. Adequate time and focus given to financial management at FEB level
12. Arrangements for discussing financial management with OPCC are robust
13. Key staff have financial management responsibilities clearly set out in job roles / descriptions
14. PDR arrangements identify training requirements in relation to financial management
15. Training is available and utilised to improve financial management
16. Financial system audits are undertaken periodically to provide assurance on systems integrity and effectiveness
17. Officer assurance statements include financial management responsibilities as part of the annual governance review process (and AGS)

Nottinghamshire Police - Organisational Infrastructure

WORKFORCE PLANNING

FEB Strategic Lead – DCC Barber

Tactical Leads – Denise Hill (Head of Human Resources)

Risk Description

The failure to create, maintain and develop an effective strategic and operational approach to workforce management that would have the consequence of the inability of the Force to adequately deliver its public service obligations, secure the welfare of employees, ensure a fully trained workforce, resulting in potentially non-compliance with legislation, poor organisational management, inefficient working practices, an inability to maintain public confidence and accountability and ultimately to undermine and threaten the delivery of the Force's contribution to the PCC's Police and Crime Plan.

Indicative Controls

1. Workforce Strategy exists and is regularly reviewed incorporating the necessary suite of policies and procedures around recruitment, retention, pay and conditions, training, conduct,
2. Workforce development and training strategy supported by a framework of PDRs, supervision and management, capability/performance at work procedures
3. Attendance management policies and procedures incorporating access to OHU and other welfare support
4. Robust systems and procedures for organisational management and the accurate and timely maintenance and availability of information
5. All employees have accurate job descriptions and role profiles that are reviewed regularly
6. Policies and procedures to ensure the efficient and effective compliance with FOI and DPA legislation
7. All employees have easy access to all policies, procedures and guidance regarding HR and evidence exists that all employees have read and understood such policies and procedures
8. Procedures exist for the effective management of acting-up, promotion boards and that all such arrangements demonstrate equality and consistency
9. Appropriate grievance and harassment at work policies and procedures exist and are equitably and consistently applied
10. Exit interviews are routinely held by an independent manager and the results are appropriately anonymised and shared to support continuous improvement

Nottinghamshire Police - Organisational Infrastructure

11. Adequate time and focus is given to the oversight of workforce management at FEB level
12. Workforce management is included in the remit of the JASP
13. All Force employees have workforce/HR management responsibilities clearly set out in job roles / descriptions
14. PDR arrangements identify training requirements in relation to workforce/HR management
15. Officer assurance statements include workforce/HR management responsibilities as part of the annual governance review process (and AGS)

Nottinghamshire Police - Organisational Infrastructure

INFORMATION MANAGEMENT

FEB Strategic Lead – DCC Barber

Tactical Lead – Pat Stocker (Information Management)

Risk Description

The failure to create, maintain and develop an effective strategic and operational approach to information governance that would have the consequence of the inability of the Force to adequately manage, secure, develop and support its information assets and systems, resulting in potentially non-compliance with legislation, poor information management, inefficient systems, an inability to maintain public confidence and accountability and ultimately to undermine and threaten the delivery of the Force's contribution to the PCC's Police and Crime Plan.

Indicative Controls

1. Information Governance strategy exists and is regularly reviewed incorporating the necessary suite of policies and procedures around systems integrity, data and information security, information management, use of systems and information, showing the roles and responsibilities across the Force
2. Compliance with the requirements for access to the PSN
3. Policies and procedures to ensure the efficient and effective compliance with FOI and DPA legislation
4. Effective and efficient arrangements for the management of access to and within systems
5. Effective, proportionate and tested technical backup arrangement
6. Secure data centre and physical controls at all Police premises
7. Policies, procedures and controls for the efficient use and management of desktop and mobile devices
8. A comprehensive IT Systems Strategy exists that demonstrates a co-ordinated approach to systems development, integration and management, hardware and device replacement and upgrade to support the effective delivery of policing
9. A comprehensive approach to training and awareness regarding information security, systems and device management and use, information sharing, information storage and disposal
10. Programme of technical and professional training in the IT/IS Service
11. Protocols and agreements in the use and sharing of information with external organisations
12. Policies and procedures that ensure a proportionate and risk based approach to vetting

Nottinghamshire Police - Organisational Infrastructure

13. Adequate time and focus given to the oversight of information governance and management at FEB level
14. Information governance included in the remit of the JASP
15. All Force employees have information governance and management responsibilities clearly set out in job roles / descriptions
16. PDR arrangements identify training requirements in relation to information governance and management
17. Officer assurance statements include information governance and management responsibilities as part of the annual governance review process (and AGS)

Nottinghamshire Police - Organisational Infrastructure

PARTNERSHIP / RELATIONSHIP GOVERNANCE

FEB Strategic Lead – ACC Prior (Local Policing)
Tactical Lead – Chief Supt Milano and Chief Supt Griffin

Risk Description

The failure to create, maintain and develop an effective strategic and operational approach to relationship management that would have the consequence of the inability of the Force to adequately manage, maintain and develop the necessary partnership and other arrangements, resulting in potential non-compliance with legislative frameworks, Service Level Agreements or Memorandums of Understanding, an inability to maintain partner and public trust and confidence and ultimately to undermine and threaten the ability of the force to contribute effectively to the PCC's Police and Crime Plan.

Indicative Controls

1. A Partnership and Relationship Strategy exists and is regularly reviewed incorporating the necessary suite of policies and procedures around arrangements, performance management, governance and responsibilities
2. Where necessary formal agreements are in place and reviewed annually
3. All partnerships/relationships have clearly defined objectives and outcomes and a clear framework for assessment of strengths and risks
4. All contracts are established and managed in line with good practice
5. Adequate time and focus given to the oversight of Partnership and Relationship arrangements at FEB level
6. Policies and procedures are in place to ensure effective compliance with any legislative requirements arising out of partnership arrangements
7. Staff responsible for the development and management of relationships are effectively trained and aware of their roles and responsibilities
8. PDR arrangement identify partnership or other relationship management responsibilities for role and training requirements
9. Clear up to date information on existing relationships is available (a 'register' is maintained) that identifies the key Force lead officer
10. Compliance with national or regional legislation or inspection requirements
11. Clear reporting lines exist between partners
12. A scheme of delegation exists
13. Decisions are made ethically with sufficient information, at the right level, in line with force strategic delivery plan and within relevant frameworks or legislation
14. The force has a collaboration strategy that links into the governance arrangements for wider relationship management.

Nottinghamshire Police - Organisational Infrastructure

PERFORMANCE MANAGEMENT

FEB Strategic Lead – DCC Barber

Tactical Lead – Julie Mair (Head of Corporate Development)

Risk Description

The failure to create, maintain and develop an effective strategic and operational approach to Force-wide performance management that would have the consequence of the inability of the Force to adequately manage and demonstrate the quality of its service, resulting in potentially poor performance, a lack of public accountability and a failure to meet the targets and delivery requirements contained in the PCC's Police and Crime Plan.

Indicative Controls

1. Performance management strategy (including data quality) exists and is regularly reviewed including roles, responsibilities, common language, timelines, escalation arrangements etc.
2. Performance management 'IT system' adequately enables, supports and facilitates effective data collection, analysis and reporting
3. Systems link/integrate and have the ability to use a 'single version of the truth'
4. Financial management linked to performance management
5. Performance management integrated in risk management approach
6. Annual and period process to set, monitor and report on performance areas
7. Clearly set and agreed performance measures
8. Prompt identification and reporting of performance variations
9. Adequate time and focus given to performance management at FEB level
10. Arrangements for discussing performance with OPCC are robust
11. Arrangements with partner organisations exist to safeguard data transfers, sharing of information to aid effective performance management
12. Key staff have performance management responsibilities clearly set out in job roles / descriptions
13. PDR arrangements identify training requirements in relation to performance management
14. Training is available and utilised to improve performance management
15. Data 'audits' are undertaken periodically to provide assurance on accuracy
16. Officer assurance statements include performance management responsibilities as part of the annual governance review process (and AGS)

Nottinghamshire Police - Organisational Infrastructure

ASSET MANAGEMENT

FEB Strategic Lead – DCC Barber
Tactical Leads – Tim Wendels (Head of Estates)

Risk Description

The failure to create, maintain and develop an effective strategic and operational approach to Force-wide asset management that would have the consequence of the inability of the Force to adequately deliver its responsibilities, fail to achieve value for money, resulting in potentially poor performance and a failure to meet the delivery requirements contained in the PCC's Police and Crime Plan.

Indicative Controls

1. Force-wide asset management strategy exists and is regularly reviewed covering all physical assets (property and property related assets, IT equipment, vehicles, specialist equipment, firearms etc.)
2. Asset registers exist for all classes of assets that are actively managed, kept up-to-date and link/integrate with financial systems and management
3. Responsibilities for assets are clearly defined, understood and reflected in job descriptions / role profiles
4. Effective arrangements exist for the identification of appropriate replacement programmes that are linked to the budget process
5. Effective arrangement exist for the identification of repairs and maintenance requirements that are linked to the budget process
6. Effective arrangements exist to report variations to the asset register, missing or broken assets and that appropriate and timely action is taken to record and deal with the issue (e.g. disable access)
7. Guidance is in place and followed to ensure the most effective use of assets, e.g. space utilisation, optimum use, security and access to assets
8. Effective arrangements exist to explore and capitalise on collaboration opportunities to maximise the effectiveness of assets
9. Performance management arrangements are in place to assist in the management and use of assets, supported by appropriate information systems
10. Adequate time and focus is given to asset management at FEB level
11. Arrangements with partner organisations exist to manage and control their use and access to assets
12. Key staff have asset management responsibilities clearly set out in job roles / descriptions
13. PDR arrangements identify training requirements in relation to asset management
14. Training is available and utilised to improve asset management

Nottinghamshire Police - Organisational Infrastructure

15. Officer assurance statements include asset management responsibilities as part of the annual governance review process (and AGS)

Nottinghamshire Police - Organisational Infrastructure

ETHICAL STANDARDS AND CONDUCT

FEB Strategic Lead – DCC Barber
Tactical Lead – Supt Leona Scurr (Head of Professional Standards)

Risk Description

The failure to create, maintain and develop an effective strategic and operational approach to embed the highest levels of ethical standards of conduct and behaviour that would have the consequence of the inability of the Force to maintain public trust and confidence in its service and its staff, resulting in corrupt or improper practices, poor community engagement, interaction and potentially the withdrawal of public consent/support for policing and ultimately undermine and threaten delivery of the Force's contribution to the PCC's Police and Crime Plan.

Indicative Controls

1. An Ethical Standards and Conduct Strategy exists and is regularly reviewed incorporating the necessary suite of policies and procedures around expected behaviour and standards for all staff
2. Compliance with the Code of Ethics and Nolan Principles
3. Policies and procedures are in place to ensure effective compliance with legislation and guidance around conduct and behaviour
4. Effective and trusted 'Whistleblowing' procedures in place
5. Policies and procedures in place that ensure a proportionate and risk based approach to vetting
6. Adequate time and focus given to the oversight of ethical behaviour and standards management at FEB level
7. Programme of professional training for PSD staff
8. A comprehensive approach to training and awareness regarding ethics, conduct and standards and a clear process for ensuring lessons learned are incorporated into procedures, policies and training
9. Effective use of Internal Audit for the independent and objective review of non-compliance
10. Proactive intervention and identification processes/procedures exist to identify staff at risk of unethical or corrupt practice
11. PDR arrangements identify training requirements in relation to ethical standards and conduct
12. Clear procedures are in place to manage conduct investigations which comply with Authorised Professional Practice and lesson learned
13. A PSD Strategic Assessment on corruption is completed annually, from which a PSD Control Strategy and Intelligence Requirement are established
14. All force employees have ethical standards and conduct responsibilities clearly set out in role profiles
15. Ethical Conduct and Standards are monitored through an Independent Ethics Committee

Nottinghamshire Police - Organisational Infrastructure

16. Internal Ethics Panel provides support and guidance to staff over ethical dilemmas facing the service
17. Decisions are made ethically with sufficient information, at the right level, in line with force strategic delivery plan and within relevant frameworks or legislation

Nottinghamshire Police - Organisational Infrastructure

PROJECT / PROGRAMME MANAGEMENT

FEB Strategic Lead – ACC Cooper (Business Change and Innovation)
Tactical Lead – Supt Matt McFarlane

Risk Description

The failure to create, maintain and develop an effective strategic and operational approach to Force-wide project and programme management that would have the consequence of the inability of the Force to adequately deliver its change / transformation programme, implement new systems, initiatives etc. effectively resulting in potentially poor performance, poor value for money and a failure to meet the delivery requirements contained in the PCC's Police and Crime Plan.

Indicative Controls

1. Project and programme management strategy exists and is regularly reviewed
2. Roles and responsibilities are clearly defined within specific project and programme management arrangements
3. Prescribed project / programme methodology is defined and consistently applied
4. An appropriate risk management approach is applied consistently that contains an escalation process that feeds into FEB / strategic risk considerations
5. Project and programme management arrangements utilise robust, accurate and timely financial and performance information
6. Project / programme management is adequately supported by an IT system that is understood, consistently and accurately used that facilitates the effective management of projects and programmes
7. Project and programme management links/integrates with other business systems and procedures to facilitate strategic and operational management
8. Protocols / agreements exists to govern the participation of external organisations in project / programme management
9. Projects / programmes are developed from robust business cases that are monitored and reported to ensure costs and delivery timescales are managed
10. Effective benefits realisation procedures are in place
11. A register of projects and programmes is maintained and reviewed to ensure the appropriate priority is applied and that there are clear links to the objectives of the Force (and PCP)
12. Clearly set and agreed performance measures are in place to manage projects and programmes

Nottinghamshire Police - Organisational Infrastructure

13. Prompt identification and reporting of slippage, cost issues, benefit realisation variances exists to aid management
14. Adequate time and focus is given to project and programme management at FEB level
15. Key staff have project / programme management responsibilities clearly set out in job roles / descriptions
16. PDR arrangements identify training requirements in relation to project / programme management
17. Training is available and utilised to improve project / programme management
18. Officer assurance statements include project / programme management responsibilities as part of the annual governance review process (and AGS)

For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	30th May 2018
Report of:	Deputy Chief Constable
Report Author:	Amanda Froggatt, Risk and Business Continuity Officer
E-mail:	amanda.froggatt@nottinghamshire.pnn.police.uk
Other Contacts:	n/a
Agenda Item:	12

Update on Actions from Audits, Inspections and Reviews

1. Purpose of the Report

- 1.1 The purpose of this report is 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, 2017/18.
- 1.2 To inform the Board of the schedule of planned audits and inspections.
- 1.3 To provide further information on the area identified for further scrutiny as requested at the last JASP. (Appendix 2 - the Police's Approach to Domestic Abuse (DA)).
- 1.4 To provide an update on the Force's approach to safeguarding victims of DA who are assessed as high risk.

2. Recommendations

- 2.1 It is recommended that the Panel notes the status of audits and inspections carried out over the last quarter.
- 2.2 That the Panel review Appendix 1 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 There is currently 1 action which has exceeded its target date. There are 14 actions showing as 'at risk' of being off target i.e. they will exceed their target date in the next month.
- 4.3 There were 26 actions closed during this quarter.
- 4.4 Recent and forthcoming Inspections.

Recent Inspection Activity

Date of Inspection	Inspection Area	Date Report Received	Final Grading	Status
May 2017	PEEL: Leadership and Efficiency	October 2017	TBC	Final report received. Actions being monitored on 4Action
May 2017	PEEL: Legitimacy	October 2017	TBC	Final report received. Actions being monitored on 4Action
June 2017	PEEL: Effectiveness – Re-visit	-	N/A	Awaiting report
July 2017	Historical Recommendation Review	-	N/A	286 recommendations reviewed, 284 signed off, 2 to be re-submitted
July 2017	Crime File Review	-	N/A	Will be incorporated into final PEEL Effectiveness Report
September	PEEL: Effectiveness	-	TBC	Awaiting report

2017				
September 2017	Interception of Communications Commissioner's Office	-	N/A	Final report received. One action raised. This is being monitored on 4Action
December 2017	Investigatory Powers Commissioner's Office	-	N/A	Final report received. Two actions raised. These are being monitored on 4Action

Forthcoming HMICFRS Inspections

Date of Inspection	Inspection Area	Status
TBC	Crime Data	Date not yet confirmed
W/C 5 th March 2018	Hate Crime	Confirmation received 26 th January 2018

Publications

Date of Publication	Inspection Area	Status
July 2017	HMIC report 'Living in Fear the Police and CPS response to Harassment & Stalking'	Actions incorporated into Domestic Violence Action Plan. Updates shared with HMICFRS on 7 th December. Agreed to close down
December 2017	HMIC report - Progress Report on Domestic Abuse	Actions relate to additional work to be carried out on the Domestic Abuse Action Plan. Work in Progress
December 2017	HMIC report - Stolen Freedom; the Policing Response to Modern Slavery and Human Trafficking	Actions being monitored on 4Action

December 2017	HMIC report – Planes, Drones and Helicopters	No actions to be picked up by Force. Two specific actions will be addressed by Chief Constables Council
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4.5 Recent and Forthcoming Audits

Recent Audit Activity

Date of Audit	Auditable Area	Date Report Received	Final Grading	Status
September 2017	Procurement Follow Up	September 2017	Satisfactory Assurance	Actions being monitored on 4Action
August 2017	EMCHRS L&D	October 2017	Satisfactory Assurance	Actions being monitored on 4Action
September 2017	Safety Camera Partnership	October 2017	Limited Assurance	Actions being monitored on 4Action
October 2017	Core Financials	January 2018	Satisfactory Assurance	Draft report received, out for Management Comment
October 2017	Collaborative Audit of Counter Fraud	January 2018	-	Draft report received, out for Management Comment

Forthcoming Audits

Date of Audit	Auditable Area	Status
None		

Overview of all ongoing actions from Audits & Inspections

Appendix 1 provides an overview of all ongoing actions from Audits and Inspections. The panel are recommended to scrutinise this information and to feedback on any further information or updates in any particular areas. This information will then be brought back to the next Audit and Scrutiny Panel for discussion.

Area Identified for further scrutiny –

The area identified by the Chair of the Panel for further scrutiny this period is the Nottinghamshire Police's approach to tackling Domestic Abuse which was a local HMIC Inspection completed in 2014. The key reason for this choice is to gain assurance of progress against key actions. The outstanding recommendation identified that the force should have a stronger, more formalised process on prevention, identification and management of serial and serious perpetrators, with clear responsibility and actions for officers, including how partner agencies will work with the police to reduce re-offending.

This recommendation was linked to national work which, at the time of the recommendation was identified as on-going. After completion, the force then undertook to bring the Domestic Violence cohort into the IOM process, so that Nottinghamshire would have a stronger focus on repeat victims and serial perpetrators.

The Serial Perpetrator management has now formally started and Offender Managers (Police, Probation and Independent Domestic Violence Advisor's (IDVA's)) have been identified to the most risky 'Top 40' offenders.

As of the 18th October the Top 40 serial Domestic Violence cohort were brought into the process and these have all been subject to at least one case review and the multi-agency working between Police, Probation, Public Protection Unit and IDVA's which has produced some great early wins.

4.6 Overview of KPMG Audit

The KPMG Audit of the OPCC/CC Statement of Accounts raised 5 recommendations. Corrective action has been taken against each of the points to ensure the Statement of Accounts for 2017/18 are fully compliant.

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 1: Overview of all ongoing actions from Audits and Inspections.
- 12.2 Appendix 2: PEEL Effectiveness - AF/149c/4717

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: January 2018

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Audit-Mazars	Procurement January 2016	January 2016	10	1	9	0	1	0
Audit-Mazars	Implementation of DMS June 2016	June 2016	6	3	3	3	0	0
Audit-Mazars	Data Protection Act Compliance Oct 2016	October 2016	14	3	11	3	0	0
Audit-Mazars	Procurement Follow up Nov 2016	November 2016	6	4	2	1	3	0
Audit-Mazars	Core Financials Systems Assurance Dec 2016	December 2016	9	2	7	2	0	0
Audit-Mazars	HR Recruitment and Selection	January 2017	4	3	1	3	0	0
Audit-Mazars	Data Quality 2016/17	May 2017	4	2	2	2	0	0
Audit-Mazars	Risk Management	May 2017	7	7	0	7	0	0
Audit-Mazars	Estates Management	August 2017	3	1	2	1	0	0
Audit-Mazars	Fleet Management	August 2017	6	5	1	3	2	0
Audit-Mazars	Workforce Planning	September 2017	8	5	3	5	0	0
Audit-Mazars	Social Value Impact	July 2016	4	2	2	2	0	0
Audit-Mazars	Seized & Found Property	May 2017	11	10	1	10	0	0

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: January 2018

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Audit-Mazars	Procurement Follow up Sept 2017	September 2017	6	3	3	0	3	0
Audit-Mazars	Core Financials Follow up July 2016	October 2016	12	1	11	1	0	0
Audit-Mazars	EMCHRS Learning & Development Collaboration	August 2017	5	5	0	0	5	0
Audit-Mazars	Joint Code of Corporate Governance	November 2015	2	1	1	1	0	0
Audit-Mazars	Safety Camera Partnership	September 2017	2	2	0	2	0	0
Audit-Mazars	Commissioning - Community Safety	May 2016	5	3	2	3	0	0
Inspection-HMIC	Nottinghamshire Police's approach to tackling Domestic Abuse (local report)	March 2014	13	1	12	1	0	0
Inspection-HMIC	Welfare of Vulnerable People in Custody	March 2015	8	1	7	1	0	0
Inspection-HMIC	Efficiency Nov 2016 'Hot De Brief' actions	November 2016	31	5	26	4	0	1
Inspection-HMIC	Legitimacy 2016	December 2016	10	2	8	2	0	0
Inspection-HMIC	Effectiveness 2016	March 2017	13	10	3	13	0	0
Inspection-HMIC	Efficiency, Legitimacy and Leadership Hot Debrief 2017	May 2017	9	8	1	8	0	0
Inspection-HMIC	Making it Fair: Disclosure of unused material in volume Crown Court Cases	July 2017	6	5	1	5	0	0
Inspection-HMIC	National Child Protection 2015	August 2015	8	1	7	1	0	0

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: January 2018

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Inspection-HMIC	Stolen freedom: the policing response to modern slavery and human trafficking	October 2017	7	4	3	4	0	0
IPCC	Use of Force Report	September 2016	15	5	10	5	0	0
IPCO	IPCO Inspection	December 2017	2	2	0	2	0	0
KPMG	Statement of Accounts	September 2017	5	0	5	0	0	0

Appendix 2 - PEEL Effectiveness - AF/149c/4717

HMIC Recommendation - The force should improve its approach to safeguarding victims of domestic abuse who are assessed as high risk. It should review the referral process to multi agency risk assessment conferences to ensure that victims of domestic abuse are not being placed at risk as a result.

Action - Review the referral process to multi agency risk assessment conferences to ensure that victims of domestic abuse are not being placed at risk as a result

In the County, a review demonstrated that all High Risk (HR) cases go to MARAC. This was historically not the case in the City.

However the City position has now changed. The MARAC steering group have now agreed with the police recommendation that all High Risk city cases similarly now go to the MARAC. This has been the position since the 21st August 2017. The first “all cases in” to the City MARAC took place on 13th/14th September 2017.

The volume of High Risk cases within Nottingham is high – As tabulated below. This presents clear resource issues and is a challenge for partner agencies. Several agencies have stated that they cannot service the extra city MARAC demand. Those agencies include: Nottingham Healthcare Trust, NUH, City Care, Framework Housing, Housing Aid, WAIS and the Nottingham Recovery Network.

Average Volumes

Time period Averages worked out per MARAC, not per month	Average referrals per MARAC	No of additional IDVA required*
2016-7 average	29	1.6
2016-7 and 2017-8 Q1-2 average	30	1.8
2016-7 and 2017-8 YTD average	30	1.8
2017-8 Q1-2 average	33	2.4
2017-8 YTD average	32	2.2
2017-8 September – November no case consideration average	28	1.4

As eluded, the number of High risk cases that are submitted to the City MARAC far exceeded the 21 per MARAC number (as commissioned previously by the CDP based on SafeLives analysis).

The CDP remain supportive of WAIS in expressing their reservations about their capacity to hear and cater for more MARAC cases. Consequently liaison with the OPCC over the MARAC issue has resulted in an agreement in principle of an uplift of funding to secure two additional IDVA's for WAIS. This will ensure that every survivor will have the opportunity to engage with an accredited IDVA and meet the increase in MARAC capacity.

This action complies with SafeLives Charity (formerly CAADA) and their guidance that every high risk case should go to MARAC and HMIC recommendation.

Nottinghamshire now hold 4 MARAC's per fortnight: 2 in the County (South and North), 2 in the City.

This is the process going forward and will ensure the appropriate support is given to victims of domestic abuse.

As such whilst all High Risk cases do go to the MARAC, this position remains delicately poised because of the clear resource issue that is facing partner agencies.

For Consideration	
Public/Non Public*	Public
Report to:	Joint Audit & Scrutiny Panel
Date of Meeting:	30th May 2018
Report of:	Paddy Tipping Police and Crime Commissioner
Report Author:	Kevin Dennis
E-mail:	kevin.dennis@nottinghamshire.pnn.Police.uk
Other Contacts:	Kevin Dennis
Agenda Item:	13

POLICE AND CRIME COMMISSIONER'S UPDATE REPORT – TO FEBRUARY 2018

1. PURPOSE OF THE REPORT

- 1.1 This report presents the Joint Audit & Scrutiny Panel (JASP) with the Police and Crime Commissioner's (Commissioner) update report submitted to Police and Crime Panel (Panel) on 23rd April 2018.
- 1.2 In accordance with section 13 of the Police Reform and Social Responsibility (PR&SR) Act 2011 and subject to certain restrictions, the Commissioner must provide the Police and Crime Panel with any information which the Panel may reasonably require in order to carry out its functions. The Commissioner may also provide the Panel with any other information which he thinks appropriate.
- 1.3 This report provides the Panel with an overview of performance in respect of 1st April to 28th February 2018 where data is available.

2. RECOMMENDATIONS

- 2.1 The Panel to note the contents of this update report, consider and discuss the issues and seek assurances from the Commissioner on any issues Members have concerns with.

3. REASONS FOR RECOMMENDATIONS

- 3.1 To provide the Panel with information so that they can review the steps the Commissioner is taking to fulfil his pledges and provide sufficient information to enable the Panel to fulfil its statutory role.

4. Summary of Key Points

POLICING AND CRIME PLAN – (2016-18)

Performance Summary

- 4.1 Performance against refreshed targets and measures across all seven themes is contained in the Performance section of the Commissioner’s web site to February 2018.^a This report details performance from 1st April 2017 to 28th February 2018 where data is available and is the fourth report submitted to the Panel for this financial year 2017-18.

Reporting by Exception

- 4.2 The Commissioner’s report focuses on reporting by exception. In this respect, this section of the report relates exclusively to some performance currently rated red i.e. significantly worse than the target (>5% difference) or blue, significantly better than the target (>5% difference).
- 4.3 The table below shows a breakdown of the RAGB status the Force has assigned to the 22 targets reported in its Performance and Insight report to February 2018.^{bc}
- 4.4 It can be seen that 13 (59%) of these measures are Amber, Green or Blue indicating that the majority of measures are close, or better than the target which is an improved position from the previous report. Currently 36% (8) of targets reported are Red and significantly worse than target. It can be seen that 2 more targets have moved to Green from Amber. Red targets have decreased by 1 and there are no measures rated Blue.

KEY to Performance Comparators		Jul-17		Sep-17		Dec-17		Feb-18	
Performance Against Target		Jul-17	%Total	Sep-17	%Total	Dec-17	%Total	Feb-18	%Total
<input checked="" type="checkbox"/>	Significantly better than Target >5% difference	0	0%	0	0%	0	0%	0	0%
◆	Better than Target	5	23%	8	36%	5	23%	8	36%
±	Close to achieving Target (within 5%)	9	41%	4	18%	7	32%	5	23%
<input checked="" type="checkbox"/>	Significantly worse than Target >5% difference	7	32%	9	41%	9	41%	8	36%
<input type="checkbox"/>	No Longer Measured	1	5%	1	5%	1	5%	1	5%
Total		22	100%	22	100%	22	100%	22	100%

- 4.5 One measure i.e. the ‘Percentage of victims and witnesses satisfied with the services provided in Court’, taken from the Witness and Victim Experience Survey

^a <http://www.nottinghamshire.pcc.police.uk/Document-Library/Public-Information/Performance/2018/Performance-and-Insight-Report-to-February-2018.pdf>

^b A number of performance measures are monitor only and it has been agreed that it is not appropriate to assign a RAGB to such measures unless the measure is + or – 10%.

^c New RAGB symbols have been used for this report in case readers are limited to black and white print.

(WAVES) is no longer active and therefore it is not possible to report on this measure.

4.6 The table below provides an overview of the 8 targets (36%) graded Red, which is one less than the previous Panel report.

<input checked="" type="checkbox"/> Objective / Target RAGB Status Red ●	Jul-17	Sep-17	Dec-17	Feb-18
1. A reduction in All Crime compared to 2016-17	35.9%	29.6%	21.6%	19.8%
2. A reduction in Victim-Based Crime compared to 2016-17	33.6%	27.8%	21.0%	19.4%
3. To reduce the levels of rural crime compared to 2016-17 and report on: 1.1. Rural and 1.2. Urban	28.9%	25.3%	19.4%	6.1%
4. A 10% increase in the number of POCA orders compared to 2016-17	-46%	-48.7%	-47.3%	-41.1%
5. Increase BME representation within the Force to reflect the BME community	4.3%	4.7%	4.9%	4.9%
6. Percentage of people who agree that the police and local councils are dealing with Anti-Social Behaviour and other crime issues	56.7%	55.7%	55.4%	56.7%
7. A reduction in the number of repeat victims of hate crime compared to 2016-17	-1	7	8	1
8. The number of people Killed or Seriously Injured (KSIs) on Nottinghamshire's roads	-40.1%	-33.6%	-33.2%	-33.2%

4.7 Panel Members require the Commissioner's update report to:

1. Explain the reasons for improved performance and lessons learned for Blue graded measures and
2. Reasons/drivers for poor performance and an explanation as to what action is being taken to address underperformance in respect of Red graded measures.

4.8 The Force has provided the following responses to these questions in sections 5 and below. There are no Blue measures identified during this reporting period.

5. Red Rated Measures (● significantly worse than Target >5% difference)
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- R1. A reduction in All Crime compared to 2016-17**
- R2. A reduction in Victim-Based Crime compared to 2016-17**
- R3. To reduce the levels of rural crime compared to 2016-17**

<input checked="" type="checkbox"/> Objective / Target RAGB Status Red ●	Jul-17	Sep-17	Dec-17	Feb-18
1. A reduction in All Crime compared to 2016-17	35.9%	29.6%	21.6%	19.8%
2. A reduction in Victim-Based Crime compared to 2016-17	33.6%	27.8%	21.0%	19.4%
3. To reduce the levels of rural crime compared to 2016-17 and report on: 1.1. Rural and 1.2. Urban	28.9%	25.3%	19.4%	6.1%

5.1 The first eleven months of this year have seen the Force record a 19.8% (14,694 offences) increase in All Crime compared to the same period last year. The revised forecast position suggests that the Force will end the year with a 19% increase in recorded crime.

- 5.2 Victim-Based crime has increased by 19.4% (12,762 offences) year-to-date. Other Crimes Against Society have increased by 22.6% (1,932 offences). The increase in Other Crimes Against Society is driven by a 36.4% increase in Public Order offences. Public Order offence volumes remain high following the NCRS^d audit, as a result of the daily incident checks now in place.
- 5.3 Following the NCRS audit last year, the Force has put in place new daily processes to maintain compliance with the national standards. This means that recorded crime volume remains at a higher level and this is expected to continue as the accepted new 'normal' level. The Force is now recording around 2,000 offences more each month than this time last year.
- 5.4 The most recently published national data (covering performance in the 12 months to September 2017) reveals that almost all forces in England and Wales are recording increases in crime. Nottinghamshire is recording an increase above both the national and regional average.
- 5.5 At present, the local performance position is comparing a period of higher recording (following the change in process described above) to a lower period prior to this change, and as a result a large percentage increase is seen. Following two months of above-forecast volumes, the forecast has been recalculated to year-end.
- 5.6 The overall volume of Victim-Based crime year-to-date has increased by 12,762 offences compared to last year (+19.4%).
- 5.7 Increases are apparent across most of the sub-categories within the Victim-Based crime group. Crime levels have remained consistent at approximately 7,000 crimes per month in the last ten months which is the highest level seen in the last five years.
- 5.8 Violence Against the Person (VAP) offences is responsible for a large proportion of the increase in overall Victim-Based crime. This is as a result of processes put in place to maintain compliance with the national standard; ensuring that the Force is responding to victims and putting in place the appropriate support, safeguarding and investigation.
- 5.9 VAP has seen a 22.9% increase (4,877 offences) in the 12 months to February when compared to last year. Performance is driven by an increase in Stalking and Harassment which has increased by 53.5% (1,864 offences) and Violence without Injury, with a 24.9% increase (+1,811 offences).
- 5.10 Sexual Offences have increased by 36.4% (+911 offences) over the same period.
- 5.11 In the 12 months to February, the Force has also recorded increases in Burglary (3.2% or 256 offences), Robbery (21.2% or 187 offences), Vehicle Offences (+34.1% or 2,378 offences), Theft (+20.8% or 4,280 offences) and Criminal Damage & Arson (+12.9% or 1,399 offences).

^d NCRS – National Crime Recording Standard

- 5.12 Performance exceptions are monitored at the monthly Operational Performance Review meetings, with action to manage identified exceptions tasked from this meeting where appropriate.
- 5.13 The five areas of Nottingham City that have been identified as experiencing high levels of crime have recorded a total of 8,839 crimes year-to-date. This represents a 17.8% (1,334 offences) increase in All Crime compared to last April to February.
- 5.14 All five areas are recording an increase compared to last year, with these ranging from +8.0% on Bulwell (+159 offences) to +28.3% on Bridge (+301 offences). The percentage increase of 17.8% recorded over the five City areas is in line with the increase of 19.5% over the same period for the City overall.
- 5.15 The increase on the areas reflects the Force level picture, with increases in Violence and Public Order driven by the NCRS audit activity.
- 5.16 The County Priority Areas have recorded a total of 15,329 crimes financial year-to-date, which equates to an 18.2% (2,364 offences) increase in All Crime compared to last year. This is similar to the increase of 19.6% for the County area as a whole.
- 5.17 All of the 19 County Priority Areas are recording an increase in crime compared to last year. Hucknall East has had the largest percentage increase with 365 more crimes year-to-date which is a 62.8% increase. Stanton Hill recorded the second highest increase on the County this month with 58 more crimes, which is a 48.7% increase. These two areas have consistently been the top two priority areas with the largest percentage increase on the county for the past eight months.
- 5.18 The Force has recorded 10,508 rural crimes this financial year-to-date, which is an increase of 606 offences (6.1%), compared to last financial year-to-date. This is much lower than the overall All Crime performance for the force. Over the same period crime in urban areas has increased by 8.5% (6,092 additional offences).
- 5.19 The average monthly volume last year was 817 rural crimes per month and so far this year the monthly average is 955.
- 5.20 The rate of offences per 1,000 population in rural areas is 49.3 compared to 88.9 in urban areas. This is higher than the same period last year, 46.4 in rural areas and 82.0 in urban areas.
- 5.21 Crime in rural towns and fringes has increased by 6.6% (+386 offences) year-to-date, crime in rural villages has decreased by 3.8% (-110 offences) and crime in rural hamlets and isolated dwellings has increased by 28.9% (+330 more offences).
- 5.22 Rural areas recorded increases in Arson and Criminal Damage offences year-to-date with a 17.5% increase (+230 more offences). Other crime types are showing increases in line with the offences that were part of the NCRS audit (VAP/Sexual Offences/Public Order offences). The position is similar on the Urban areas with the crime types included in the NCRS audit showing increases

R4. A 10% increase in the number of POCA orders compared to 2016-17

<input checked="" type="checkbox"/> Objective / Target RAGB Status Red ●	Jul-17	Sep-17	Dec-17	Feb-18
4. A 10% increase in the number of POCA orders compared to 2016-17	-46%	-48.7%	-47.3%	-41.1%

- 5.23 The Force recorded 59 fewer Confiscation and Forfeiture Orders compared to last year-to-date; this equates to a reduction of 31.1%, placing the Force 41.1 percentage points below the 10% increase target.
- 5.24 It should be noted that any decision to apply for an order is made by the Crown Prosecution Service, based on information and advice provided by the police.
- 5.25 A decision to grant an order is one for the Court alone.
- 5.26 An order is not granted until sentencing and in many cases there can be a gap of many months between point of arrest and an order being granted.

R5. Increase BME representation within the Force to reflect the BME community (11.2%)

<input checked="" type="checkbox"/> Objective / Target RAGB Status Red ●	Jul-17	Sep-17	Dec-17	Feb-18
5. Increase BME representation within the Force to reflect the BME community	4.3%	4.7%	4.9%	4.9%

- 5.27 This measure is rated Red because the 11.2% representation as defined by the 2011 Census has not been achieved.
- 5.28 February 2018 data shows that BME headcount is at 4.64% for Police Officers and 5.21% for Police Staff. This is below the 11.2% for Nottinghamshire resident population (2011 Census).
- 5.29 The Commissioner has been working closely with the BME Steering Group since 2013 and established a BME Working Group to advance BME recruitment and selection, BME advancement and retention as well as other issues which may adversely affect attraction of BME candidates, i.e. stop and search and diversity training of officers. Members were provided with a case study on this work listed at [Appendix A](#) of the 18th April 2016 Panel meeting.
- 5.30 When the Commissioner took office in 2012 BME representation was 3.7% so overall representation has increased by 1.2% overall. Austerity and the 2 year recruitment freeze did hamper progress. However, during 2017, the Chief Constable has undertaken numerous recruitment processes for both Police Officers and PCSOs.
- 5.31 To achieve an 11.2% BME representation an additional 144 BME Police Officers would need to be recruited. The Commissioner has worked closely with the Chief Constable during 2017 in relation to the recruitment of Police Officers especially from BME communities. A range of positive activities have been undertaken to

attract applicants from BME communities under Operation Voice which included talent spotting, buddying, awareness events, marketing publications.

- 5.32 The Chief Constable intends to recruit a total of 200 officers in 2017-18 (which started in September 2017) and has ambitions to recruit a further 158 in 2018-19.^e The Commissioner hopes to see the number of officers grow in Nottinghamshire to a figure approaching 2,000.
- 5.33 In February this year, the Chief Constable opened an apprenticeship scheme and is working in partnership with PATRA to recruit Police Constables for its apprenticeship scheme. It is envisaged that this scheme will provide an additional pathway for members of the BME communities to start a career in the Police service. As part of an apprenticeship, successful applicants will be able to study for a degree in policing.

R6. Percentage of people who agree that the Police and local Councils are dealing with Anti-Social Behaviour and other crime issues

<input checked="" type="checkbox"/> Objective / Target RAGB Status Red ●	Jul-17	Sep-17	Dec-17	Feb-18
6. Percentage of people who agree that the police and local councils are dealing with Anti-Social Behaviour and other crime issues	56.7%	55.7%	55.4%	56.7%

- 5.34 Current performance covers interviews in the year to September 2017. Please note that this information is updated quarterly.
- 5.35 The Force is 3.3 percentage points below the 60% target. Considering the trend in the long term, there appears to be a slight downward trend, however the change on the previous year's position (58.3%) is non-significant. The average for the Force's Most Similar Force group is 56.0% and Nottinghamshire is ranked in 4th place in this group of 8.

R7. NEW: A reduction in the number of repeat victims of hate crime compared to 2016-17

<input checked="" type="checkbox"/> Objective / Target RAGB Status Red ●	Jul-17	Sep-17	Dec-17	Feb-18
7. A reduction in the number of repeat victims of hate crime compared to 2016-17	-1	7	8	1

- 5.36 The Force definition of a repeat victim is based on the national definition^f. Of a total of 102 hate crime victims in the month of February, 16 had been a victim of one or more hate crimes in the 12 months prior (March 2017 – February 2018).
- 5.37 This compares to a baseline monthly average for the 2016/17 year of 15 repeat victims per month, which represents 1 more repeat hate crime victims in February compared to the baseline figure.

^e <http://www.nottinghampost.com/news/nottingham-news/chief-constable-pledges-200-new-281085>

^f A hate crime repeat victim is a victim of a hate crime or incident in the current month who has also been a victim of one or more hate crimes or incidents at any point in the previous twelve months.

- 5.38 As a proportion, 15.7% of hate crime victims in February were repeat victims. This figure is greater than the baseline monthly average for 2016/17 (11.5%).
- 5.39 Nottingham City Council has a Community Cohesion and Hate Crime group attended by the portfolio holder for community safety which meets with partners and Police officers to discuss and tackle hate crime. The Safer Nottinghamshire Board has a Hate Crime Steering Group chaired by the Chief Executive Officer for Broxtowe Borough Council and extensively attended by Police officers, partners and third sector providers. The Commissioner provides funding for these groups to help tackle identified problems.

R8. NEW: The number of people Killed or Seriously Injured (KSIs) on Nottinghamshire’s roads (Target is 50% by 2020)

<input checked="" type="checkbox"/> Objective / Target RAGB Status Red ●	Jul-17	Sep-17	Dec-17	Feb-18
8. The number of people Killed or Seriously Injured (KSIs) on Nottinghamshire’s roads	-40.1%	-33.6%	-33.2%	-33.2%

- 5.40 Data for quarters one, two and three (1st January 2017 – 30th September 2017) shows a 33.2% reduction (172 fewer persons) in persons Killed or Seriously Injured (KSI) on Nottinghamshire’s roads compared to the 2005-2009 baseline period.
- 5.41 However a slight increase is apparent when comparing the current year to the equivalent period of last year (+6.8% or 22 persons). All user groups are seeing a reduction in KSIs when compared to the baseline average.
- 5.42 KSIs in the 0-15 age group have reduced by 56.0% (31 persons) compared to the 2005-2009 baseline and as such the -40% target for this group has already been achieved.

HMICFRS PEEL EFFECTIVENESS INSPECTION 2017 - UPDATE

- 5.43 On 22nd March 2018, HMICFRS published its PEEL Effectiveness Inspection 2017 report in relation to Nottinghamshire Police. The Commissioner is pleased to report that HMICFRS judge the Force to be Good overall.
- 5.44 Members will recall the Commissioner’s report of last June when he reported his intention to provide further scrutiny to the issues identified in HMICFRS’s previous PEEL Effectiveness report (2016) when the Force was judged Requires Improvement.

Holding the Chief Constable to Account

- 5.45 The Commissioner is represented at the key Thematic, Partnership and Force Local Performance board meetings in order to obtain assurance that the Force and Partners are aware of the current performance threats, and are taking appropriate action to address the emerging challenges. Should there be any issues of concern these are relayed to the Commissioner who holds the Chief Constable to account on a weekly basis.

- 5.46 In addition, the Commissioner meets quarterly with the Head of Investigations and Intelligence and Head of Operations to gain a deeper understanding of threats, harm and risk to performance..
- 5.47 Panel Members have asked if a case study could be prepared for each meeting. Previous case studies were:
1. Shoplifting
 2. The Victims Code
 3. Improving BME Policing Experiences
 4. Hate Crime
 5. Knife Crime
 6. Stop and Search
 7. Rural Crime
 8. The new victim services CARE
 9. Evaluation of Community Remedy
 10. ECINS database
 11. Data Integrity and Compliance with NCRS
- 5.48 For this meeting, a case study has been prepared in respect of Prosecution File Quality Improvements (12) (see **Appendix A**).

Activities of the Commissioner

- 5.49 The Commissioner continues to take steps to obtain assurances that the Chief Constable has not only identified the key threats to performance but more importantly that swift remedial and appropriate action is being taken to tackle the problems especially in the Priority Plus Areas in the County and High Impact Wards in the City. Key activities are reported on the Commissioner's web site.^g

DECISIONS

- 5.50 The Commissioner has the sole legal authority to make a decision as the result of a discussion or based on information provided to him by the public, partner organisations, Members of staff from the Nottinghamshire Office of the Police and Crime Commissioner (NOPCC) or Chief Constable. The Commissioner's web site provides details of all significant public interest decisions.^h
- 5.51 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 B**.

^g <http://www.nottinghamshire.pcc.police.uk/News-and-Events/Latest-News.aspx>

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

6. Financial Implications and Budget Provision

6.1 The Commissioner holds the Chief Constable to account formally at his Strategic Resources and Performance meetings. At this meeting the Chief Constable submits a number of financial reports for scrutiny.

6.2 At the most recent meeting on 29th March 2018ⁱ the Force's Finance Performance & Insight Report for 2017/18 as at December 2017 (Qtr 3) forecasted that revenue expenditure may result in an underspend (in the Force budget) of £2.55m.

6.3 Appendix A of that report provides a more detailed position for each item.

6.4 The full year net revenue budget for 2017/18 is £190,105k. This is split the

Force Budget £185,347k and the Office of the Police and Crime Commissioner (OPCC) £4,758k. The above table summarises the variance to budget. Further reports can be downloaded by following the link below.

Nottinghamshire Police Group Position Total: Budget Variance Analysis

	Variance to Budget		
	£'000	£'000	£'000
Pay & allowances			
Police officer	1,280		
Staff	(637)		
PCSO	(636)		
			<u>7</u>
Overtime			
Police officer	862		
Staff	85		
PCSO	10		
			<u>958</u>
Other employee expenses		484	
Medical retirements		487	
			<u>1,935</u>
Premises costs	(154)		
Transport costs	(508)		
Comms & computing	(1,034)		
Clothing, uniform & laundry	128		
Other supplies & services	991		
Collaboration contributions	279		
Capital financing	(732)		
Other	(298)		
			<u>(1,326)</u>
Income		(3,159)	
Force underspend			<u>(2,550)</u>
OPCC			<u>-</u>
Group underspend			<u>(2,550)</u>

7. Human Resources Implications

7.1 None - this is an information report.

8. Equality Implications

8.1 None

ⁱ <http://www.nottinghamshire.pcc.police.uk/Document-Library/Public-Information/Meetings/Strategic-Resources-and-Performance/March-2018/Item-13-Finance-Performance-and-Insight-Report-for-2017-18-as-at-December-2017-Quarter-3.pdf>

9. Risk Management

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

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

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

11. Changes in Legislation or other Legal Considerations

11.1 The Commissioner publishes a horizon scanning document^j every two weeks and can be downloaded from his website. The horizon scanning undertaken involves reviewing information from a range of sources, including emerging legislation, government publications, audits and inspections, consultation opportunities and key statistics and research findings, in order to inform strategic planning and decision making locally.

12. Details of outcome of consultation

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

13. Appendices

- A. Case Study – Prosecution File Quality Improvements
- B. Forward Plan of Key Decisions for the OPCC and the Force

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

- [Police and Crime Plan 2016-2018 \(published\)](#)

For any enquiries about this report please contact:

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Philip Gilbert, Head of Strategy and Assurance of the Nottinghamshire Office of the Police and Crime Commissioner

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

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Tel: 0115 8445998

APPENDIX A

Case Study – Prosecution File Quality Improvements

March 2018

Leah Johnson – T/Head of Prosecutions North

Summary

This case study provides a summary of a number of activities taken place and yet to develop over the past 18 months to improve file quality and related performance indicators, particularly in the Magistrates Court arena. Such work has contributed to an award by a Ch Superintendent congratulatory an officer of the Prisoner Handling Unit (Bridewell) for achieving a 75%+ compliance rate against the FIT test (this simply means a test for your file being FIT for purpose) for files.

Nottinghamshire Police has struggled over a number of years with File quality and this has been reflected in the Transforming Summary Justice (TSJ) data since 2015. Nottinghamshire have been 40th or worse nationally since the baseline of quarter 4 2015. Indicators such as guilty plea at first hearing, discontinuance rates and hearings per case data have all suffered as a result of poor file quality.

In order to drive improvements in prosecution file quality the Commissioner has set the Chief Constable a number of targets in relation to both Crown Court and Magistrates Court over a number of years:

1. To record a conviction rate in line with the national average
2. An increase in the Early Guilty Plea rate compared to previous year
3. To be better than the national average

The FIT Approach – A Joint Effort

Since October 2016 the East Midlands Criminal Justice Service (EMCJS) has run the FIT model. It was originally a model obtained through a sharing of best practice through the National Case Quality Self-Assessment and originated in Cambridgeshire. EMCJS then developed it with the CPS (Crown Prosecution Service) to include 32 questions that were agreed to be at the route of our issues in regards to file quality. In essence the file is checked by EMCJS against FIT on first receipt before being sent to the CPS. Officers are awarded a 'thumbs up' email if their file passes all relevant FIT questions or given an automated feedback email for future reference detailing where they went wrong, followed by a chaser email asking for the remedial work to be completed and submitted to the File Preparation Unit (FPU). FPU staff have taken this on board with a few hours training and has really embraced the idea of them adding value at the earliest possible time by correcting errors or ensuring the file is FIT for purpose. In recent months more volunteers have been added to the reviewing numbers and now there are 30 staff that do this on top of their day job with a sole aim of helping improve Notts' performance....and a bit of friendly rivalry with regional forces! Those 30 staff now review every initial file, apart from remand files, meaning circa 500 files get reviewed with feedback monthly.

As a result of the reviewing, the data is used to produce weekly and monthly management information. This tells EMCJS managers and local divisional managers, what quality issues there are in regard to percentage compliance figures (See example 1 below) so these can be addressed force wide, it tells them which teams are performing at what level in regard to the FIT questions and then individual Officer in the Case (OIC) and Sgt data. This is shared and summarised for key divisional managers monthly.

Since October 2017 Nottinghamshire Police have been working with EMCJS to identify all OICs who have submitted 5 files or more over a rolling year and achieving the lowest and highest compliance rates. Any officer scoring between 75-89% receives a congratulatory email from Chief Supt Milano, above that we would ask for an ACC to send a similar email. These emails offer thanks for the hard work and effort and ask these Officers to come forward and share their knowledge as eventually we plan to make these officers a cadre of 'champions' for file quality. In a recent College of Policing Survey on where Officers get knowledge from regarding files over 80% said peers rather than supervisors or written guidance. Therefore taking this learning we need to adjust our usual process of posting information on the intranet or expecting supervisors to cascade. We also need to assure ourselves that the champions are knowledgeable and credible, hence setting the percentage standard for attainment and taking time to get it right. It is also important to balance a positive response to the work of the FIT process. In the past we have found it easy to criticise people or be negative without expressing the positive and using 'champions' could also lead to a healthy sense of internal competition or drive to improve, we are therefore looking to make a 'big show' of our champions as they emerge.

We have also considered how we develop those that are found to be struggling. In the past the Force operated a standard systematic training course for Sgts and Investigating Officers (OICs). This has had a limited impact and is often wasteful or expensive to construct and maintain. Therefore the FIT approach takes just 5 officers a quarter, re reviews all of their submitted files, looks at their individual data and identifies their individual areas for improvement. We invite them and their Sgt to sit with the T/Head of Prosecutions and review these files addressing the issues as we go. They are then directed as to how they can address issues, how the process in the wider CJS relies on them getting it right and are encouraged to ask questions and chat through issues they bring. The first 5 have gone through the process and we are now looking at the next 5. It is not lost on us that this can appear 'slow burn'. However the data tells us that those with lower compliance rates are putting in more files than others with higher compliance rates. Therefore the first 5 Officers had collectively submitted over 60 files with none of them being 'perfect' in FIT terms. If the one to one bespoke 'conversations' address their files and issues, with it being personal to them and if they respond and learn we reduce future problem files. By way of example of the effect of this approach; the first Officer to see me brought his Sgt, they were clearly not happy to have been asked to attend and clearly thought there was no issue. They started by saying I have reviewed all these files and there is nothing wrong with them. As we went through they were keeping score! It was a hard 2 hours. On leaving both turned to me and said they were thankful for the opportunity and had learnt something. The Sgt actually shook my hand. During the conversation I had been asked more and more questions and asked to provide guidance for the Sgts team. We covered not just the issues I had identified but also other areas that they were unsure of. To date that Officer has not come to my attention again.

No one likes to think of their work as being criticised and FIT often gets emails back complaining about issues we have highlighted or why they have been criticised for 'x' as it's not important to their case. We reply to each one and if a reviewer has made a mistake they receive feedback too. Very often an OIC further replies to say 'I did not know that' or 'yes, I agree these things need to be robustly tackled'. Our past approach of posting to the intranet and systematic training of staff through training has meant that a lot of the 'why' we do things has been lost on Officers, that's not their fault it's an organisational issue. The one to one feedback, the concentration on *their* work and *their* errors and *their* good performance means that they are empowered to improve, the organisation is working with them personally to improve specific issues on *their* specific work and when *they* succeed *they* get positive feedback.

The Effect

So what has the implementation of a quality assurance platform like FIT with a bespoke feedback loop and balanced approach to performance management made?

As mentioned previously Nottinghamshire police have struggled with Magistrates Court performance for some time often featuring in the lower parts of league tables. However since FIT has been developed in recent months Nottinghamshire have seen the following improvement in their league table position for the TSJ dashboard:

Quarter measured	Position nationally
Q1 2017/18	36th
Q2 2017/18	28th
Q3 2017/18	22nd

It is perhaps a little early to predict to rest on our laurels but this is a promising change of direction which seems to have some sustainability during 2017/18.

In terms of specific issues, the last completed month's data refers to February 2018. Identified areas of concern have previously been:

Area	Baseline Nov 2016	Current Month (Feb 18)
CCTV present	56.1%	70.3%
VPS attached or noted refusal	23.2%	58.9%
Special Measures Present	10.6%	43.8%
SDC missing*	65.8%	76.2%

*Streamline Disclosure Certificate

These issues have been subject to improvement activity out of the data from FIT lead by DCI Healey and the Case Quality working group, in terms of communications and feedback and have featured as key themes in the one to one feedback sessions. It is acknowledged that we still have a way to go and other issues will need our focus but the model of focussing positively on individuals, collating data to drive that improvement has worked to move Notts up in the league tables nationally but also to see it strengthen in terms of its region position, in many of the current indicators Notts features as second in the EMCJS Forces, behind Lincolnshire.

The Future

The FIT approach is not fixed. I have already mentioned the need to create champions which we will progress in the coming months but we are also having conversations to see if we can get file quality as part of promotion processes, maybe relating to an Officer's pass/error rate. We will seek to improve our 'celebration' of those who reach the 75%+ marker linking the recognition emails to the PDR process. We also need to consider how we use the team data and whether we can use this positively to engender a healthy competition between teams.

One current issue is changing the culture around how we accept feedback in the organisation and ensuring people receive it as constructive and helpful rather than a negative experience. Many Officers do have issues with some of the questions within FIT and we need to keep these under regular review to keep them current but communicate better not only the standards we are using but the reason for those standards. This is on-going work under both the Case Quality Working Group and the Prosecution Team Performance Meeting.

Annex 1 shows the latest performance in relation to February 2018. As can be seen the measures are all green.

ANNEX 1 - EXTRACT FROM force PERFORMANCE AND INSIGHT REPORT – FEBRUARY 2018

Strategic Priority Theme Two: Improve the efficiency and effectiveness of the criminal justice process					
Measure		Objective / Target	Performance		Insight
2.2	Crown and Magistrates' Courts conviction rates	To record a conviction rate in line with the national average	CC +0.4pp	●	<p><i>This measure is reported quarterly. Data shown is Quarter 3 October to December 2017. Next update due in the May report.</i></p> <p>Quarter three figures provided by the East Midlands Criminal Justice Service (EMCJS) reveal that the Crown Court recorded a conviction rate of 80.4% which is greater than the national average of 80% (+0.4pp), and is the second highest rate in the East Midlands region.</p> <p>The Magistrates' Courts conviction rate is 86.6% for the same period and is again higher than the national average of 85.1% (+1.5pp). Nottinghamshire Magistrates Court has the highest conviction rate in the region.</p> <p>The use of the EMCJS FIT model to deliver improvements in the quality of files submitted by the police to the Crown Prosecution Service (CPS) continues.</p> <p>There has been an increase in the number of EMCJS FIT trained staff from 5 to 30 so that more files are able to be reviewed and quality checked on first submission by the officer. This has clear operational benefits as it reduces remedial work required by the officer and speeds up the criminal justice process.</p> <p>In addition, EMCJS have been facilitating 'drop in' sessions with operational officers to provide feedback on file quality.</p>
			MC +1.5pp	●	
2.3	Early Guilty Plea rate for the Crown and Magistrates' Courts	An increase in the Early Guilty Plea rate compared to 2016-17.	CC +2.9pp	●	<p><i>This measure is reported quarterly. Data shown is Quarter 3 October to December 2017. Next update due in the May report.</i></p> <p>The Early Guilty Plea rate recorded in the Crown Court in quarter three was 41.5%, which is an improvement on the previous quarter (+2.9pp), and is better than the national average of 39.4%.</p> <p>The Early Guilty Plea rate recorded in the Magistrates' Court year-to-date to September 2017 was 67.6%, which is just below the</p>
			MC +5.7pp	●	



Nottinghamshire

POLICE & CRIME COMMISSIONER

Decisions of Significant Public Interest: Forward Plan

April 2018

1.0 Business cases						
Ref	Date	Subject	Summary of Decision	Cost (£) <i>Where available</i>	Contact Officer	Report of OPCC / Force
None to report with the exception of those noted under 2.0 Contracts and 3.0 Estates, ICT and Asset Strategic Planning						

2.0 Contracts (above £250k)						
Ref	Date	Subject	Summary of Decision	Cost (£) <i>Where available</i>	Contact Officer	Report of OPCC / Force
2.1	TBC	New Custody Suite Consultants /Contractors	Following Business Case, award contract	£17,000,000 est.	Ronnie Adams EMSCU	Force
2.2	TBC	Hucknall EMAS Works	Building Contractors	£515,000	Ronnie Adams EMSCU	Force
2.3	TBC	ANPR	Procurement of ANPR hardware, support and maintenance	TBC >£250k	Ronnie Adams EMSCU	Force
2.4	August 2018	Command and Control System	Provision of new Command and Control System	£8m	Ronnie Adams EMSCU	Force
2.5	TBC	ESA Licences	Renewal of Microsoft licences	>£250k	Ronnie Adams EMSCU	Force
2.6	TBC	Water Services	Contract for Water Services	>£250k	Ronnie Adams EMSCU	Force
2.7	March 2018	Queens Building	Award of Contractor for refurbishment	£250k	Ronnie Adams EMSCU	Force
2.8	July 2018	Driver Awareness Courses	Award of Contractor	>£250k	Ronnie Adams EMSCU	Force



Nottinghamshire

POLICE & CRIME COMMISSIONER

3.0 Estates, ICT and Asset Strategic Planning						
3.1	TBC	Nottingham Bridewell	Replacement of the Bridewell.	Project Team working up details and costs for final Business Case	Insp Duncan Collins – EMCJS/ Tim Wendels, Estates and Facilities	Force
3.2	June 2018	Kirkby and Arnold	Lease of additional accommodation at existing bases at Kirkby and Arnold to accommodate new Response model	Business Case and cost to be finalised	Tim Wendels, Estates and Facilities	Force
3.3	July 2018	Replacement SARC	Proposal to replace the existing adult SARC with new, more suitable premises	Interim Business Case in course of preparation	DCI Mel Bowden and Tim Wendels, Estates and Facilities	Force/OPCC

4.0 Workforce Plan and Recruitment Strategies						
Ref	Date	Subject	Summary of Decision	Cost (£) <i>Where available</i>	Contact Officer	Report of OPCC / Force
None to report.						

5.0 Strategic Issues including Finance						
Ref	Date	Subject	Summary of Decision	Cost (£) <i>Where available</i>	Contact Officer	Report of OPCC / Force
4.1	Apr to June 2018	Fiscal year end and final accounts			Mark Kimberley, Head of Finance	Force
4.2	May 2018	Annual Governance Statement			Supt McFarlane, Corporate Development	Force
4.3	May 2018	Force Management Statement			Supt McFarlane, Corporate Development	Force

For Information	
Public	
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	30th May 2018
Report of:	Chief Constable
Report Author:	Detective Superintendent Leona Scurr Professional Standards Department (PSD)
E-mail:	Leona.scurr@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	14

*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 PCC in respect of Force performance relating to the handling of complaint and conduct matters in accordance with the Police Reform Act 2002 and Independent Office of Police Conduct (IOPC) Statutory Guidance on the handling of complaints.

2. Recommendations

- 2.1 The recommendation from the last meeting was to compare Nottinghamshire Police's performance with other Forces. This comparative data is complete up to the end of Quarter 3 2017/2018 as the end of year data is not yet available. Up to date comparison has been achieved by the Head of the Professional Standards Department (PSD) through an oversight and scrutiny meeting held in April 2018 with the IOPC.
- 2.2 The outcome of that meeting was for Nottinghamshire Police to dip test that it is applying the local resolution suitability test correctly. This is fundamental to ensuring that complaints are dealt with correctly under the Police Reform Act 2002.

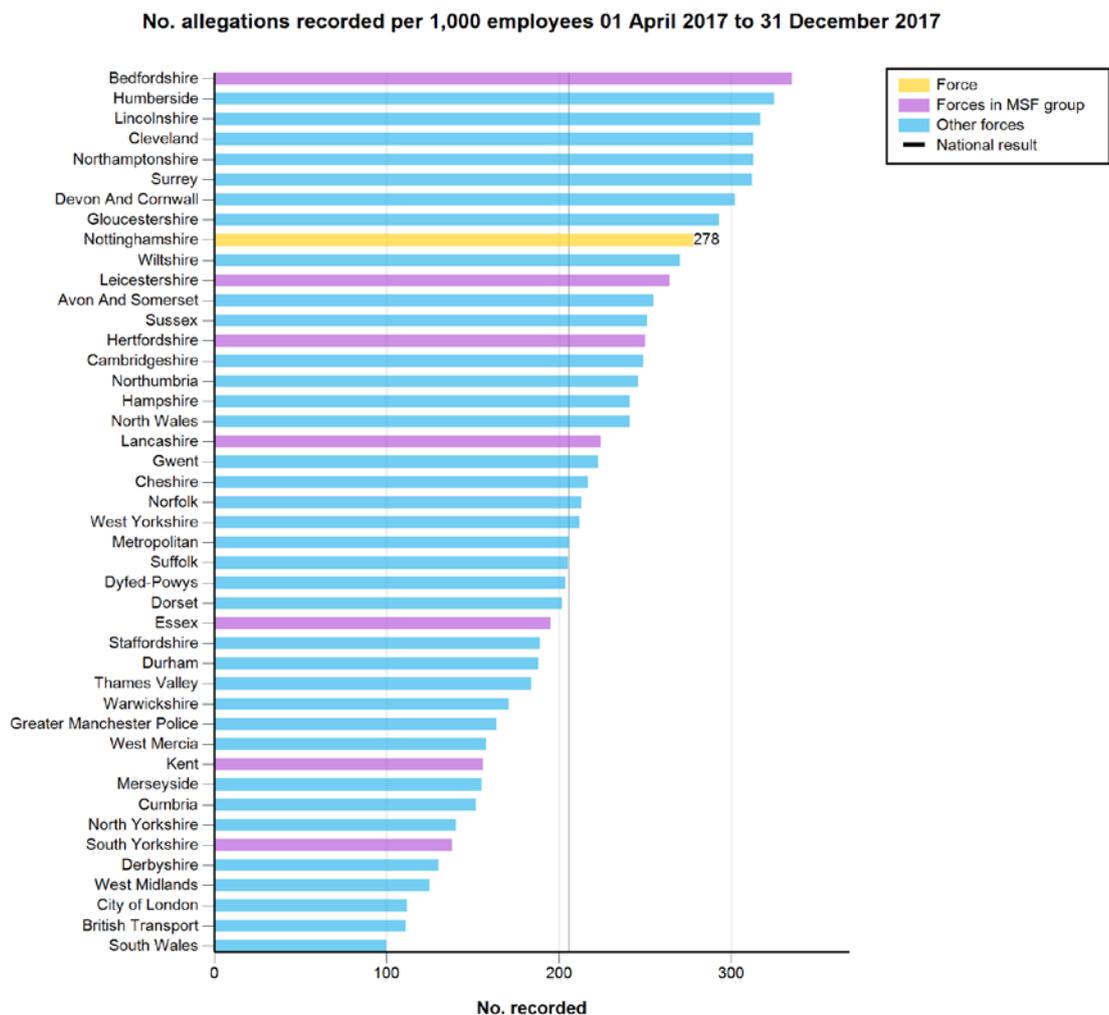
3. Reasons for Recommendations

- 3.1 Nottinghamshire Police resolves a comparatively high percentage of complaints through the local resolution process currently 76%. This is a positive statistic as the IOPC expectation is that 70% of complaints are dealt with this way. Local resolution means there is no indication of a conduct or criminal matter within the complaint.
- 3.2 To put this into context the national average is 46% of complaints being dealt with by way of local resolution. Therefore the hypothesis is Nottinghamshire Police already has a good grasp of the applying the legislation and takes a proportionate approach to how it deals with dissatisfaction.

- 3.3 Nottinghamshire Police will undertake a dip sampling exercise with the IOPC on 28th May 2018 to ensure it is applying the local resolution test correctly in order to ensure that misconduct or criminality isn't being missed is a very small proportion (6%) of cases.

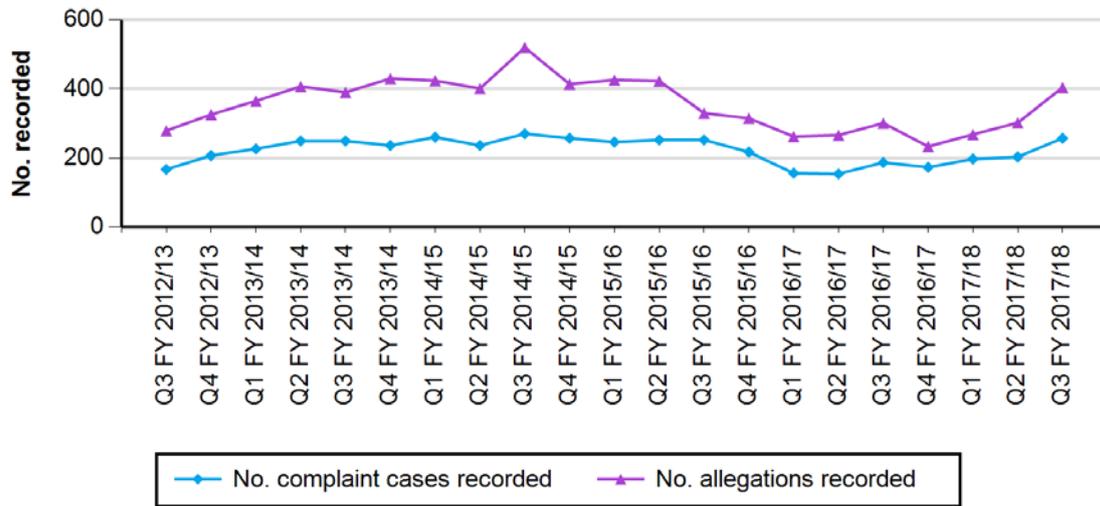
4. Summary of Key Points

- 4.1 National complaints statistics do not compare the number of complaints recorded by each force. One public complaint could comprise of multiple allegations. The comparator is therefore the number of allegations per 1000 employees.

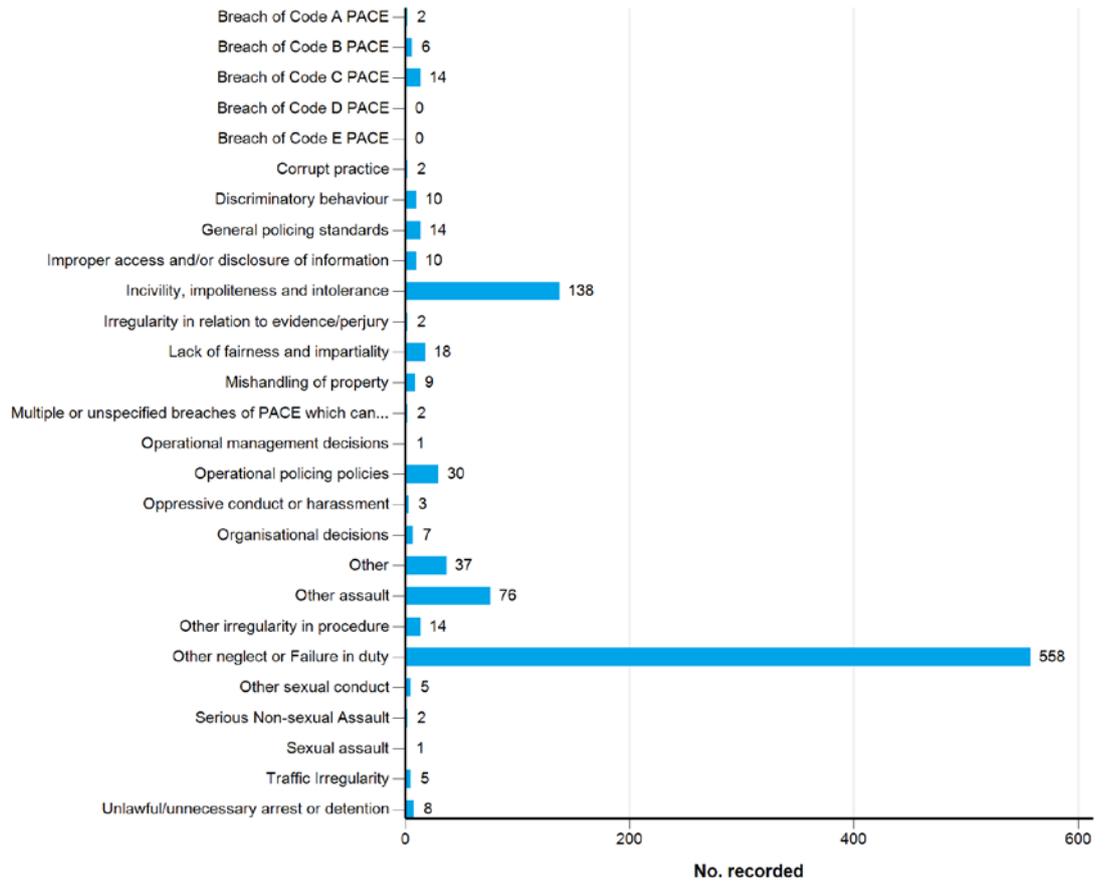


- 4.2 There has been a 30 % increase in the number of complaints recorded per month since October 2017. The number of complaints recorded per month is still within normal control limits and is not a concern. This 30% increase has been consistent through to 31st March 2018. The line chart below shows the number of complaint cases recorded for Nottinghamshire Police. The bar chart shows the number of allegations recorded in each category year to date.

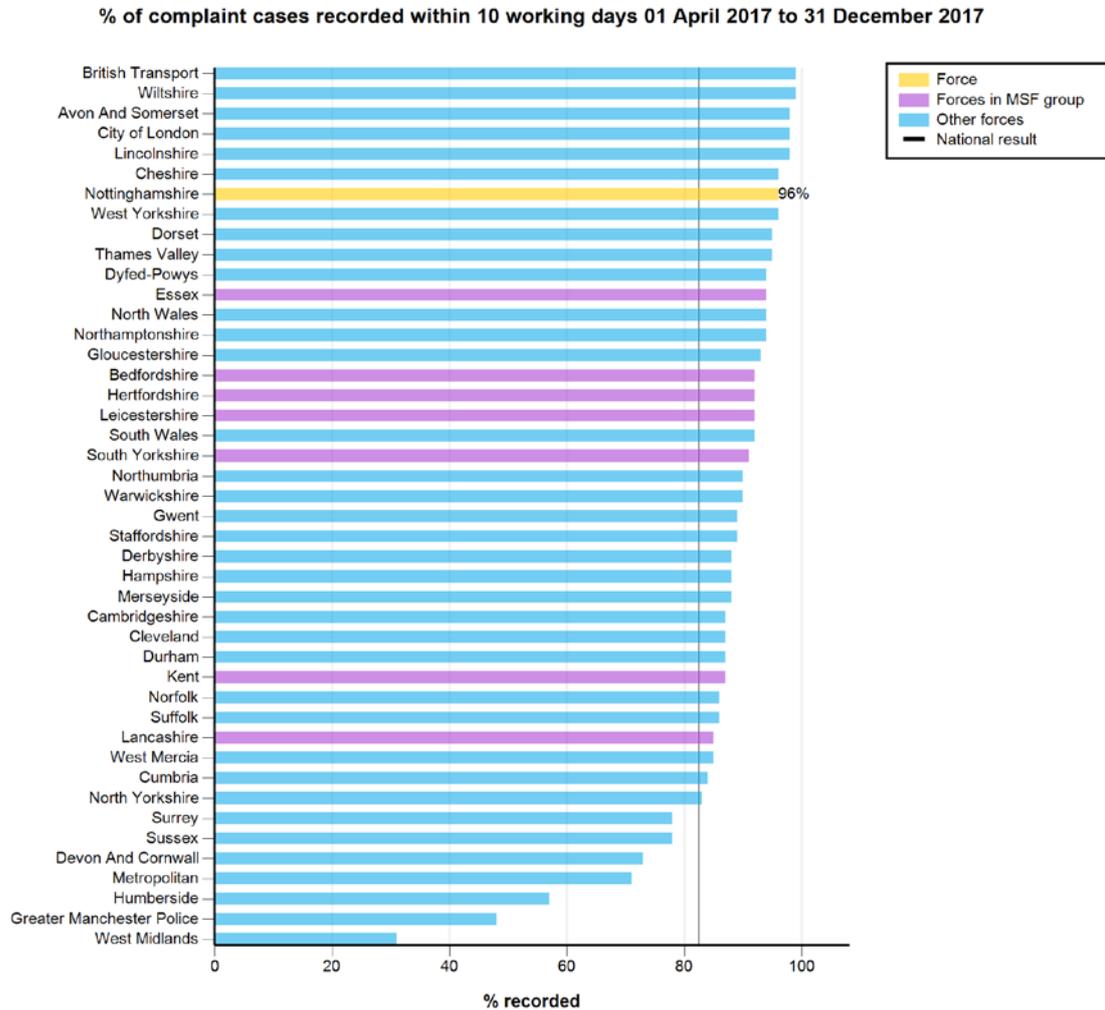
No. complaint cases and allegations recorded



Nature of allegations recorded 01 April 2017 to 31 December 2017

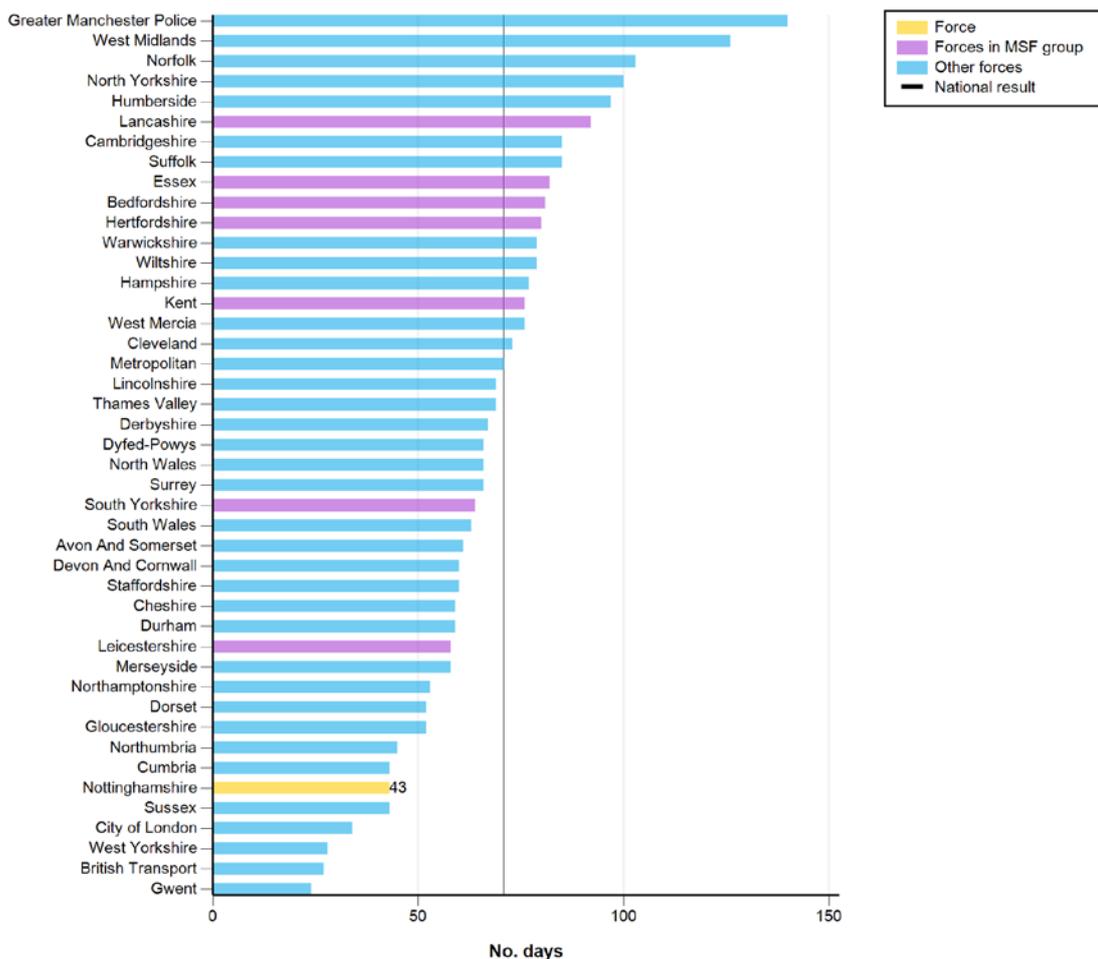


4.3 Despite the 30% increase, Nottinghamshire Police consistently records 96% of complaints within the 10 day time limit stipulated within legislation.



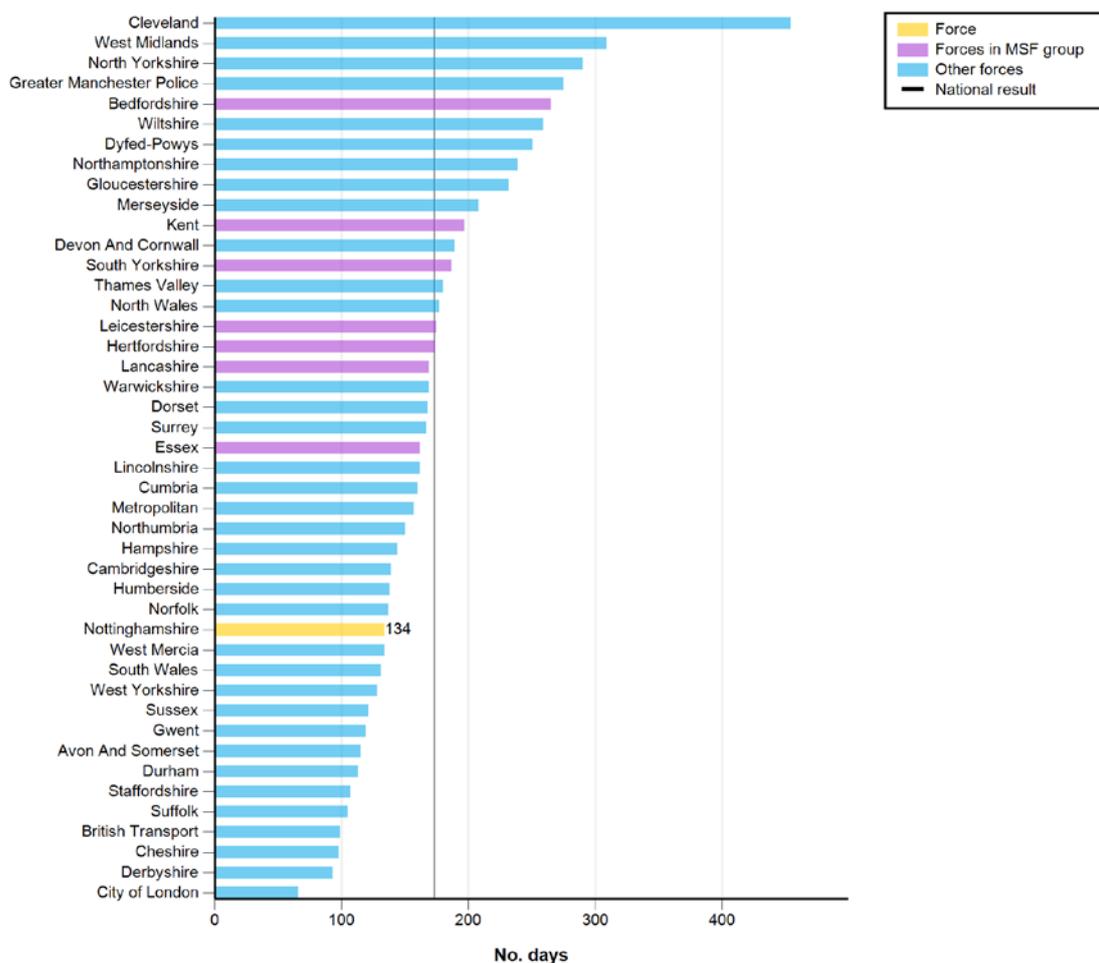
4.4 Nottinghamshire Police on average takes 43 days to resolve a complaint by way of local resolution. There is no target within the statutory guidance on timescales for completion, however the Force sets an initial deadline of 28 days.

Ave no. days to locally resolve allegations 01 April 2017 to 31 December 2017



4.5 Nottinghamshire Police takes on average 134 days to complete a PSD led investigation. There is no target within the statutory guidance on timescales for completion, however the Forces sets an initial deadline of 120 days.

Ave no. of days to finalise allegations by local investigation 01 April 2017 to 31 December 2017



5. Financial Implications and Budget Provision

5.1 There are no financial implications arising from this report.

6. Human Resources Implications

6.1 There are no HR implications arising from this report.

7. Equality Implications

7.1 There are no equality implications arising from this report.

8. Risk Management

8.1 There are on risks arising from this report.

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 to consider with regards to this report.

11. Details of outcome of consultation

11.1 No additional consultation has been carried out in relation to this update.

12. Appendices

12.1 There are no appendices relating to this report.

For Information	
Public/Non Public*	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	30th May 2018
Report of:	Chief Constable
Report Author:	Supt Leona Scurr
E-mail:	Leona.scurr@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	15

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

Independent Office for Police Conduct (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 1st August 2017 to 31st March 2018, together with relevant recommendations and actions.

2. Recommendations

- 2.1 That the panel receive assurance from the processes in place relating to IOPC investigations as detailed within the report

3. Reasons for Recommendations

- 3.1 To provide the PCC with relevant information and oversight in respect of cases that Nottinghamshire Police refers to the IOPC.

4. Summary of Key Points

- 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 s.29 Police Reform Act 2002. 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. The data summary below outlines those DSI matters referred to the IPCC during the relevant period:

Case Recorded	Case Finalised	Incident Summary	IOPC Decision
28/03/2018	29/03/2018	dog bite 2	force deal
12/03/2018		death following recent police contact	independent
19/02/2018		death following recent police contact	force deal
05/02/2018		Injuries identified while in custody	independent
30/01/2018	28/03/2018	police pursuit	force deal
22/01/2018	26/01/2018	injury on arrest	force deal
19/01/2018		attempt suicide	force deal
08/01/2018		death in custody	independent
28/12/2017	15/03/2018	RTC following pursuit	force deal
24/12/2017		Dog Bite	force deal
20/12/2017		Injury in custody	independent
19/12/2017	19/12/2017	Injury identified in custody	force deal
01/11/2017	03/11/2017	Injury on arrest	force deal
26/10/2017	07/02/2018	Injury in custody	force deal
24/10/2017	02/11/2017	dog bite	force deal
17/10/2017	23/10/2017	death following police contact	force deal
09/10/2017		death following police contact	force deal
25/09/2017	10/01/2018	injury in custody	force deal
14/09/2017	30/11/2017	police pursuit	force deal
31/08/2017	14/03/2018	death following police contact	independent
07/08/2017	03/04/2018	death following police contact	force deal

4.2 A recent review from the IOPC Oversight and Scrutiny Team revealed Nottinghamshire Police continues to maintain a good application of the IOPC Statutory Guidance having due regard to compliance with voluntary and mandatory referrals. The number of referrals has increased in the same reporting period last year. This was seen as a positive increase and numbers were now as expected demonstrating transparency.

4.3 In addition the Police must refer to the IOPC complaints and recordable conduct matters that include allegations of conduct which constitutes:

- Serious assaults
- Serious sexual offences
- Serious corruption
- Criminal offence or behaviour aggravated by discrimination
- Relevant offence (where the sentence is fixed by law or 7yrs on first conviction)

4.4 Abuse of position of trust for sexual gain is now a serious corruption category. Nottinghamshire PSD has completed an internal media campaign and delivered training to all staff on this subject of maintaining professional boundaries with the public. All new officer and staff recruits receive this training.

- 4.5 Of the IOPC independent investigations completed in the reporting period one piece of individual learning has been delivered to a custody sergeant with respect to observation levels of detained persons. No conduct was identified as part of this particular investigation.
- 4.6 An IOPC independent investigation completed within reporting period formed part of an Article 2 ECHR coronial inquest. There was no conduct or learning identified for officers. The Coroner did make a regulation 28 Prevention of Death Order to the Force and Partners which the Force has responded to. The matters of concern HMC has highlighted are as follows:
- The lack of a co-ordinated discharge from in-patient psychiatric care into the community, in particular the failure of appropriate professionals from hospital and community to liaise and for family to be informed as a pre-requisite for discharge;
 - The inability to pre-arrange attendance of an ambulance when police officers exercise a s.135 (1) Mental Health Act 1983 warrant;
 - The lack of formality to the 'briefing' or risk assessment exercise before officers enter premises with a view to exercising a s.135 (1) Mental Health Act 1983 warrant.

5. Financial Implications and Budget Provision

- 5.1 There are no specific financial implications in respect of this report. The Directorate is aware of its responsibilities in relation to 'Spending Money Wisely' and the information within this report exemplifies approaches to manage resources effectively.

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.
- 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:	Audit and Scrutiny Panel
Date of Meeting:	30th May 2018
Report of:	Chief Constable
Report Author:	Superintendent Leona Scurr
E-mail:	Leona.scurr@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	16

PROFESSIONAL STANDARDS CONFIDENTIAL REPORTING PROCEDURE

1. Purpose of the Report

- 1.1 To inform the Police and Crime Commissioner (PCC) regarding the above procedure and outline how the organisation in general and the Professional Standards Directorate (PSD) manages 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 That the Panel receive assurance from the processes in place relating to confidential reporting as detailed within the report.

3. Reasons for Recommendations

- 3.1 To provide the PCC with relevant information and oversight in respect of how Nottinghamshire Police ensures that appropriate systems are in place to both encourage and support Officers and Staff to report (a) breaches in standards of professional behaviour and (b) refer any matter that may amount to an allegation of criminal conduct.

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' (PD462) 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 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 relevant period (1st August 2017- 31st March 2018) 34 referrals were made via Integrity Messenger.

Those falling within the counter corruption categories were:

- Disclosure of information x 1
- Sexual Misconduct x 2
- Controlled drug Use x 1
- Commission of a crime x 1
- Theft and Fraud x 1

Of those falling outside the NCA corruption categories, the majority related to performance issues (9) with equal reporting numbers for Conduct issues (6) and Bullying/grievance (6).

Looking at the outcomes from referrals made, one has initiated an investigation resulting in formal misconduct proceedings being commenced and two concern matters/staff members that are already under investigation.

No anonymous written referrals were made.

- 4.10 It is submitted that the reduction in referrals from 56 in the last reporting period should not be considered a concern. No information exists within the Force to suggest that there has been a reduction in the confidence of the confidential reporting gateways provided to police officers, police staff and volunteers. The organisation appear comfortable reporting issues openly in person to PSD. A recent survey commissioned by the OPCC revealed this to be the case.

5. Financial Implications and Budget Provision

- 5.1 No specific financial implications are noted

6. Human Resources Implications

- 6.1 No specific HR implications are noted

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 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 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 & Scrutiny Panel
Date of Meeting:	May 2018
Report of:	DCC
Report Author:	Andrew Burton, Risk and Business Continuity Officer
E-mail:	Amanda Froggatt, Risk and Business Continuity Officer
Other Contacts:	
Agenda Item:	17

BUSINESS CONTINUITY MANAGEMENT REPORT (2017/18)

1. Purpose of the Report

- 1.1 The purpose of this report is to present to the Joint Audit and Scrutiny Panel with an update on the Force Business Continuity Planning process.
- 1.2 To inform the Panel that the Force Critical Functions have been revised in line with the current risk environment.
- 1.3 To inform the Board of the Force Critical Functions identified by individual Heads of Department.
- 1.4 To identify to the Panel the agreed Business Continuity Testing timetable, which identifies key areas of the business to be tested each quarter.
- 1.5 To identify progress made in testing the Force Departmental Business Continuity plans.

2. Recommendations

- 2.1 It is recommended that the Panel notes the new Business Continuity approach within the Force and receives assurance as to the effectiveness of those arrangements and future plans for improvement.

3. Reasons for Recommendations

- 3.1 To enable the Panel to fulfil its obligations in regard to ensuring the Force is able to enact an appropriate response should a critical incident occur.
- 3.2 Improve governance arrangements to allow the Chief Officer Team, Office of Police and Crime Commissioner, Joint Audit and Scrutiny Panel and other external bodies, together with the public, to be provided with assurance that Business Continuity is being managed effectively within the Force.

4. Summary of Key Points

- 4.1 Each Departmental Head was tasked with identifying Critical Functions for their particular area together with the impact of their activity on service delivery and other Departments/external agencies.
- 4.2 They then completed a Business Impact Analysis (BIA's) which risk assessed the impact of their activities over time and consequences if the activity was to stop.
- 4.3 These were complimented by Business Continuity Plans for each Department identifying minimum resource requirements to maintain Critical functions in the case of loss of staff, premises, IT and key suppliers.
- 4.4 These BIA's and Plans were then assessed by the Force Risk and Business Continuity officers against the Force's eight Critical functions.
- 4.5 ACC Prior and DCC Barber, who were active throughout the process, gave direction and focus on what were the key Critical Force functions that must be maintained, by section, for the immediate 24 hours following a Critical incident (Appendix 1).
- 4.6 The proposed timetable (Appendix 2) identifies the key Critical Departments that supply the Force with these functions that provide essential business continuity in key critical areas.
- 4.7 The approach that is being implemented prioritises the identified 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.
- 4.8 The testing is being conducted by the Governance and Planning Team together with appropriate staff from each Department.

To date five areas have been tested via table top exercises. These are –

- Contact Management,
- Custody (Nottinghamshire),
- Neighbourhood Policing,
- Corporate Communications,
- Vetting (part of Professional Standards).

The testing for both Neighbourhood Police and Response are to be re-assessed (Neighbourhood Policing repeated) following the implementation of the Force restructure on the 1st April 2018).

- 4.9 Further larger scale testing will also take place in conjunction with Force Emergency Planning and the Local Resilience Forum which will cut across Departmental and Organisational boundaries (Regional test planned for Cyber Attack Spring 2018).

- 4.10 Any learning from the testing regime have been fed directly to the Head of the Department and the Force Business Continuity Manager who work with the appropriate individual to ensure plans are updated and appropriate action is taken.
- 4.11 Any Force learning is directed to the Organisational Risk, Learning and Ethics Board in order that good practice is shared across the force.
- 4.12 The testing timetable will ensure 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.

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 FTE (2 people – job share) who also have the Risk portfolio and are based within Corporate Development. The one post also has responsibility for developing the new Strategic Risk approach within the Force.
- 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. The Force is currently reviewing its approach to Strategic and Departmental Risk. Business Continuity has been identified as a key element of this and will allow the organisation to identify and appreciate a greater awareness and assessment of current and future risks. This will enable Force and Departmental plans to take account of changing circumstances leading 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

12.1 Appendix 1: Business Continuity Force Critical Functions Priority Testing

12.2 Appendix 2: Proposed Business Continuity Testing Timetable

Appendix 1

Business Continuity Force Critical Functions

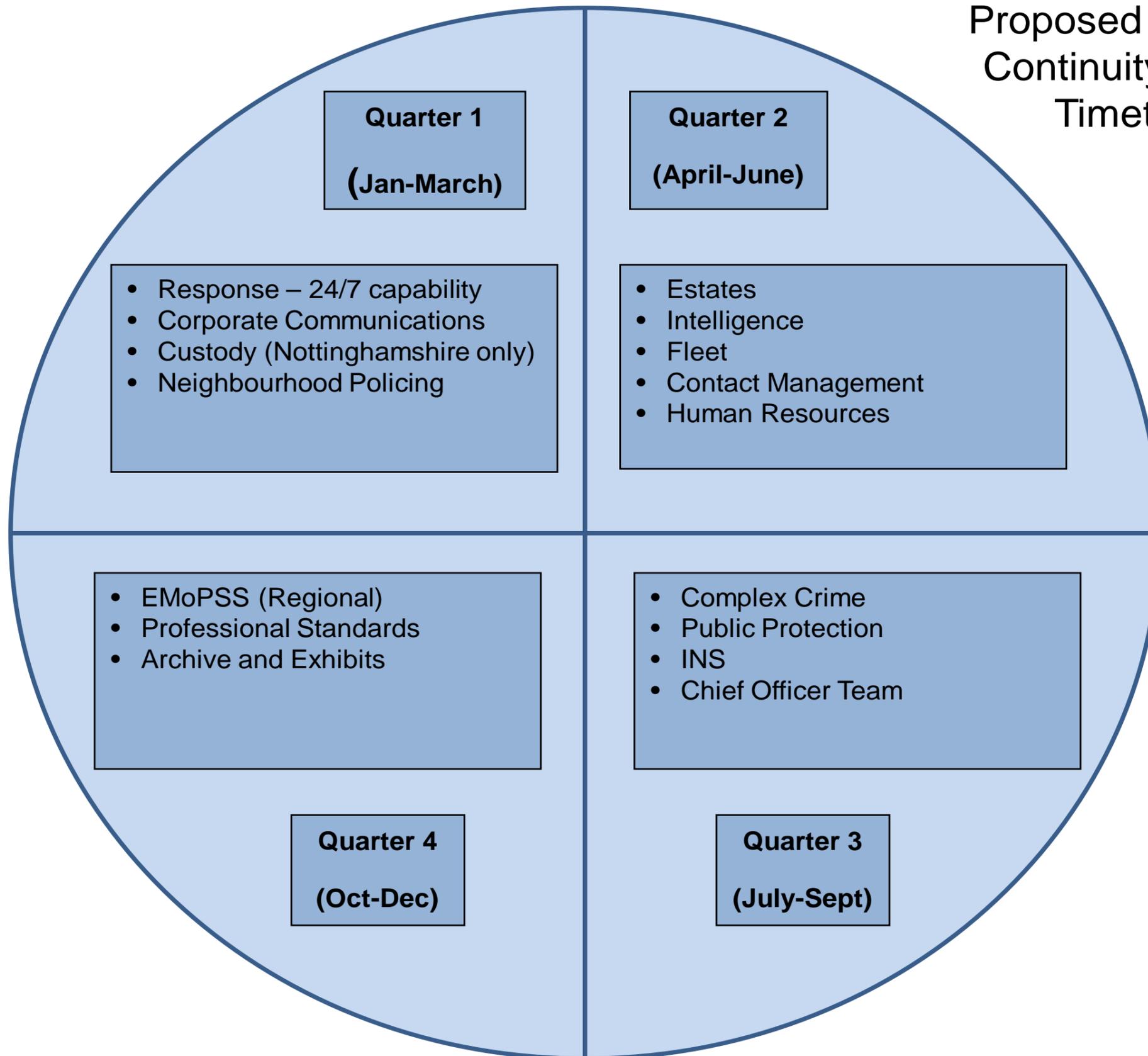
Definition of Critical Functions	Department	Section	Identified Critical Functions	Tested
<p>The Force has 8 Critical Functions which must be maintained:</p> <ul style="list-style-type: none"> To maintain effective communications with the public To receive and respond to Emergency Calls providing an appropriate 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 	Senior Command 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>	No
	Operations and Planning Command	Contact Management	<p>Answering telephone calls – 999's (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
	Operations and Planning Command	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)	No
	Operations and Planning Command	Neighbourhoods	Provide Reassurance, visibility and engagement with communities	No

Definition of Critical Functions	Department	Section	Identified Critical Functions	Tested
<ul style="list-style-type: none"> • 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 Traffic Collisions • 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 	Crime and Intelligence	Intelligence	Provide capability for Intelligence development to identify, research, report on open/closed source material Management of SPoC applications and out of hours (on call) cover.	No
	Crime and Intelligence	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.	No
	Crime and Intelligence	Complex Crime	Investigation of threat to life or firearms incidents Investigation of high risk Missings /Sudden Deaths Escalate where appropriate To EMSOU for additional resources	No
	Crime and Intelligence	Public Protection	Provide trained and equipped staff to conduct Child /Adult Protection investigations (CAIU and CSE investigations. (Immediate) Maintain Force Investigative capability	No
	EMOpSS	Armed Policing	Provide Armed Police Incident Response capability including specialist Armed Police Response capability (including. Baton Rounds/CS/Stun Grenades) Provide trained Strategic/Tactical/Operational firearms Commanders to authorise and command deployments Provide trained Firearms Tactical Advisor for Gold/Silver Commanders Provide trained and equipped Explosives Search Dog and handler at relevant incidents	No
	EMOpSS	Armed Policing	Provide Armed Police Incident Response capability including specialist Armed Police Response capability (including. Baton Rounds/CS/Stun Grenades) Provide trained Strategic/Tactical/Operational firearms Commanders to authorise and command deployments Provide trained Firearms Tactical Advisor for Gold/Silver Commanders Provide trained and equipped Explosives Search Dog and handler at relevant incidents	No

Definition of Critical Functions	Department	Section	Identified Critical Functions	Tested
		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>	No
		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	No
		Serious Collision Investigation	<p>Provide dedicated Road Death SIO's.</p> <p>Provide specialist capability to attend and investigate major/serious injury/fatal RTC</p> <p>Maintain Force Investigative capability</p>	No
	Custody	Detain prisoners	Provide facilities for the reception and detention of arrested persons within Nottinghamshire	No
		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.	No
	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)	No
	Estates		<p>Provision of emergency accommodation</p> <p>Maintaining the emergency accommodation plan</p>	No
	Fleet		Support Emergency Planning and operation support with an Emergency situation, including sourcing additional fleet when required	No

Definition of Critical Functions	Department	Section	Identified Critical Functions	Tested
	Professional Standards		Provide On Call Critical Incident Cover	No
	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>	No
	Human Resources		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	No

Proposed Business Continuity Testing Timetable



For Information	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	30th May 2018
Report of:	Chief Constable
Report Author:	Pat Stocker – Information Management Lead
E-mail:	Pat.stocker@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.

Force Report on Monitoring, Review and Assurance of the Publication Scheme

1. Purpose of the Report

- 1.1 The Freedom of Information Act requires every public authority to have a publication scheme, approved by the Information Commissioner's Office (ICO), and to publish information covered by the scheme.
- 1.2 The purpose of this report is to update the Audit & Scrutiny Meeting on the current Force position on the Publication Scheme requirements

2. Recommendations

- 2.1 The Audit & Scrutiny Meeting is asked to note the contents of this paper

3. Reasons for Recommendations

- 3.1 To provide awareness of the current position of Nottinghamshire Police in terms of the Publication Scheme requirements

4. Summary of Key Points

- 4.1 The ICO guidance is for those police forces which are strategically managed by a Police and Crime Commissioner (PCC), it gives examples of the kinds of information that the ICO expects the Force to provide in order to meet their commitments under the model publication scheme.
- 4.2 The guidance is not meant to give an exhaustive list of everything that should be covered by a publication scheme. The legal commitment is to the model publication scheme, and forces should look to provide as much information as possible on a routine basis.
- 4.3 The table below shows the types of data identified in the ICO's guidance and the current position on the Force website.

4.4 All information assets identified below will be added to relevant Information Asset Registers. Those areas marked in red and identified as either 'not published' or 'not located' will be reviewed and updated with a decision regarding future publication.

4.5 Table 1 – Data Categories included in ICO guidance and Force position as at 30 April 2018.

Who we are and what we do		
Organisational information, structures, locations and contacts		
Requirement	RAG status	Comments / Actions
Force structure		New Force structure published as a news article and is still available online; it will be built into the core website content.
Profiles of COT team		CC/DCC/ACC's profiles published - some require updating
Identities of senior staff		Not on the website
Locations and contact details of police stations and opening hours		Published on the Police Stations web page
Arrangements for Special Constables and civilian volunteers		Published under the 'Careers' section
Relationships with other authorities		Published under 'Our Partners' section
Sponsorship with Businesses		Published under 'Doing business with us'
What we spend and how we spend it		
Financial information relating to projected and actual income and expenditure, procurement, contracts and financial audit		
Annual statement of accounts		2012/13 to 2016/17 is published under 'What we spend'
Force budget (as agreed by PCC or Police Board)		Budget report available on PCC website
Expenditure		Published under 'What we spend' and 'Access to Information – Finance'
Details of contracts: Expectation that the force will publish contracts and invitations to tender that exceed £10,000. A list of contracts under £10,000 should also be published to include value, identity		Published under 'Doing business with us' - Contracts over £25,000 - current contracts awarded for Nottinghamshire Police are available to view by accessing the online Blue Light Procurement database

of the parties and purpose of the contract.		
Expenses paid to or incurred by the Chief Officer, Deputy and Assistant Chief Constables or Commissioners		Included in 'What we spend'
Pay and grading structure		Not published
Evaluation of police use of resources		Audits and Inspection reports are published
Support for the provision of Community Support Officers		Details on PCSO role published under 'Careers'
What our priorities are and how we are doing Strategies and plans, performance indicators, audits, inspections and reviews. ICO expects as a minimum that information for the current and previous two financial years should be available.		
Strategic plans		Our Priority plan – up to March 2018
Annual Policing plans		Not in Library
Area Policing plans		Although not an area plan – lots of information is available via the 'Your area' section
Chief Officers Annual Report		Annual Reports available via PCC website
Police Performance Assessments		Audits and Inspection reports are published
Police Force statistics -This will include crime statistics published on the www.police.uk website.		Published under 'Find out how we are performing' Also signpost to police.uk on each neighbourhood page
Neighbourhood Policing arrangements		Your area covers local neighbourhood inspector details, police station and contact details as well as access to social media comments from local team
How we make decisions Decision making processes and records of decisions.		
Agenda and minutes for the senior decision making committee		Strategic Meetings are published on the PCC website. Force meetings are not published.
Feedback from public consultation and surveys		Not located on Force website
Our policies and procedures		

Current written protocols, policies and procedures for delivering our services and responsibilities		
Policies and procedures for the conduct of police force business		Published under 'Library' – requires review and updating
Policies and procedures for the provision of policing services		Published under 'Library' – requires review and updating
Policies and procedures about the recruitment and employment of staff		Published under 'Library' – requires review and updating
Records management and personal data policies		Published under 'Library' – requires review and updating
Fileplans (or any other Business Classification Scheme used for the management of information)		Requires review and updating in line with Regional Government Security Classification Policy
Customer service standards and complaint procedure		Published under 'Contact us'
Charging regimes and policies		List of Financial charges published
Lists and Registers		
Information held in registers required by statute		Access to information – registers includes use of force, COT contact with the media, Gifts, gratuities and hospitality, business interests
Asset registers		Not published
Information asset register		Not published
CCTV - locations of any overt CCTV surveillance cameras operated by the police force		Not located on Force website
Registers of interests		Published under 'Access to Information'
Register of gifts and hospitality (senior personnel)		Published under 'Access to Information'
FOI disclosure log		Published under 'Access to Information'
Services provided by the police force		
Information about the services provided by the police force, including leaflets, guidance and newsletters produced for the public and businesses		
Advice and guidance for the general public		Available via Advice Centre
Firearms and explosives licensing, firearms dealers licensing, abnormal load escort, keyholder		All available via search facility

services		
Police college or learning centre		Links to Regional EMCHRS and National College of Policing
Ceremonial duties		Not published
Museum		Not applicable
Local campaigns		Published under 'Your area' and highlighted on news section and Advice Centre, as appropriate
Media releases		Published under 'News & Appeals'
Details of the services for which the police force is entitled to recover a fee together with those fees		List of charges published – based on national list

5. Financial Implications and Budget Provision

5.1 None

6. Human Resources Implications

6.1 None

7. Equality Implications

7.1 None

8. Risk Management

8.1 None

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

9.1 None

10. Changes in Legislation or other Legal Considerations

10.1 None

11. Details of outcome of consultation

11.1 No consultation took place when preparing this report

12. Appendices

12.1 None

For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	30th May 2018
Report of:	DCC Barber Charlie Radford, Chief Finance Officer OPCC
Report Author:	Amanda Froggatt, Strategic Support Officer
E-mail:	amanda.froggatt@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	19

Joint Audit and Scrutiny Panel Proposed Work Plan 2018/19

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 the 2018/19 year.

2. Recommendations

- 2.1 That Joint Audit and Scrutiny Panel members note the report and attached appendix, and agree the contents.
- 2.2 That a nominated member of the Joint Audit and Scrutiny Panel attends the Organisational Risk, Learning, Standards and Integrity Board in order to obtain assurance on the following areas:
- Health and Safety
 - Equality and Diversity
 - Professional Standards and Ethics.

3. Reasons for Recommendations

- 3.1 To enable the Panel to fulfil its scrutiny obligations with regard to Force activity.
- 3.2 The Deputy Police and Crime Commissioner historically attended the equivalent Force meetings as those listed above in order to provide assurance from these areas of business.

4. Summary of Key Points

- 4.1 A draft Audit and Scrutiny work plan was presented to the Joint Audit and Scrutiny Panel in December 2017.
- 4.2 Taking in account the feedback from the meeting a revised work plan has been prepared for approval.

- 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

- 11.1 The initial draft work plan was presented to the Joint Audit and Scrutiny Panel in December 2017.
- 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 Panel Work Plan 2018-19.

PROPOSED JOINT AUDIT AND SCRUTINY PANEL WORK PLAN 2018/19

WEDNESDAY 30th MAY 2018 YEAR END MEETING			
	Annual Internal Audit Assurance Report (including review of past year and audit schedule for 2018/19)	Annually	Mazars – Brian Welch
	New Internal Audit Plan 2019/20	Annually	Mazars – Brian Welch
	Draft CC's Statement of Accounts 17/18 Draft Group Statement of Accounts 17/18	Annually	Force – Paul Dawkins OPCC – Charlie Radford
	Draft Annual Force Governance Statement 2017/18 Draft Annual OPCC Governance Statement 2017/18	Annually	Force – DCC OPCC – Charlie Radford
	External Audit Plan	Annually	KPMG –Andrew Cardoza
	Review of OPCC Risk Management arrangements Review of Force Risk Management arrangements	6 Monthly	OPCC – Kevin Dennis Force – DCC
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMIC, AGS improvements)	Each meeting	OPCC - as required Force – DCC
	PCCs 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
	Force Report on Business Continuity Compliance and Assurance Testing and Exercising	Annually	Force – Corporate Development
	Force Report on Monitoring, Review and Assurance of the Publication Scheme	Annually	Force – Pat Stocker

TUESDAY 24th JULY 2018 FINAL ACCOUNTS MEETING

	External Audit ISA260 Government Report	Annually	
	Final Force Statement of Accounts 17/18 Final Group Statement of Accounts 17/18 (OPCC and Force AGS to be incorporated)	Annually	Force – Paul Dawkins OPCC – Charlie Radford
	Summary set of accounts for publication 17/18? If available/ could be next meeting	Annually	OPCC – Charlie Radford
	Internal Audit Progress Report	Each Meeting	Mazars – Brian Welch
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMIC, AGS improvements)	Each meeting	OPCC - as required Force – DCC
	Review Working Together Agreement incorporating SoD, Fin Regs and SOs	Annually	OPCC – Kevin Dennis
	Force Treasury Update Report to show compliance with Treasury Management Strategy	Annually	OPCC – Charlie Radford
	Force Assurance Mapping Report	Annually	Force – Corporate Development
	OPCC Report on Compliance with Freedom of Information Requests and the Specified Information Order	Annually	OPCC – Lisa Gilmour
	Force Assurance Report on Compliance with Freedom of Information and Data Protection Requests	Annually	OPCC – Pat Stocker

WEDNESDAY 7th NOVEMBER 2018 CHAIR TOPIC

	Internal Audit Progress Report	Each Meeting	Mazars – Brian Welch
	Review of OPCC Risk Management arrangements Review of Force Risk Management arrangements	6 Monthly	OPCC – Kevin Dennis Force – DCC

Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMIC, AGS improvements)	Each meeting	OPCC - Where appropriate Force – DCC
Annual Audit Letter – External Audit	Annual	KPMG - Andrew Cordoza
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

MARCH 2019 AUDIT PLANNING MEETING

New Internal Audit Plan 2019/20	Annual	Mazars – Brian Welch
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	Annually	Ernst & Young
Internal Audit Progress Report	Each Meeting	Mazars – Brian Welch
Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMIC, AGS improvements)	Each meeting	OPCC - where appropriate Force - DCC
Note -If possible – invite new External Auditor – Ernst & Young		

	Force Report on Business Continuity Compliance and Assurance Testing and Exercising	Annually	Force – Corporate Development
	Force Report on Monitoring, Review and Assurance of the Publication Scheme	Annually	Force – Pat Stocker
	OPCC Report on Compliance with Freedom of Information Requests and the Specified Information Order	Annually	OPCC – Lisa Gilmour
	Force Assurance Report on Compliance with Freedom of Information and Data Protection Requests	Annually	OPCC – Pat Stocker

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