



JOINT AUDIT AND SCRUTINY PANEL

WEDNESDAY 30 SEPTEMBER 2020 at 10.00 AM
Virtual Meeting by Microsoft Teams

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

Membership

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

A G E N D A

1. 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 23 June 2020
4. Progress against Action Tracker
5. Presentation – Nottinghamshire Police Force Re-Structure
6. Nottinghamshire Police Use of Force 2019-2020
7. External Audit Plan
8. Internal Audit Progress Report
9. Audit and Inspection Update
10. Police and Crime Commissioner's Update Report to June 2020 – For Information
11. Publication Scheme Monitoring, Review and Assurance

12. Force Report on the Force Publication Scheme January to June 2020
13. Nottinghamshire Police Information Management – Freedom of Information and Data Protection Information Requests Update for January to June 2020
14. Joint Audit and Scrutiny Work Plan 2020-2021
15. Summary of Actions (verbal)

NOTES

- 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: **Noel McMenamin tel. 0115 993 2670** 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 WEDNESDAY
23rd JUNE 2020 COMMENCING AT 10.30AM VIA TELECONFERENCE**

MEMBERSHIP

(A – denotes absent)

Mr Stephen Charnock (Chair)

Mr Leslie Ayoola

Dr Phil Hodgson

Mr Peter McKay

Alan Franks

ALSO PRESENT

Rachel Barber	Deputy Chief Constable, Nottinghamshire Police
Neil Harris	EY
Helen Henshaw	EY
Mark Lunn	Mazars
Mark Kimberley	Head of Finance, Nottinghamshire Police
Noel McMenamin	Democratic Services, Nottinghamshire County Council
Charlie Radford	Chief Finance Officer, NOPCC
Paddy Tipping	Nottinghamshire Police and Crime Commissioner

1) APOLOGIES FOR ABSENCE

None received.

2) DECLARATIONS OF INTEREST BY MEMBERS AND OFFICERS

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

Joint Audit and Scrutiny Panel members were reminded to revisit their declarations of interests, held by OPCC, and update as necessary.

3) MINUTES OF THE PREVIOUS MEETING

The minutes of the last meeting held on 24 February 2020, having been circulated to all members, were taken as read and were confirmed and signed by the Chair.

4) **PROGRESS AGAINST ACTION TRACKER**

Action 25:

Action 027: List compiled and discussed. Action to be marked as completed, and closed .

Action 028: Information on detention times had been circulated to the Panel membership – completed, close.

Action 029: External Audit discussion overtaken by events – mark as completed, and close.

5) **POLICE AND CRIME COMMISSIONER'S UPDATE REPORT**

The Panel considered the report, which had been submitted to the Police and Crime Panel on 6 February 2020, providing an update on progress in delivering Police and Crime Plan 2018-2021.

The report also provided a summary of performance headlines for 2019, the current capital and revenue financial position, and a summary of key decisions taken by the OPCC and Force during the current planning period.

The Police and Crime Commissioner highlighted overall crime statistics showing a 1% increase in the County and 1% decrease in the City, with the reduction in knife crime statistics bucking the national trend. The recent staff survey also that showed positive outcomes for staff morale.

The following points were made during discussion:

- The Force view was that not every officer wanted or needed to be issued with a tazer. Tazers were not considered appropriate for effective policing in a variety of policing situations, and their overuse had the potential to be counterproductive. The issue of tazers and their use had not been covered in the staff morale survey;
- DCC Barber acknowledged that around 72% of anti-social behaviour (ASB) occurrences remained unreported to any agency, with some residents not believing action would be taken, and a misperception that 101 calls would not be followed up;
- The Force enjoyed a strong reputation as an open, transparent and fair organisation to work for, and this was reflected in growing numbers of BME and LGBT staff being recruited;
- The Police and Crime Commissioner pointed out that 80% of victims of crime were happy with actions taken by the Force, and performance was particularly strong in respect of dealing with hate crime. It was confirmed

- that the implications for addressing 'non-crime hate incidents' were being considered in the wake of the recent case involving Humberside Police;
- It was confirmed that a significant piece of work was under way to address domestic violence, with a focus on perpetrator programmes and repeat offending.

RESOLVED 2020/001

To note the update.

6) AUDIT AND INSPECTION UPDATE

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

The Panel considered a report of the Deputy Chief Constable, providing an update on progress against recommendations arising from audits and inspections during the final quarter of 2019/2020, and informing the Panel of upcoming audits and inspections.

The Panel had been due to receive a presentation on the Post-Implementation Review of the Force Restructure as part of its consideration of this item. Copies of the presentation had been circulated prior to the meeting. Unfortunately, Chief Superintendent Vicki White was unable to attend the meeting.

The Panel agreed that it be invited to Force Headquarters to receive the presentation, to take place before the May 2020 meeting.

During discussion, the following points were raised:

- As detailed at item 4 above, the Chair requested that a list of historical 'At Risk' actions highlighted at Appendix 1 be compiled for further consideration by the Chair and DCC Barber, and to report back to a future Panel meeting;
- It was explained to the Panel's satisfaction that the crime data integrity audit concerned itself with the appropriate recording of crime, whereas the internal audit considerations reported elsewhere on the agenda involved GDPR compliance;
- The Panel understood that the GDPR audit report was now available, and confirmed that this would be an item on the May 2020 agenda, in line with the work programme;
- DCC Barber expressed the view that HMIC would see significant improvement in respect of issues identified under the Force's most recent PEEL Review. She also supported the evidence-led approach to domestic violence, but cautioned that it was not appropriate to 'lean' on victims to secure prosecutions.

RESOLVED 2020/002

- 1) that the status of audits and inspections carried out report be noted;
- 2) that a list of 'At Risk' actions be compiled for further consideration for further consideration by the Chair and DCC Barber;
- 3) that the Panel be invited to Force Headquarters to receive the presentation on the Post-Implementation Review of the Force Restructure, to take place before the next scheduled Panel meeting.

7) ASSURANCE MAPPING 2020-2021

The Panel considered a report of the Deputy Chief Constable, providing an overview of assurance levels against each business area of the Force.

The Panel requested that information on assurance ratings be provided over a period of several years, so that it was clearer to the Panel where progress had been made, and where weaker assurance persisted. The Panel also requested an update, focussing on measures taken to improve the current limited assurance ratings for Information Governance and Information Services, and on progress to improve these ratings.

RESOLVED: 2020/003

- 1) That the inclusion of the following in the Internal Audit Plan 2020-2021, as outlined at Appendix 1 to the report, be approved:
 - Finance;
 - Workforce Planning;
 - Information Governance;
 - Information Services;
 - Buildings/Asset Management;
 - Ethical Standards and Conduct;
 - Project Management/Programme Management;
 - Risk Management.
- 2) That future reports include assurance ratings information for each business area over several years, so that it was clearer where progress had and had not been made over time;
- 3) That, in view of the current limited assurance ratings for Information Governance and Information Services, the next report provided an update on measures taken to improve these ratings, and their impact.

8) DRAFT INTERNAL AUDIT PLAN 2020-2021

Mark Lunn of Mazars LLP introduced the report, which set out the proposed OPCC Internal Audit Plan for 2020-2021. Mr Lunn highlighted ongoing risks and

mitigations with the Multi-Force Shared Services – Oracle Cloud Operation as the key significant risk, with seized property, GDPR Follow-up and Collaboration also identified as priority areas for 2020-2021.

The following points were raised during discussion:

- It was explained that the 10 Plan Days identified under the Collaboration audit area referred to Nottinghamshire Plan Days – each of the 5 Forces involved were to assign 10 Plan Days, and Nottinghamshire preparations compared favourably with those of other Forces;
- The Police and Crime Commissioner advised that HMICFRS had recently produced a report on Collaboration, and he undertook to provide a copy to the Panel administrator for circulation to Panel members. He also undertook to share with Panel members a report, currently at the draft stage, on delivery vehicles.

RESOLVED: 2020/004

- 1) That the draft OPCC Internal Audit Plan 2020-2021 be approved;
- 2) that the recent HMICFRS report on Collaboration and draft report on delivery vehicles be circulated to Audit and Scrutiny Panel members for information.

9) INTERNAL AUDIT PROGRESS REPORT 2019-2020

Mark Lunn, Mazars introduced the report which provided an update on progress against the Internal Audit Annual Plan for 2019-2020, and the findings from the audits completed to date.

During discussion, Mr Lunn confirmed that the publication of the IT Security and GDPR audits were imminent, following the exit meeting with the IT auditor while the fieldwork for the core financial audit had been completed

The Panel was advised that a new Health and Safety Officer was now in place, and that the Force had increased confidence that it was getting to grips with Business Continuity and Health and Safety issues.

RESOLVED: 2020/005

To note the update.

10) EXTERNAL AUDIT – SUMMARY PLAN

Neil Harris of EY introduced his colleague, Helen Henshaw, and explained that Ms Henshaw would be attending future Panel meetings as the EY engagement lead.

Mr Harris introduced the External Audit Summary Plan, making the following points:

- Many significant areas of audit work had been substantially completed. Work in several areas had commenced, but was not yet complete. These areas included:
 - Property, plant and equipment (depreciation, assets held for sale);
 - PFI Schemes (specialist expertise required, so is resource-intensive);
 - Pension testing and adjusting in the wake of the McCloud judgement;
 - Creditors and debtors sample testing;
 - Remuneration and exit packages;
- It was confirmed that amendments/adjustments to accounts would be recommended;
- The Value for Money (VFM) work identified in the summary was largely complete. Weaknesses had been identified and reported as regards controlling expenditure;
- EY expected issue an 'except for' conclusion in respect of the significant overspend on Project Fusion in 2018-2019;
- A key and ongoing concern, covered under the 'Control Environment' section of the summary, was a continued lack of permanent resource responsible for the preparation of annual accounts. In particular, working papers to support financial statements were not readily available, while multiple versions of accounts and confused version control had led to a lack of clarity in respect of the final version of accounts
- More positively, the EY assessment of the Reserves Position indicated that there was sufficient budgetary 'headroom' should the worst-case budget gap scenario materialise.

The Chair reiterated the Panel's disappointment, previously expressed at its November 2019 meeting, about the lack of robust, accurate and definitive documentation available in order to conduct and complete the 2019-2019 audit.

Several points were made in the discussion which followed:

- Recruitment of suitably qualified accounting staff remained a significant challenge, while existing resource had had to be diverted to deal with issues caused by MFSS shortcomings;
- As matters stood, it was hoped that final audited accounts would be available by end March 2020. The Chair strongly urged all parties to make every effort achieve the end March 2020 deadline;
- In the circumstances, the Panel agreed to delegate authority to the Chief Finance Officer, in consultation with the Chair of the Audit and Scrutiny Panel to recommend for approval the final audited accounts for 2018-2019

- In view of the significant unresolved issues with the 2018-2019 audit, there was no prospect of delivering the audit for the period 2019-2020 by the existing deadline of 31 July 2020. The Home Office and National Audit Office were being lobbied by a number of organisations in the sector to relax current deadlines.

RESOLVED: 2020/006

- 1) that the External Audit results progress report be noted;
- 2) that the Panel agree to delegate authority to the Chief Finance Officer, in consultation with the Chair of the Audit and Scrutiny Panel, to recommend that the audited accounts and ISO 26000 for 2018-2019, once finalised, be submitted to the Police and Crime Commissioner for approval and subsequent signature by both the Police and Crime Commissioner and Chief Constable.

11) PRECEPT AND BUDGET REPORTS 2020-2021

The Panel noted the report and appendices, which provided for information several strategic finance reports approved by the Police and Crime Commissioner, as well as the Precept report for 2020-2021, which had been approved by the Police and Crime Panel on 6 February 2020, without substantive discussion.

RESOLVED: 2020/007

To note the reports.

12) OPCC PUBLICATION SCHEME MONITORING, REVIEW AND ASSURANCE

The Panel considered the report, which provided assurance that the OPCC was working in full compliance with the Freedom of Information Act 2000 and the Elected Local Policing Bodies (Specified Information) Order 2011.

The Panel congratulated the OPCC on it's being granted the Transparency Quality Mark Award by CoPaCC, the body responsible for monitoring Police governance.

RESOLVED: 2020/008

That the update be noted.

13) NOTTINGHAMSHIRE POLICE INFORMATION MANAGEMENT – FREEDOM OF INFORMATION AND DATA PROTECTION INFORMATION REQUESTS UPDATE FOR CALENDAR YEAR 2019

The Panel considered a report, providing data on the legislative compliance for Information Requests made under the Freedom of Information Act and Data Protection Act legislation for the calendar year 2019.

DCC Barber provided the following comments:

- It was acknowledged that previous approaches taken to deal with both resourcing the Information Management function and managing workflow had been neither effective nor appropriate;
- While Force performance was not where it wanted to be, and challenges were ongoing, the current direction of travel remained positive.

In the brief discussion which followed, it was confirmed that increased requests in respect of Court Orders did generate income for the function, but this was designed to cover additional costs, rather than provide a net income stream.

RESOLVED: 2020/009

That the report be noted.

14) FORCE REPORT ON MONITORING, REVIEW AND ASSURANCE OF THE PUBLICATION SCHEME 2019-2020

The Panel considered the report, updating the Panel on the current position of Nottinghamshire Police in respect of its Publication Scheme requirements.

The Panel welcomed the steps being taken to improve performance, notably the resumption of routine publication of Freedom of Information responses temporarily suspended in 2018 due to demand and resource issues.

RESOLVED: 2020/010

That the report be noted.

15) JOINT AUDIT AND SCRUTINY WORK PLAN 2020-2021

RESOLVED: 2020/011

Subject to removing reference to considering the Internal Audit Plan 2020-2021 at its May 2020 meeting, that the Work Plan for 2019-2020 be noted and approved.

16) SUMMARY OF ACTIONS

RESOLVED 2019/062

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

Audit and Inspection Update: A list of Inspection Actions outstanding for more than 2 years to be compiled, to form a basis of for discussion between the Panel Chair and DCC Barber, to take place before the next Panel meeting.

Audit and Inspection Update: the Panel be invited to Force Headquarters to receive the presentation on Nottinghamshire Police Force Restructure.

Audit and Inspection Update: That the GDPR audit report be considered at the May 2020 meeting.

Internal Audit: that the Police and Crime Commissioner make available a MHICFRS report on Collaboration to Panel members, and to circulate to Panel members a draft report on delivery vehicles.

External Audit: To delegate authority to Chair and CFO to recommend approval of 2018-2019 final statement/ISO 26000 and report to the May 2020 meeting.

Work Programme: Remove reference to New Internal Audit Plan 2020-2021 from May 2020 meeting entry.

The meeting concluded at 4.00pm

AUDIT & SCRUTINY PANEL MEETING**Actions arising from previous meetings and progress against action tracker**

	ACTION	ALLOCATED TO	TIMESCALES FOR UPDATES	UPDATE
024	Use of force info graphs and raw data to be brought to a future meeting	DCC Barber	September 2020 (deferred from February 2020)	For consideration at September 2020 meeting, then close
025	Panel to receive an update on the new Force Model at Force HQ	DCC Barber	September 2020 (Deferred from February 2020 and April/May 2020 due to Covid-19)	For consideration at September 2020 meeting, then close
031	GDPR Audit report to be made available at next meeting	CC Guildford	June 2020	For consideration at June 2020 meeting, then close
032	Assurance mapping to include multi-year information on areas with limited assurance	Force		

034	External Audit – Delegation of approval of 2018-2019 final statement/ISA260 to Chair and CFO, with update to next meeting	Chair/CFO	June 2020	Chair and CFO to report to June 2020 meeting
035	Update on how transfer of MFSS back in-house has gone		November 2020?	

Nottinghamshire Police Force Re-structure

ACC Steve Cooper



Summary

The review began in August 2017

- Two geographical policing areas with response and neighbourhoods aligned
- Increase from 11 to 20 Response Bases
- Fit for purpose for 2020 and beyond
- Positive outcomes
- Constantly changing landscape – further evidence based changes

HMRCFRS Value for Money 2017

Found:

- More Inspectors and Chief Inspectors, but less constables
- Net revenue expenditure average, but spend on visible operational front line low
- Allocated and spend less on officers and less per population than MSG
- 3rd busiest Force in the country

Principles

- Hybrid model adaptive to changing demands
- Co-located and locally based operational delivery
- Centrally managed specialist functions
- Clear accountability for quality and performance
- Investment in areas of greatest threat, risk and harm
- Structural change to increase front line resources
- Agile & equipped workforce

Expected benefits

- Improved victim journey, due to locally based teams
- Improved opportunities for early intervention & problem solving
- Increased resource for modern slavery investigations and safeguarding
- Increased resource for cyber prevent and protection
- Increased detective establishment to support burglary investigation
- Changes to rank mix – increase of 59 constables
- Improvement in crime recording at first point of contact
- Increased capacity to identify vulnerability and repeat victims of domestic abuse

Post Implementation Review

This included all operations functions including:

- Local Investigations - Contact Management - Public Protection
- Complex Investigations - Organised Crime
- Archives and Exhibits - Intelligence

- Out of scope and completed elsewhere was:
 - Response Review
 - PCSO Review
 - Transition of OS from EMOpSS
 - SEIO (Schools Officers)
 - Neighbourhoods

Local Policing

- Local Policing Command – City and County
- Neighbourhood Policing, Response and Local Investigations under a single Superintendent
- Detective establishment increased by 26 officers to support burglary
- Establishment of the Knife Crime Team
- 11 constables in the establishment who are schools officers

Contact Management

5x Chief Inspectors manage the demand and resources of the Force and provide 24/7 tactical firearms command cover

Restructure of management saw 10 sergeants introduced to deal with demand earlier

The Real Time Intelligence Unit created within Contact Management

Dispatchers offering flexibility to deploy as either Dispatchers or Customer Service Advisors dependant on demand

Citizens in Policing

This now encompasses the following roles:

Hate Crime Manager & Community Cohesion Manager

Partnership Development Officer

Equality & Diversity Officer Volunteer Co-ordinator

Crime Systems Team CRIM

Established and grew the Street Triage Team – More Officers and Nurses over more hours.

Missing from Home Team – Locally based Officers and Coordinators

Force Support Operations

Post the move from EMOpSS back to OS, the following have been added to establishment;

- Resource Management Unit moved from HR
- Camera Safety Partnership moved from County

Crime and Intelligence

Staffing for Operation Equinox now part of the establishment

Increase in resources for modern slavery investigations and safeguarding increased

Increase in resources for cyber prevent and protect has increased

Prison investigations now mainstreamed

Structure & Management

- 40 fewer Police Officer Supervisors
- 59 New Constable Posts
- Improved VFM supervision profile

Overall Findings

The outcome of the PIR is positive and it is clear that the hybrid model has improved the structural capability to adjust resources to meet demand

- Improved Burglary investigations and reduced crime
- Increase in MS&HT Referrals
- Reduction in Knife Crime & increase in seizures
- Increase in Protect & Prepare for vulnerable fraud & Cyber victims
- Improved Crime Recording – 97% compliance
- Reduction in Victim Based and All crime
- Increase in Satisfaction
- Increase in Confidence

Moving forward

CREST – demand modelling tool – Fraud and PP

Op Uplift – 107 additional officers recruited from 31st March 2020, with more to follow

Fraud Triage System – Efficiency, service & duplication

Burglary – Dedicated Burglary Teams & BEST team (special constables)

Robbery – county wide team working with dedicated Burglary team

For Information	
Public	Yes
Report to:	Office of the Police and Crime Commissioner
Date of Meeting:	30th September 2020
Report of:	Deputy Chief Constable
Report Author:	Chief Inspector Neil Williams
E-mail:	Neil.williams@nottinghamshire.pnn.police.uk
Other Contacts:	Chief Superintendent Robert Griffin
Agenda Item:	6

Nottinghamshire Police Use of Force 2019-2020

1. Purpose of the Report

- 1.1 The purpose of the report is to provide an update following the Joint Audit & Scrutiny meeting held on 29 May 2019, where the action arose from members requesting further data on Use of Force at a future meeting. The update will focus on performance, proportionality and outcome rates for the Force.

2. Recommendations

- 2.1 It is recommended that the contents of this report and appendices are noted.

3. Reasons for Recommendations

- 3.1 To ensure that the PCC is updated and provided with assurance on this area of business.

4. Summary of Key Points

- 4.1 In the 2019-2020 performance year there were 7,086 incidents where use of force was recorded. This is a 30% increase on the previous performance year.
- 4.2 The main area that showed an increase was handcuffing. This was mainly compliant handcuffing that saw a 27% increase in reporting and physical restraint that showed an increase of 32%. The increase in these areas is mainly due to the following:
- During the performance year there was a focus to remind officers that however compliant the subject may be, to physically take hold of someone and use handcuffs is a recordable use of force. This was emphasised through internal circulars within the organisation and a greater emphasis in officer safety training.
 - Processes have been developed to make it easier for officers to record use of handcuffs whilst carrying out a stop and search procedure. The platform for recording stop and search has been adapted to allow a more simple procedure to include the use of force information so an officer only needs to fill in one form rather than two.

- 4.3 The use of irritant spray saw an increase of 25% on the previous year. Towards the end of the performance year Nottinghamshire Police moved their irritant spray product from a CS based spray to a PAVA based option. This was in line with the national picture, with only one force nationally still using CS spray. The rationale for the move is that PAVA is far less flammable than CS options and as such can be used in conjunction with Taser. There is virtually no cross contamination making it safer to use for officers in high risk situations. It should be noted that although the percentage increase is high, the actual figures for using irritant spray are low (actual yearly figure is 34). A small increase in figures can lead to a big percentage increase. Most quarters of the last performance year saw a slight increase in irritant spray usage however the fourth quarter saw the biggest increase in irritant spray use, which was when CS Spray was replaced with PAVA. This indicates an increase in officer confidence to use irritant spray as a tactical option.
- 4.4 TASER usage also saw a significant increase of 49% on the previous year. During the performance year there has been a significant increase in officers trained to carry TASER through Government funding. This has resulted in TASER being more readily available to front line officers as a tactical option to deal with threat and risk particularly from weapons. Although the wider public perception of Taser is that it is a higher level of force used by officers, it is actually a far safer option than other alternatives leading to less injury, such as a baton. This is reflected in the officer and subject injury figures, which is continuing the downward trajectory from the previous year.

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 human resource implications arising from this report.

7. Equality Implications

- 7.1 Appendix 1 details the proportionality of use of force in line with Ethnicity across the population of Nottinghamshire. The document breaks down the tactics recorded for use of force.
- 7.2 For all use of force tactics, the rate of BME subjects where force has been used is 20 per 1000 of the population. The highest category is Black at 51.6 per 1000 of the population.
- 7.3 There are disparities in the recording as it is widely accepted that all use of force is not 100% recorded. Anecdotal evidence would suggest officers will record use of force if it is a requirement of a proactive operation, the incident may lead to a complaint or is in line with another recordable activity (i.e. stop and search). Where BME figures for the population are low, any proactive operation where there is an increased chance of persons with BME origins

being subject to use of force, will disproportionately affect the figures. An example of this is where the Knife Crime Team may work in areas where there is a high gang culture and persons routinely carry knives.

8. Risk Management

- 8.1 Under recording of the use of force continues to be a key risk to the recorded data captured by the organisation and returned to the Home Office. This is not just an issue unique to Nottinghamshire Police but is a national problem with virtually all forces not recording the true amount of force used by their officers.
- 8.2 There were 7,086 use of force incidents recorded by Nottinghamshire Police during the previous performance year. It should be noted that during the same time period there were 18,315 persons arrested by Police Officers. The figures would suggest that 11,229 persons arrested were compliant and no force was used upon arrest. It is a viable assumption that this is not the case as the majority of persons arrested are likely to have handcuffs applied even if compliant to prevent escape or in some circumstances to protect officers and the public which demonstrates the under recording issue.
- 8.3 All officers must record force when it is used by entering a use of force report through Niche. However, this is often viewed as an admin task for data collection and as such is often overlooked.
- 8.4 Over the last 12 months' various initiatives have been used to increase reporting and make officers more compliant including the following:
- The Professional Standards Department have released internal communications following high profile discipline proceedings around use of force highlighting the requirement to complete use of force forms. The focus has been supportive around how the forms are useful to the investigation to allow an early assessment to be completed around rationale for why force was used.
 - Internal communications have been released by the use of force lead highlighting the importance of completing use of force forms from an intelligence angle. The focus has been on collating information around a nominal, particularly their compliance with officers allowing a greater understanding of the risk from that particular subject. The view has been to move away from the culture of the recording being just for statistics, demonstrating the value of the information recorded.
 - Probationer training have developed a package around the use of force process with a role play involving having to consider use of force. This package includes a clear focus on the reporting of the actions that an officer takes and recording their rationale.
 - The organisation has moved away from recording use of force on a stand-alone system and it is now recorded by using a gateway through Niche. This has

made it easier for officers to record use of force as it is a system that they use for crime management and intelligence submissions.

- The senior management team within custody is focusing on the custody sergeants being more inquisitive around use of force at the point of booking persons in to custody. If force has been used by the officer the custody Sergeants will request that officers immediately complete a use of force form and the occurrence number generated by Niche is added to the custody record.

These initiatives have assisted in seeing the 30% increase in reporting during the performance year.

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

- 9.1 A new policy has been written for PAVA. The policies have been scheduled for review in 2022 – 2023.
- 9.2 This piece of work is intrinsically linked to the Police and Crime Plan, particularly the 'Transforming Services and Delivering Quality Policing' priority, which is about improving confidence and satisfaction in policing and securing value for money.

10. Changes in Legislation or other Legal Considerations

- 10.1 The use of force and Personal Protective equipment (PPE) policies have all been updated and now all contain the current legislation and standard operating procedures.

11. Details of outcome of consultation

- 11.1 There has been no consultation in relation to this report, which is intended to update the OPCC on this area of business.

12. Appendices

- 12.1 Appendix A - Use of force Info graphic
- 12.2 Appendix B - Use of Force Proportionality 2019 - 2020

Use of Force

(Apr 19 - Mar 20)

7,086	Use of Force Events
5,207	Handcuffing (Compliant or Non-compliant)
2,660	Physical/Restraint Used
134	Incapacitant (Drawn or used)
389	TASER (Drawn, aimed or fired)

Subject Gender

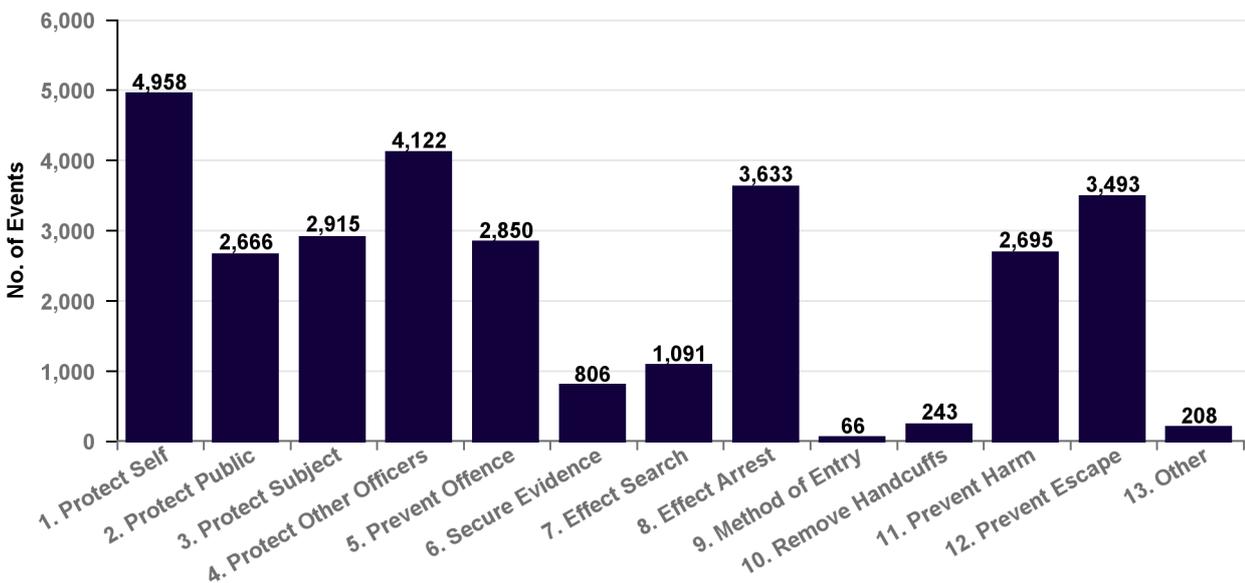
	Female	938
	Male	6,137
	Transgender	0
	Unknown	0

Subject Ethnicity

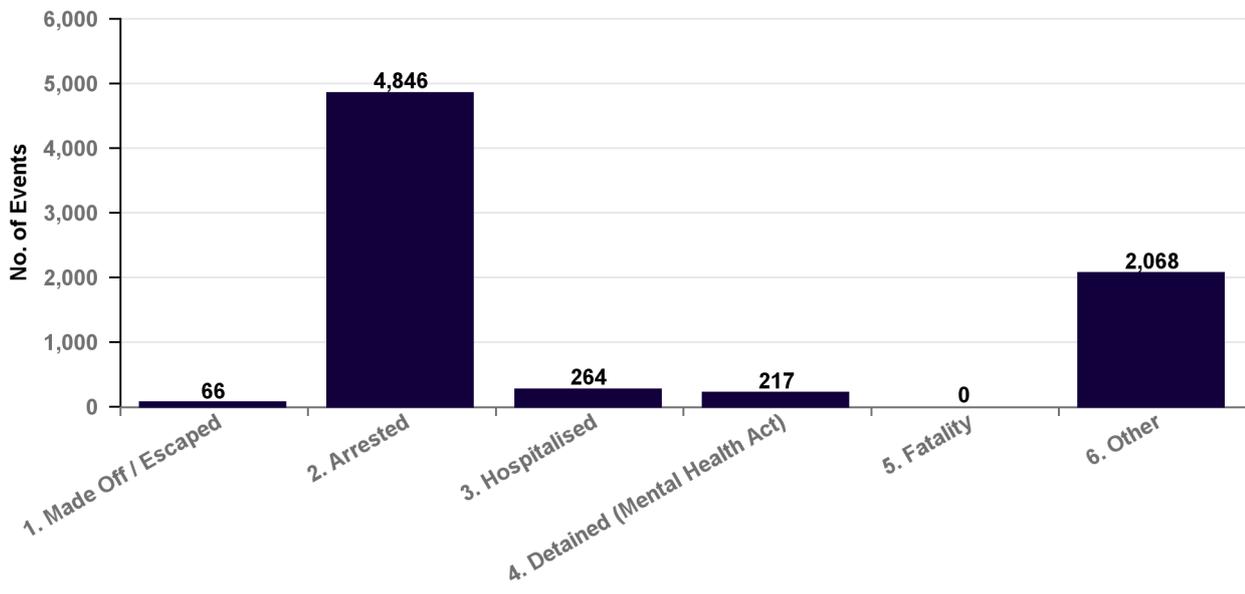
Asian (or Asian British)	450
Black (or Black British)	893
Chinese	4
Multiple Heritages	342
White	5,277
Other	74
Unknown	0

Injury Sustained
 Officer: 8.2%
 Subject: 7.7%

Use of Force by Reason



Use of Force by Outcome



Appendix 2

Use of Force Ethnicity Proportionality 2019 - 2020

- Number – Recorded use of force events 2019 – 2020
- Population – Recorded population of ethnicity in Nottinghamshire
- Rate – Number of use of force recorded against 1000 population.
- Ratio - compares the black/mixed/asian/BAME rate to the white rate.

Force - All Use of Force Tactics

	White	Black	Mixed	Asian or Other	BME
Number	5277	893	342	450	1685
Population	969501	27287	30981	63713	121981
Rate	5.443	32.726	11.039	7.063	13.814
Ratio	-	6.0	2.0	1.3	2.5

Force - C.E.D

	White	Black	Mixed	Asian or Other	BME
Number	312	49	26	15	90
Population	969501	27287	30981	63713	121981
Rate	0.322	1.796	0.839	0.235	0.738
Ratio	-	5.6	2.6	0.7	2.3

Force - Compliant Handcuffing

	White	Black	Mixed	Asian or Other	BME
Number	1473	210	86	154	450
Population	969501	27287	30981	63713	121981
Rate	1.519	7.696	2.776	2.417	3.689
Ratio	-	5.1	1.8	1.6	2.4

Force - Irritant Spray - PAVA Used

	White	Black	Mixed	Asian or Other	BME
Number	13	3	1	1	5
Population	969501	27287	30981	63713	121981
Rate	0.013	0.110	0.032	0.016	0.041
Ratio	-	8.2	2.4	1.2	3.1

Force - Limb/Body Restraints

	White	Black	Mixed	Asian or Other	BME
Number	290	25	8	10	43
Population	969501	27287	30981	63713	121981
Rate	0.299	0.916	0.258	0.157	0.353
Ratio	-	3.1	0.9	0.5	1.2

Force - Non-Compliant Handcuffing

	White	Black	Mixed	Asian or Other	BME
Number	1804	287	90	98	475
Population	969501	27287	30981	63713	121981
Rate	1.861	10.518	2.905	1.538	3.894
Ratio	-	5.7	1.6	0.8	2.1

Force - Other

	White	Black	Mixed	Asian or Other	BME
Number	252	49	13	18	80
Population	969501	27287	30981	63713	121981
Rate	0.260	1.796	0.420	0.283	0.656
Ratio	-	6.9	1.6	1.1	2.5

Force - Other Improvised

	White	Black	Mixed	Asian or Other	BME

Number	712	92	38	48	178
Population	969501	27287	30981	63713	121981
Rate	0.734	3.372	1.227	0.753	1.459
Ratio	-	4.6	1.7	1.0	2.0

Force - Tactical Communications

	White	Black	Mixed	Asian or Other	BME
Number	2876	416	125	174	715
Population	969501	27287	30981	63713	121981
Rate	2.966	15.245	4.035	2.731	5.862
Ratio	-	5.1	1.4	0.9	2.0

Force - Unarmed Skills

	White	Black	Mixed	Asian or Other	BME
Number	2079	277	78	105	460
Population	969501	27287	30981	63713	121981
Rate	2.144	10.151	2.518	1.648	3.771
Ratio	-	4.7	1.2	0.8	1.8

For Information and Decision	
Public/Non Public*	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	30 September 2020
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Helen Henshaw EY
Agenda Item:	7

EXTERNAL AUDIT PLAN 2019-20

1. Purpose of the Report

- 1.1 To provide members with the proposed External Audit Plan covering the audit of the Accounts for 2019-20.
- 1.2 This report provides a detailed plan of proposed work.
- 1.3 This also provides members with details on the proposed audit fee and method statement for delivery of the audit.

2. Recommendations

- 2.1 Members are requested to consider and approve:
 - the External Audit Plan attached at **Appendix A**.
 - the proposed audit fees for the PCC and CC. To also note the intention to increase these fees above that awarded in the contract by PSAA.

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 2019-20. In light of COVID this has been increased this year.

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 Any change of the financial management system is always identified as a risk. The move to Oracle Fusion is currently under close scrutiny.

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

A photograph showing a meeting around a white table. Several people's hands and arms are visible, pointing at documents. A smartphone is on the table. The background is bright and out of focus.

Police and Crime Commissioner and Chief Constable for Nottinghamshire Police

Audit planning report

18 September 2020



Private and Confidential
Police and Crime Commissioner and Chief Constable
Nottinghamshire Police
Nottingham
NG5 6LU

18 September 2020

Audit planning report

We are pleased to present our Audit Plan which sets out how we intend to carry out our responsibilities as auditor. Its purpose is to provide the Corporate Soles and the Joint Audit and Scrutiny Panel with a basis to review our summary audit approach and scope for the 2019/20 audit. We are undertaking our work in accordance with the requirements of the Local Audit and Accountability Act 2014, the National Audit Office's 2015 Code of Audit Practice, the Statement of Responsibilities issued by Public Sector Audit Appointments (PSAA) Ltd, auditing standards and other professional requirements. It is also to ensure that our audit is aligned with the Panel's service expectations.

This plan summarises our initial assessment of the key risks driving the development of an effective audit for the Police and Crime Commissioner (PCC) and Chief Constable (CC), and outlines our planned audit strategy in response to those risks.

This report is intended solely for the information and use of PCC and CC, Joint Audit and Scrutiny panel (JASP) and is not intended to be and should not be used by anyone other than these specified parties.

We welcome the opportunity to discuss this report with you at the upcoming committee meeting as well as understand whether there are other matters which you consider may influence our audit.

Yours faithfully

Helen Henshaw
For and on behalf of Ernst & Young LLP

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Appendices



Public Sector Audit Appointments Ltd (PSAA) issued the "Statement of responsibilities of auditors and audited bodies". It is available from the PSAA website (<https://www.psa.co.uk/audit-quality/statement-of-responsibilities/>). The Statement of responsibilities serves as the formal terms of engagement between appointed auditors and audited bodies. It summarises where the different responsibilities of auditors and audited bodies begin and end, and what is to be expected of the audited body in certain areas.

The "Terms of Appointment and further guidance (updated April 2018)" issued by the PSAA sets out additional requirements that auditors must comply with, over and above those set out in the National Audit Office Code of Audit Practice (the Code) and in legislation, and covers matters of practice and procedure which are of a recurring nature.

This report is made solely to the Police and Crime Commissioner for Nottinghamshire (PCC) and the Chief Constable of Nottinghamshire Police (CC), Joint Audit and Scrutiny Panel (JASP) and management in accordance with the statement of responsibilities. Our work has been undertaken so that we might state to the PCC, CC, JASP and management those matters we are required to state to them in this report and for no other purpose. To the fullest extent permitted by law we do not accept or assume responsibility to anyone other than the PCC, CC, JASP and management for this report or for the opinions we have formed. It should not be provided to any third-party without our prior written consent.



01

Overview of our 2019/20 audit strategy



Overview of our 2019/20 audit strategy

The following 'dashboard' summarises the significant accounting and auditing matters outlined in this report. It seeks to provide the Police and Crime Commissioner (PCC) and Chief Constable (CC) with an overview of our initial risk identification for the upcoming audit and any changes in risks identified in the current year.

Audit risks and areas of focus

Risk / area of focus	Risk identified	Change from PY	Details
Misstatements arising due to fraud or error (PCC& CC)	Fraud risk	No change in risk or focus	As identified in ISA 240, management is in a unique position to perpetrate fraud because of its ability to manipulate accounting records directly or indirectly and prepare fraudulent financial statements by overriding controls that would otherwise appear to be operating effectively.
Risk of fraud in revenue of expenditure recognition: Incorrect capitalization of revenue expenditure (PCC)	Fraud risk	No change in risk or focus	Linking to our fraud risk above we have considered the capitalisation of revenue expenditure on property, plant and equipment as a separate risk, given the extent of the PCC's capital programme. A risk exists that expenditure is inappropriately capitalised in order to inappropriately inflate reported outturn.
Valuation of Property, Plant and Equipment (PCC)	Significant risk	Increase in risk	The fair value of Property, Plant and Equipment (PPE) represent significant balances in the Group's accounts and are subject to valuation changes, impairment reviews and depreciation charges. Management is required to make material judgemental inputs and apply estimation techniques to calculate the year-end balances recorded in the balance sheet. There is a risk that fixed assets may be materially over/under stated.
Valuation of the Police Pension Scheme liability (CC)	Inherent Risk	No change in risk or focus	The estimation of the defined benefit obligations is sensitive to a range of assumptions such as rates of pay and pension inflation, mortality and discount rates. The pension fund valuations separately involve external specialists, to provide these actuarial assumptions. A small movement in these assumptions could have a material impact on the value in the balance sheet.
Valuation of Pension Liabilities - LGPS (PCC & CC)	Inherent Risk	No change in risk or focus	The estimation of the defined benefit obligations is sensitive to a range of assumptions such as rates of pay and pension inflation, mortality and discount rates. The pension fund valuations separately involve external specialists, to provide these actuarial assumptions. A small movement in these assumptions could have a material impact on the value in the balance sheet.

Overview of our 2019/20 audit strategy

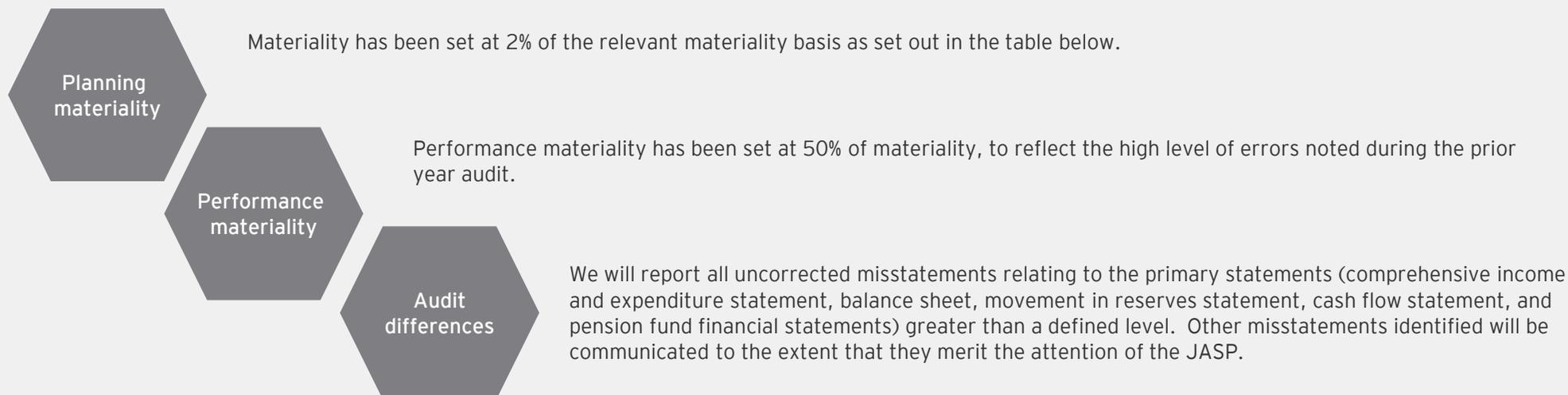
The following 'dashboard' summarises the significant accounting and auditing matters outlined in this report. It seeks to provide the Police and Crime Commissioner (PCC) and Chief Constable (CC) with an overview of our initial risk identification for the upcoming audit and any changes in risks identified in the current year.

Audit risks and areas of focus

Risk / area of focus	Risk identified	Change from PY	Details
Collaborative Arrangements (CC)	Inherent risk	No change in risk or focus	Joint arrangements operate with partners across the East Midlands. There is a risk that the allocation of activity is not correctly recorded in their financial statements.
Private Finance Initiative (PFI) accounting (PCC)	Inherent Risk	Downgraded to Inherent Risk	The PCC has two PFI Schemes, being the provision and maintenance of the Riverside building and the vehicle fleet. Correctly accounting for PFI schemes involves transactions which are derived from operating models for which assumptions and changes need to be updated accurately and reflected in the financial statements. There is a risk that disclosures in the financial statements are not consistent with the assumptions within the PFI operating model. We have downgraded this to inherent risk due to specialist involvement in the prior year audit resulting in a change to accounting policy being applied.

Overview of our 2019/20 audit strategy

Materiality



Entity	Basis of materiality	Planning materiality	Performance materiality	Audit differences
Group	Gross revenue expenditure (excluding non-distributed costs)	£7.49m	£3.74m	£0.374m
PCC	Gross assets	£2.38m	£1.19m	£0.119m
CC	Gross revenue expenditure (excluding non-distributed costs)	£7.29m	£3.65m	£0.365m
Pension Fund	Benefits payable	£1.45m	£0.73m	£0.072m

Overview of our 2019/20 audit strategy

Audit Timetable

Janet Dawson, the UK Government and Public-Sector Assurance Leader for Ernst & Young LLP wrote to all Chief Financial Officers and Audit Committee Chairs for PSAA audited bodies in February 2020 setting out our views on the sustainability of UK local public audit.

At the end of January 2020, 85 organisations had not yet received their audit opinion on the 2018-2019 financial statements. The factors that have led to this unprecedented position are extensive, impact all audit suppliers in the PSAA contract and need to be considered by public sector finance professionals and Audit Committees. In summary, the types of issues and challenges we have seen include:

- Financial reporting and decision making in local government has become increasingly complex.
- Some local authorities have a shortage of financial reporting skills, capabilities and weaknesses in audit readiness (including keeping pace with technological advancement in data management and processing for audit).
- There has been a significant increase in the specialised skills, time and cost required by auditors to address regulatory expectations.
- Public sector auditing has become less attractive as a profession, especially due to the compressed timetable, regulatory pressure and greater compliance requirements. This has contributed to higher attrition rates in our profession over the past year and the shortage of specialist public sector audit staff.

To ensure we deliver the best quality audits, the PSAA, NAO and Local Public Audit Stakeholder forum were informed that we would be scheduling a number of 2019/20 external audits for completion after the initial 31st July 2020 publication deadline. The Nottinghamshire Police audit was scheduled to commence (and has commenced) in August 2020.

In light of the COVID-19 pandemic, changes to the reporting timetables for local authority annual accounts have been released, pushing delivery deadlines back. The target publication date for 31 March 2020 audited accounts is now 30 November 2020.

We are working with management to achieve this revised target date. This will require sufficient dedicated and timely resource being provided by management to respond appropriately and promptly to audit information requests and queries.

Overview of our 2019/20 audit strategy

Audit scope

This Audit Plan covers the work that we plan to perform to provide you with:

- Our audit opinion on whether the financial statements of the PCC (and Group) and CC for Nottinghamshire give a true and fair view of the financial position as at 31 March 2020 and of the income and expenditure for the year then ended; and
- Our conclusion on the PCC and CC's arrangements to secure economy, efficiency and effectiveness.

We will also review and report to the National Audit Office (NAO), to the extent and in the form required by them, on the PCC's and CC's Whole of Government Accounts return.

Our audit will also include the mandatory procedures that we are required to perform in accordance with applicable laws and auditing standards.

When planning the audit we take into account several key inputs:

- Strategic, operational and financial risks relevant to the financial statements;
- Developments in financial reporting and auditing standards;
- The quality of systems and processes;
- Changes in the business and regulatory environment; and,
- Management's views on all of the above.

By considering these inputs, our audit is focused on the areas that matter and our feedback is more likely to be relevant to the PCC and CC.

Taking the above into account, and as articulated in this audit plan, our professional responsibilities require us to independently assess the risks associated with providing an audit opinion and undertake appropriate procedures in response to that. Our Terms of Appointment with PSAA allow them to vary the fee dependent on "the auditors assessment of risk and the work needed to meet their professional responsibilities". PSAA are aware that the setting of scale fees has not kept pace with the changing requirements of external audit with increased focus on, for example, the valuations of land and buildings, the auditing of groups, the valuation of pension obligations, the introduction of new accounting standards such as IFRS 9 and 15 in recent years as well as the expansion of factors impacting the value for money conclusion. Therefore to the extent any of these or any other risks are relevant in the context of the PCC and CC for Nottinghamshire audit, we will discuss these with management as to the impact on the scale fee.

Audit team changes

Key changes to our team.



Engagement Partner - Helen Henshaw

Helen has over twenty years of audit experience working for EY with significant experience across both the public and private sector. Helen will take over the Engagement Lead role from Neil Harris.



Gary Morris - Manager

Gary Morris has significant experience in public sector audit, and is taking over managing the audit from Chris Hewitt.



02 Audit risks



Our response to significant risks

Misstatements due to fraud or error (PCC & CC)

What is the risk?

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

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

In undertaking our fraud risk assessment we have not identified any specific risks for inclusion in our audit plan at this stage. We will continue to monitor this and provide you with an update as required.

What will we do?

We will;

- ▶ Identify fraud risks during the planning stages.
- ▶ Inquire of management about risks of fraud and the controls put in place to address those risks.
- ▶ Understand the oversight given by those charged with governance of management's processes over fraud.
- ▶ Consider the effectiveness of management's controls designed to address the risk of fraud.
- ▶ Determine an appropriate strategy to address those identified risks of fraud.
- ▶ Performing mandatory procedures regardless of specifically identified fraud risks, including:
 - ▶ testing of journal entries and other adjustments in the preparation of the financial statements;
 - ▶ assessing accounting estimates for evidence of management bias; and
 - ▶ evaluating the business rationale for significant unusual transactions.

Audit risks

Our response to significant risks (continued)

Risk of fraud in revenue and expenditure recognition

- Incorrect capitalisation of Revenue Expenditure (PCC)

What is the risk?

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

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

Misstatements that occur in relation to this risk may impact the following significant accounts:

Valuation of PPE (specifically in relation to PPE additions) and completeness of expenditure since incorrectly capitalised expenditure will mean that the expenditure figure in the CIES is not complete.

What will we do?

As part of our walkthrough procedures we will evaluate the controls in relation to processes around the capitalisation of PPE.

We will also obtain an understanding of management's criteria for capitalisation of expenditure and of review whether these are appropriate.

For capital expenditure incurred in 2019/20, we will undertake additional procedures to address the specific risk we have identified, which will focus around Increased sample testing additions to property, plant and equipment.

We will ensure that all additions that we randomly select for testing have been correctly classified as capital and included at the correct value in order to ensure that fixed assets are not materially overstated as a result of inappropriate capitalisation of revenue expenditure.

Our response to significant risks (continued)

Valuation of Property, Plant and Equipment (PCC)

What is the risk?

The fair value of Property, Plant and Equipment including assets held for sale, represent significant balances in the Group and PCC sole accounts and are subject to valuation changes, impairment reviews and depreciation charges.

Management is required to make material judgemental inputs and apply estimation techniques to calculate the year-end balances recorded in the balance sheet.

This has been assessed as a significant risk in this financial year due to errors noted in the previous year coupled with the impact of Covid-19 on the valuation of assets on 31-03-2020.

Misstatements that occur in relation to this risk may impact the following significant accounts: Property, Plant and Equipment, and Assets held for Sale since changes in asset values will affect the balances of these accounts at year end. We do not believe that this significant risk of material misstatement impacts investment property valuation as the level of investment property held is so low.

What will we do?

We will:

- ▶ Consider the work performed by the PCC's valuers, including the adequacy of the scope of the work performed, their professional capabilities and the results of their work;
- ▶ Sample test key asset information used by the valuers in performing their valuation (e.g. floor plans to support valuations based on price per square metre);
- ▶ Consider the annual cycle of valuations to ensure that assets have been valued within a 5 year rolling programme as required by the Code for PPE. We also consider if there are any specific changes to assets that have occurred and that these have been communicated to the valuer;
- ▶ Review assets not subject to valuation in 2019/20 to confirm that the remaining asset base is not materially misstated;
- ▶ Use EY valuation specialists to review a sample of asset valuations and the underlying assumptions and valuation basis used;
- ▶ Consider changes to useful economic lives as a result of the most recent valuation; and
- ▶ Test accounting entries have been correctly processed in the financial statements.

Audit risks

Other areas of audit focus

We have identified other areas of the audit, that have not been classified as significant risks, but are still important when considering the risks of material misstatement to the financial statements and disclosures and therefore may be key audit matters we will include in our audit report.

What is the risk/area of focus?	Our audit approach (Local Government Scheme)	Our audit approach (Police Pension Scheme)
<p>Pension Liability Valuation</p> <p>The Local Authority Accounting Code of Practice and IAS19 require extensive disclosures within the financial statements regarding membership of the Local Government Pension Scheme administered by Nottinghamshire County Council and membership of the Police Pension Scheme administered and underwritten by HM Government.</p> <p>The pension fund deficit is a material estimated balance and the Code requires that this liability be disclosed on the balance sheet.</p> <p>Accounting for the schemes involve significant estimation and judgement and therefore management engages an actuary to undertake the calculations on their behalf. ISAs (UK) 500 and 540 require us to undertake procedures on the use of management experts and the assumptions underlying fair value estimates.</p> <p>The impact of Covid-19 on the financial markets and values of securities could have a material impact on the pension fund which holds most value in securities and other investments.</p>	<p>We will:</p> <ul style="list-style-type: none"> • Update our documentation of management’s processes and controls over pension expenditure and deduction of employer and employee contributions; • Liaise with the auditors of Nottinghamshire Pension Fund, to obtain assurances over the information supplied to the actuary in relation to Nottinghamshire Police; • Review the work of the Local Government actuary (Hymans Robertson LLP) and the Police Pension actuary including the assumptions they have used by relying on the work of PWC - Consulting Actuaries commissioned by Public Sector Auditor Appointments for all Local Government sector auditors, and considering any relevant reviews by the EY actuarial team to ensure they are in our expected range; • Review and test the accounting entries and disclosures made within the PCC and CC’s financial statements to ensure consistency with the IAS 19 entries in both actuarial reports; and • Review the process of quantifying the effect of equalisation by the pension fund, including from detailed and ‘granular’ calculations of the actuaries. 	<p>We will:</p> <ul style="list-style-type: none"> ▶ Understand how the CC is considering the impact of McCloud and Sargeant on the financial statements arising from the employment tribunals, any resulting consultations and other pronouncements from government on restitution. ▶ Assess the work of the actuary (GAD) including the assumptions they have used by relying on the work of PwC - Consulting Actuaries commissioned by the National Audit Office for all Local Government sector auditors, and considering any relevant reviews by the EY actuarial team; ▶ Understand and consider the PwC report for how your actuary has treated the impact of McCloud and Sargeant in calculating the IAS 19 liability and for any impact on the triennial revaluation; ▶ Review and test the accounting entries and disclosures made within the financial statements in relation to IAS19; ▶ Gain assurance over data that has been provided to the actuaries; ▶ Test a sample of lump sums and pension payments for new police pensioners; ▶ Complete a predictive analytical review for both the pensions payroll and employees and employers pension contributions; and ▶ Assess management’s arrangements to reconcile the active and pensioner membership numbers.

Audit risks

Other areas of audit focus

We have identified other areas of the audit, that have not been classified as significant risks, but are still important when considering the risks of material misstatement to the financial statements and disclosures and therefore may be key audit matters we will include in our audit report.

What is the risk/area of focus?

Collaborative Arrangements (CC)

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

What will we do?

In order to address the risk we will:

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

Private Finance Initiative (PFI) accounting (PCC)

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

In order to address the risk we will:

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

Other areas of audit focus

We have identified other areas of the audit, that have not been classified as significant risks, but are still important when considering the risks of material misstatement to the financial statements and disclosures and therefore may be key audit matters we will include in our audit report.

What is the risk/area of focus?

Going Concern Compliance with ISA 570

This auditing standard has been revised in response to enforcement cases and well-publicised corporate failures where the auditor's report failed to highlight concerns about the prospects of entities which collapsed shortly after.

The revised standard is effective for audits of financial statements for periods commencing on or after 15 December 2019, which will be the audit of the 2020/21 financial statements. The revised standard increases the work we are required to perform when assessing whether the entity is a going concern. It means UK auditors will follow significantly stronger requirements than those required by current international standards; and we have therefore judged it appropriate to bring this to the attention of the Audit Committee.

The CIPFA Guidance Notes for Practitioners 2019/20 accounts states 'The concept of a going concern assumes that an authority's functions and services will continue in operational existence for the foreseeable future. The provisions in the Code in respect of going concern reporting requirements reflect the economic and statutory environment in which local authorities operate. These provisions confirm that, as authorities cannot be created or dissolved without statutory prescription, they must prepare their financial statements on a going concern basis of accounting.'

'If an authority were in financial difficulty, the prospects are thus that alternative arrangements might be made by central government either for the continuation of the services it provides or for assistance with the recovery of a deficit over more than one financial year. As a result of this, it would not therefore be appropriate for local authority financial statements to be provided on anything other than a going concern basis.'

What will we do?

The revised standard requires:

- ▶ auditor's challenge of management's identification of events or conditions impacting going concern, more specific requirements to test management's resulting assessment of going concern, an evaluation of the supporting evidence obtained which includes consideration of the risk of management bias;
- ▶ greater work for us to challenge management's assessment of going concern, thoroughly test the adequacy of the supporting evidence we obtained and evaluate the risk of management bias. Our challenge will be made based on our knowledge of the Authority obtained through our audit, which will include additional specific risk assessment considerations which go beyond the current requirements;
- ▶ improved transparency with a new reporting requirement for public interest entities, listed and large private companies to provide a clear, positive conclusion on whether management's assessment is appropriate, and to set out the work we have done in this respect. While the PCC and CC are not one of the three entity types listed, we will ensure compliance with any updated reporting requirements;
- ▶ a stand back requirement to consider all of the evidence obtained, whether corroborative or contradictory, when we draw our conclusions on going concern; and
- ▶ necessary consideration regarding the appropriateness of financial statement disclosures around going concern.

The revised standard extends requirements to report to regulators where we have concerns about going concern.

We will discuss the detailed implications of the new standard with finance staff during 2019/20 ahead of its application for 2020/21.

Other areas of audit focus (continued)

Impact of Covid-19

The ongoing disruption to daily life and the economy as a result of the Covid-19 virus will have a pervasive impact upon the financial statements. Understandably, the priority for the PCC and CC to date has been to ensure the safety of staff and the delivery of business critical activities. However, the financial statements will need to reflect the impact of Covid-19 on the PCC and CC's financial position and performance. Due to the significant uncertainty about the duration and extent of disruption, at this stage we have not identified specific risks related to Covid-19, but wish to highlight the wide range of ways in which it could impact the financial statements. These may include, but not be limited to:

- ▶ **Going concern** - management's assessment of whether the PCC and CC is a going concern will need to consider the impact of the current conditions on the Council's future performance. Additional narrative disclosure will be required, including on the future principal risks and uncertainties, including the impact on operations for 2020/21 and beyond.
- ▶ **Revenue recognition** - there may be an impact on income collection if businesses and residents are unable to work and earn income due to the lockdown and restriction of movement due to COVID-19.
- ▶ **Tangible assets** - there may be impairment of tangible assets if future service potential is reduced by the economic impact of the virus. The PCC and CC may also have already incurred capital costs on projects where the economic case has fundamentally changed.
- ▶ **Pensions** - volatility in the financial markets is likely to have a significant impact on pension assets, and therefore net liabilities.
- ▶ **Receivables** - there may be an increase in amounts written off as irrecoverable and impairment of year-end balances due to the increased number of businesses and residents unable to meet their financial obligations.
- ▶ **Holiday and sickness pay** - the change in working patterns may result in year-end staff pay accruals which are noticeably different to prior years.
- ▶ **Government support** - any Covid-19 specific government support is likely to be a new transaction stream and may require development of new accounting policies and treatments.
- ▶ **Annual Governance Statement** - the widespread use of home working is likely to change the way internal controls operate. The Annual Governance Statement will need to capture how the control environment has changed during the period and what steps were taken to maintain a robust control environment during the disruption. This will also need to be considered in the context of internal audit's ability to issue their Head of Internal Audit opinion for the year, depending on the ability to complete the remainder of the internal audit programme.

In addition to the impact on the financial statements themselves, the disruption caused by Covid-19 may impact on management's ability to service the external audit requirements in a timely manner. For example, it may be more difficult than usual to access the supporting documentation necessary to support our audit procedures. There will be additional audit procedures we have to perform to respond to the additional risks caused by the factors noted above.



03

Value for Money Risks





Value for Money

Background

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

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

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

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

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

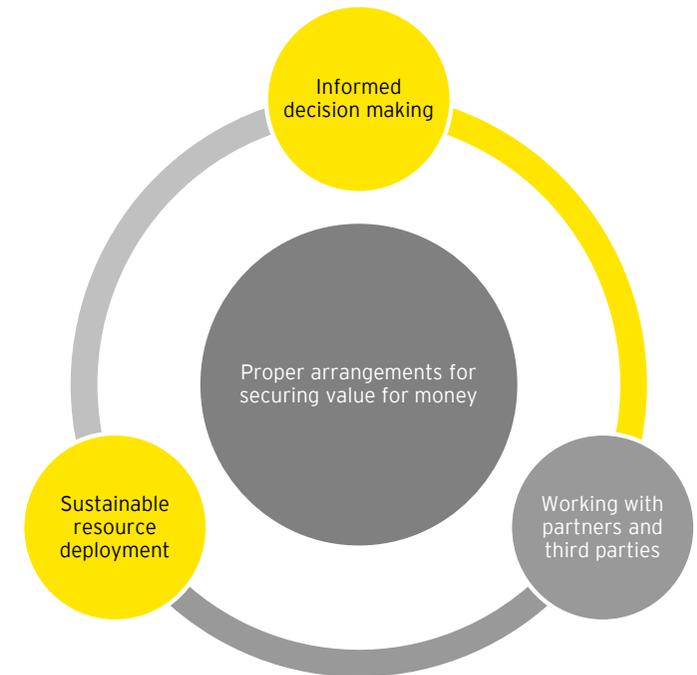
In considering your proper arrangements, we will draw on the requirements of the CIPFA/SOLACE framework for local government to ensure that our assessment is made against a framework that you are already required to have in place and to report on through documents such as your annual governance statement.

We are only required to determine whether there are any risks that we consider significant, which the Code of Audit Practice defines as:

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

Our risk assessment supports the planning of sufficient work to enable us to deliver a safe conclusion on arrangements to secure value for money and enables us to determine the nature and extent of further work that may be required. If we do not identify any significant risks there is no requirement to carry out further work. We consider business and operational risks insofar as they relate to proper arrangements at both sector and organisation-specific level. In 2019/20 this has included consideration of the steps taken by Nottinghamshire Police to consider the impact of both COVID-19 and Brexit on its future service provision, medium-term financing and investment values. Although the precise impact cannot yet be modelled, we anticipate that Authorities will be carrying out scenario planning and that COVID-19 and Brexit and their impact may feature on operational risk registers.

Our risk assessment has therefore considered both the potential financial impact of the issues we have identified, and also the likelihood that the issue will be of interest to local taxpayers, the Government and other stakeholders. This has resulted in the identification of the significant risks noted on the following pages which we view as relevant to our value for money conclusion.





Value for Money Risks

What arrangements does the risk affect?	What is the significant value for money risk?	What will we do?
<p>Multi-Force Shared Services (MFSS) The Multi-Force Shared Services (MFSS) provides transactional back office services to Cheshire, Nottinghamshire and Northamptonshire Police and the Civil Nuclear Authority.</p> <p>The adequacy of arrangements for governance and risk management of MFSS and specifically the implementation of Project Fusion have been raised as Value for Money significant risks in prior years - resulting in 'except for' conclusions.</p>	<p>Take informed decisions</p> <p>Deploy resources in a sustainable manner</p> <p>Working with partners and other third parties</p>	<p>We will follow-up on our prior year except for qualification on the governance arrangements for MFSS and the implementation of Project Fusion.</p> <p>We will seek to understand whether the Force has put in place a collaboration strategy or other mechanisms to provide legitimacy, structure, governance and a clear direction of travel to the work of both PCC, Management, JASP Members, the wider public and stakeholders.</p> <p>We will review the completeness of the risk register maintained in respect of MFSS and the arrangements in place to address the risks identified.</p>
<p>Joint Headquarters with Nottinghamshire Fire</p> <p>In September 2018 and February 2019, Members approved the development of a business case for a joint Fire and Police Headquarters at Sherwood Lodge, Arnold through a Limited Liability Partnership (LLP) for a joint headquarters site.</p> <p>The total estimated costs for the redevelopment of Sherwood Lodge is circa £18.5m, of which Nottinghamshire Police is to contribute £14.8m over the next three years according to it's capital programme.</p> <p>In progressing significant projects there are risks around the arrangements for governance and coming to an informed decision.</p>	<p>Take informed decisions</p> <p>Acting in the public interest, through demonstrating and applying the principles and values of sound governance</p>	<p>We plan to review:</p> <ul style="list-style-type: none"> • The considerations undertaken in relation to the taxation and legal guidance relating to the governance delivery options for the joint headquarters arrangements. • The effectiveness of the decision making framework including decision making in partnerships, the information provided to decision makers and the robustness of data quality. • The extent to which the impact of the joint headquarters project is reflected in the MTFP.
<p>Management of contracts to ensure value for money in the provision of core services used in operational policing</p> <p>We are aware that the CC is in the process of making a significant decision in respect of one existing contract over operational police matters.</p>	<p>Take informed decisions</p> <p>Deploy resources in a sustainable manner</p>	<p>We plan to review:</p> <ul style="list-style-type: none"> • The arrangements in place for measuring the performance of this contract and ensuring that it is delivered in accordance with defined contractual outcomes.



Value for Money Risks

What arrangements does the risk affect?	What is the significant value for money risk?	What will we do?
<p>Arrangements for financial reporting</p> <p>There is currently an indication of weaknesses in the structure, continuity and ability of the finance function within the authority. This is evidenced by the fact that the senior accountant position is currently held by a contractor and has been so for over 12 months.</p> <p>This gives rise to a significant risk in respect of the quality, reliability, and accuracy of financial information on which key judgements and decisions are being made.</p>	<p>Take informed decisions</p> <p>Deploy resources in a suitable manner</p>	<p>We plan to review:</p> <ul style="list-style-type: none"> • Management’s plans to address the issues with the resourcing of the finance team; and • Evidence as to whether the authority provides timely support, information and responses to external and internal auditors and properly considers audit findings and recommendations.
<p>Securing financial resilience</p> <p>In common with other Police bodies, the PCC and CC is facing significant financial pressures in the medium term.</p> <p>Although the PCC and CC forecast to breakeven for 2019/20, following the confirmation of the 2020/21 funding settlement and assuming no increase in precept the PCC and CC are forecasting deficits in the medium term.</p> <p>Given the uncertainty of the funding settlement post 2020/21 and the financial pressures set out above, we have considered this to be a significant area of focus in forming our value for money conclusion.</p>	<p>Deploy resources in a sustainable manner.</p> <p>Planning finances effectively to support the sustainable delivery of strategic priorities and maintain statutory functions</p>	<p>We plan to review:</p> <ul style="list-style-type: none"> ▶ the MTFS including the adequacy of any major assumptions; ▶ how the organisation has monitored progress of strategic delivery plans; ▶ how the PCC and CC has considered the impact of the Local Government settlement on the MTFS; and ▶ the adequacy of plans that have been developed to identify future savings and the level of reported savings delivered in year.



04

Audit materiality

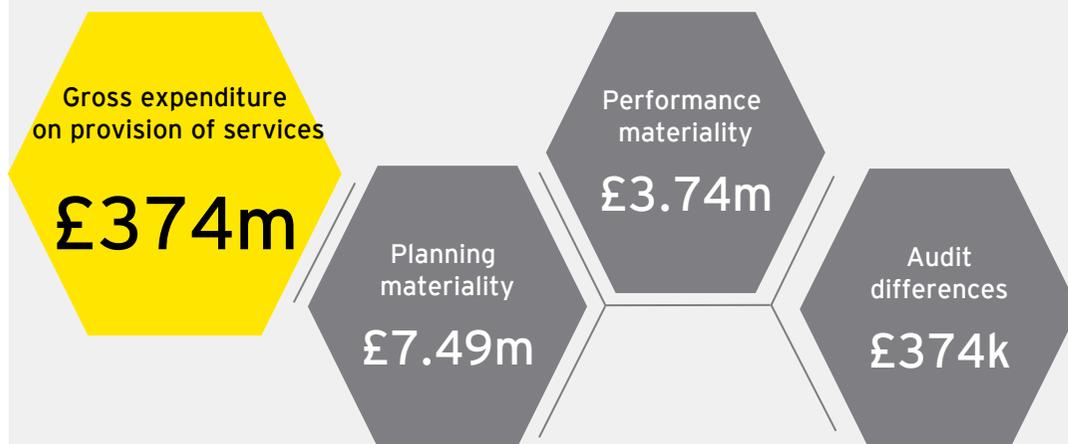


Materiality

Materiality

For planning purposes, materiality for the Group, PCC and CC Single Entity for 2019/20 has been set at £7.49m, £2.38m & £7.29m respectively. This represents 2% of the Group and CC Single Entity's 2019/20 draft gross expenditure on provision of services (excluding non-distributed costs). Materiality for the PCC Single Entity has been set at 2% of the PCC Single Entity's prior year gross assets. Materiality for the Police Pension Fund has been set at 2% of the draft 2019/20 benefits payable of the Police Pension Fund. It will be reassessed throughout the audit process.

We have provided supplemental information about audit materiality in Appendix D.



We request that the PCC and CC confirm their understanding of, and agreement to, these materiality and reporting levels.

Key definitions

Planning materiality - the amount over which we anticipate misstatements would influence the economic decisions of a user of the financial statements.

Performance materiality - the amount we use to determine the extent of our audit procedures. We have set performance materiality for the Group, PCC and CC Single Entity Accounts & Police Pension Fund at £3.74m, £1.19m, £3.65m & £0.726m which represents 50% of planning materiality.

Audit difference threshold - we propose that misstatements identified below this threshold are deemed clearly trivial. The same threshold for misstatements is used for component reporting. We will report to you all uncorrected misstatements over this amount relating to the comprehensive income and expenditure statement, balance sheet and the police pension fund financial statements that have an effect on income or that relate to other comprehensive income.

Other uncorrected misstatements, such as reclassifications and misstatements in the cashflow statement and movement in reserves statement or disclosures, and corrected misstatements will be communicated to the extent that they merit the attention of the JASP, or are important from a qualitative perspective.

Specific materiality - We set specific level of materiality for related party transactions and members' allowances. For officers remuneration including exit packages we will apply materiality of £5,000 in line with bandings. This reflects our understanding that an amount less than our materiality would influence the economic decisions of users of the financial statements in relation to these disclosures.



05

Scope of our audit



Our Audit Process and Strategy

Objective and Scope of our Audit scoping

Under the Code of Audit Practice our principal objectives are to review and report on the PCC and CC's financial statements and arrangements for securing economy, efficiency and effectiveness in their use of resources to the extent required by the relevant legislation and the requirements of the Code.

We issue an audit report that covers:

1. Financial statement audit

Our objective is to form an opinion on the financial statements under International Standards on Auditing (UK and Ireland).

We also perform other procedures as required by auditing, ethical and independence standards, the Code and other regulations. We outline below the procedures we will undertake during the course of our audit.

Procedures required by standards

- Addressing the risk of fraud and error;
- Significant disclosures included in the financial statements;
- Entity-wide controls;
- Reading other information contained in the financial statements and reporting whether it is inconsistent with our understanding and the financial statements; and
- Auditor independence.

Procedures required by the Code

- Reviewing, and reporting on as appropriate, other information published with the financial statements, including the Annual Governance; and
- Reviewing and reporting on the Whole of Government Accounts return, in line with the instructions issued by the NAO

2. Arrangements for securing economy, efficiency and effectiveness (value for money)

We are required to consider whether the PCC and CC has put in place 'proper arrangements' to secure economy, efficiency and effectiveness on their use of resources.

Our Audit Process and Strategy (continued)

Audit Process Overview

Our audit involves:

- ▶ Identifying and understanding the key processes and internal controls; and
- ▶ Substantive tests of detail of transactions and amounts.

For 2019/20 we plan to follow a substantive approach to the audit as we have concluded this is the most efficient way to obtain the level of audit assurance required to conclude that the financial statements are not materially misstated.

Analytics:

We will use our computer-based analytics tools to enable us to capture whole populations of your financial data, in particular journal entries. These tools:

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

We will report the findings from our process and analytics work, including any significant weaknesses or inefficiencies identified and recommendations for improvement, to management and the Joint Independent Audit Committee.

Internal audit:

We will meet with the Head of Internal Audit, and review internal audit plans and the results of their work. We will reflect the findings from these reports, together with reports from any other work completed in the year, in our detailed audit plan, where they raise issues that could have an impact on the financial statements.

Group audit team involvement in component audits

The same audit team will work on the CC, PCC and group and Police Pension Fund accounts. We will work from the same location to audit the accounts.

Scope of our audit

Scoping the group audit

Group scoping

Our audit strategy for performing an audit of an entity with multiple locations is risk based. We identify components as:

- 1. Significant components:** A component is significant when it is likely to include risks of material misstatement of the group financial statements, either because of its relative financial size to the group (quantitative criteria), or because of its specific nature or circumstances (qualitative criteria). We generally assign significant components a full or specific scope given their importance to the financial statements.
- 2. Not significant components:** The number of additional components and extent of procedures performed depended primarily on: evidence from significant components, the effectiveness of group wide controls and the results of analytical procedures.

Our preliminary audit scoping has identified 2 significant components and 0 non-significant components.

Scoping by entity and scope definitions

2

Full scope: locations where a full audit is performed to the materiality levels assigned by the Group audit team for purposes of the consolidated audit. Procedures performed at full scope locations support an interoffice conclusion on the reporting package. These may not be sufficient to issue a stand-alone audit opinion on the local statutory financial statements because of the materiality used and any additional procedures required to comply with local laws and regulations. This scope is relevant to the PCC and CC as single entities.

Group audit team involvement in component audits

Auditing standards require us to be involved in the work of our component teams.

The same EY audit team will audit both the Group, PCC and CC financials statements.



06

Audit team



Audit team

Use of specialists

When auditing key judgements, we are often required to rely on the input and advice provided by specialists who have qualifications and expertise not possessed by the core audit team. The areas where either EY or third party specialists may provide input for the current year audit are:

Area	Specialists
Valuation of Land and Buildings	EY Real Estates Team
Pensions disclosure	EY Pensions Advisory Team

In accordance with Auditing Standards, we will evaluate each specialist's professional competence and objectivity, considering their qualifications, experience and available resources, together with the independence of the individuals performing the work.

We also consider the work performed by the specialist in light of our knowledge of the PCC and CC's business and processes and our assessment of audit risk in the particular area. For example, we would typically perform the following procedures:

- ▶ Analyse source data and make inquiries as to the procedures used by the specialist to establish whether the source data is relevant and reliable;
- ▶ Assess the reasonableness of the assumptions and methods used;
- ▶ Consider the appropriateness of the timing of when the specialist carried out the work; and
- ▶ Assess whether the substance of the specialist's findings are properly reflected in the financial statements.



07

Audit timeline





Audit timeline

Timetable of communication and deliverables

Timeline

Below is a timetable showing the key stages of the audit and the deliverables we have agreed to provide to you through the audit cycle in 2019/20.

From time to time matters may arise that require immediate communication with the PCC and CC and we will discuss them with the JASP Chair as appropriate. We will also provide updates on corporate governance and regulatory matters as necessary.

Audit phase	Timetable	Audit committee timetable	Deliverables
Planning: Risk assessment and setting of scopes.	June 2020		
Walkthrough of key systems and processes	June 2020		
Year end audit: Audit Completion procedures	September - October 2020	September JASP.	Audit Planning Report
Conclusion	November 2020	November JASP	Audit Results Report Audit opinions and completion certificates Annual Audit Letter



08

Independence



Introduction

The FRC Ethical Standard and ISA (UK) 260 “Communication of audit matters with those charged with governance”, requires us to communicate with you on a timely basis on all significant facts and matters that bear upon our integrity, objectivity and independence. The Ethical Standard, as revised in June 2016, requires that we communicate formally both at the planning stage and at the conclusion of the audit, as well as during the course of the audit if appropriate. The aim of these communications is to ensure full and fair disclosure by us to those charged with your governance on matters in which you have an interest.

Required communications

Planning stage	Final stage
<ul style="list-style-type: none"> ▶ The principal threats, if any, to objectivity and independence identified by Ernst & Young (EY) including consideration of all relationships between the you, your affiliates and directors and us; ▶ The safeguards adopted and the reasons why they are considered to be effective, including any Engagement Quality review; ▶ The overall assessment of threats and safeguards; ▶ Information about the general policies and process within EY to maintain objectivity and independence. ▶ Where EY has determined it is appropriate to apply more restrictive independence rules than permitted under the Ethical Standard [note: additional wording should be included in the communication reflecting the client specific situation] 	<ul style="list-style-type: none"> ▶ In order for you to assess the integrity, objectivity and independence of the firm and each covered person, we are required to provide a written disclosure of relationships (including the provision of non-audit services) that may bear on our integrity, objectivity and independence. This is required to have regard to relationships with the entity, its directors and senior management, its affiliates, and its connected parties and the threats to integrity or objectivity, including those that could compromise independence that these create. We are also required to disclose any safeguards that we have put in place and why they address such threats, together with any other information necessary to enable our objectivity and independence to be assessed; ▶ Details of non-audit services provided and the fees charged in relation thereto; ▶ Written confirmation that the firm and each covered person is independent and, if applicable, that any non-EY firms used in the group audit or external experts used have confirmed their independence to us; ▶ Written confirmation that all covered persons are independent; ▶ Details of any inconsistencies between FRC Ethical Standard and your policy for the supply of non-audit services by EY and any apparent breach of that policy; ▶ Details of any contingent fee arrangements for non-audit services provided by us or our network firms; and ▶ An opportunity to discuss auditor independence issues.

In addition, during the course of the audit, we are required to communicate with you whenever any significant judgements are made about threats to objectivity and independence and the appropriateness of safeguards put in place, for example, when accepting an engagement to provide non-audit services.

We also provide information on any contingent fee arrangements, the amounts of any future services that have been contracted, and details of any written proposal to provide non-audit services that has been submitted;

We ensure that the total amount of fees that EY and our network firms have charged to you and your affiliates for the provision of services during the reporting period, analysed in appropriate categories, are disclosed.

Relationships, services and related threats and safeguards

We highlight the following significant facts and matters that may be reasonably considered to bear upon our objectivity and independence, including the principal threats, if any. We have adopted the safeguards noted below to mitigate these threats along with the reasons why they are considered to be effective. However we will only perform non-audit services if the service has been pre-approved in accordance with your policy.

Overall Assessment

Overall, we consider that the safeguards that have been adopted appropriately mitigate the principal threats identified and we therefore confirm that EY is independent and the objectivity and independence of Helen Henshaw, your audit engagement associate partner and the audit engagement team have not been compromised.

Self interest threats

A self interest threat arises when EY has financial or other interests in the PCC and/or CC. Examples include where we receive significant fees in respect of non-audit services; where we need to recover long outstanding fees; or where we enter into a business relationship with you. At the time of writing, there are no long outstanding fees.

We believe that it is appropriate for us to undertake permissible non-audit services and we will comply with the policies that you have approved.

None of the services are prohibited under the FRC's ES or the National Audit Office's Auditor Guidance Note 01 and the services have been approved in accordance with your policy on pre-approval. The ratio of non-audit fees to audit fees is not permitted to exceed 70%.

At the time of writing, the current ratio of non-audit fees to audit fees is approximately nil. No additional safeguards are required.

A self interest threat may also arise if members of our audit engagement team have objectives or are rewarded in relation to sales of non-audit services to you. We confirm that no member of our audit engagement team, including those from other service lines, has objectives or is rewarded in relation to sales to you, in compliance with Ethical Standard part 4.

There are no other self interest threats at the date of this report.

Self review threats

Self review threats arise when the results of a non-audit service performed by EY or others within the EY network are reflected in the amounts included or disclosed in the financial statements.

There are no self review threats at the date of this report.

Relationships, services and related threats and safeguards

Management threats

Partners and employees of EY are prohibited from taking decisions on behalf of management of the PCC and/or CC Management threats may also arise during the provision of a non-audit service in relation to which management is required to make judgements or decision based on that work.

There are no management threats at the date of this report.

Other threats

Other threats, such as advocacy, familiarity or intimidation, may arise.

There are no other threats at the date of this report.

New UK Independence Standards

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

Summary of key changes

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

Next Steps

We will continue to monitor and assess all ongoing and proposed non-audit services and relationships to ensure they are permitted under FRC Revised Ethical Standard 2016 which will continue to apply until 31 March 2020 as well as the recently released FRC Revised Ethical Standard 2019 which will be effective from 1 April 2020.

We are aware that the PCC and CC for Nottinghamshire do not class as Public Interest Entities however we will continue to monitor the revised standards to ensure that EY continue to remain compliant with all FRC Standards.

Other communications

EY Transparency Report 2019

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

Details of the key policies and processes in place within EY for maintaining objectivity and independence can be found in our annual Transparency Report which the firm is required to publish by law. The most recent version of this Report is for the year ended 1 July 2018 and can be found here:

https://www.ey.com/en_uk/who-we-are/transparency-report-2019



09

Appendices



Appendix A

Fees

Public Sector Audit Appointments Ltd (PSAA) has published the fee scale for the audit of the 2019/20 accounts of opted-in principal local government and police bodies. This is defined as the fee required by auditors to meet statutory responsibilities under the Local Audit and Accountability Act 2014 in accordance with the requirements of the Code of Audit Practice and supporting guidance published by the National Audit Office, the financial reporting requirements set out in the Code of Practice on Local Authority Accounting published by CIPFA/LASAAC, and the professional standards applicable to auditors' work.

A breakdown of our fees is shown in the table below.

	2019/20	2018/19
	£	£
PCC Fee	27,119	27,119
CC Fee	11,550	11,550
Total audit fees (PSAA Scale Fee)	38,669	38,669
Scale Fee Variations (SFV)	TBC (Note 1)	TBC (Note 2)
Total audit fees including SFVs	TBC	TBC

All fees exclude VAT

The scale fee presented is based on the following assumptions:

- ▶ Officers meeting the agreed timetable of deliverables;
- ▶ Our accounts opinion and value for money conclusion being unqualified;
- ▶ Appropriate quality of documentation is provided; and
- ▶ The PCC and CC have an effective control environment.

If any of the above assumptions prove to be unfounded, we will seek a variation to the agreed fee. This will be discussed with management in advance.

Fees for the auditor's consideration of correspondence from the public and formal objections will be charged in addition to the scale fee.

(Note 1) Scale Fee Variation for 2018/19 is yet to be finalised and discussed with management.

(Note 2) For 2019/20, the scale fee will be impacted by a range of factors (see pages 40 and 41). The specific issues we have identified at the planning stage which will impact on the fee include the additional work that will be required because we have had to set performance materiality at a low level reflecting the quantity and value of audit errors in the prior year audit, to address the value for money risk identified, to reflect the need to use valuation specialists to address the significant risk in respect of PPE valuation, and the various additional procedures and testing which will be required as a consequence of C-19.

The actual amounts cannot be quantified at this stage and will be based on the actual audit effort incurred. We will report the final levels to you upon conclusion of our work and agreement with management.

Appendix A

Fees

We do not believe the existing scale fees provide a clear link with both a public sector organization's risk and complexity. For an organization such as the PCC and CC the extent of audit procedures now required mean it will take 1000-1100 hours to complete a quality audit. A commercial benchmark for this size of external audit would be in the region of £92,000.

Summary of key factors

1. **Status of sector.** Financial reporting and decision making in local government has become increasingly complex, for example from the growth in commercialisation, speculative ventures and investments. This has also brought increasing risk about the financial sustainability / going concern of bodies given the current status of the sector.
 - To address this risk our procedures now entail higher samples sizes of transactions, the need to increase our use of analytics data to test more transactions at a greater level of depth. This requires a continual investment in our data analytics tools and audit technology to enhance audit quality. This also has an impact on local government with the need to also keep pace with technological advancement in data management and processing for audit.
2. **Audit of estimates.** There has been a significant increase in the focus on areas of the financial statements where judgemental estimates are made. This is to address regulatory expectations from FRC reviews on the extent of audit procedures performed in areas such as the valuation of land and buildings and pension assets and liabilities.
 - To address these findings, our required procedures now entail higher samples sizes, increased requirements for corroborative evidence to support the assumptions and use of our internal specialists.
3. **Regulatory environment.** Other pressures come from the changing regulatory landscape and audit market dynamics:
 - Parliamentary select committee reports, the Brydon and Kingman reviews, plus within the public sector the Redmond review and the new NAO Code of Audit practice are all shaping the future of Local Audit. These regulatory pressures all have a focus on audit quality and what is required of external auditors.
 - This means continual investment in our audit quality infrastructure in response to these regulatory reviews, the increasing fines for not meeting the requirements plus changes in auditing and accounting standards. As a firm our compliance costs have now doubled as a proportion of revenue in the last five years. The regulatory lens on Local Audit specifically, is greater. We are three times more likely to be reviewed by a quality regulator than other audits, again increasing our compliance costs of being within this market.

Fees

Summary of key factors (cont'd)

4. As a result Public sector auditing has become less attractive as a profession, especially due to the compressed timetable, regulatory pressure and greater compliance requirements. This has contributed to higher attrition rates in our profession over the past year and the shortage of specialist public sector audit staff and multidisciplinary teams (for example valuation, pensions, tax and accounting) during the compressed timetables.
 - We need to invest over a five to ten-year cycle to recruit, train and develop a sustainable specialist team of public sector audit staff. We and other firms in the sector face intense competition for the best people, with appropriate public sector skills, as a result of a shrinking resource pool. We need to remunerate our people appropriately to maintain the attractiveness of the profession, provide the highest performing audit teams and protect audit quality.
 - We acknowledge that local authorities are also facing challenges to recruit and retain staff with the necessary financial reporting skills and capabilities. This though also exacerbates the challenge for external audits, as where there are shortages it impacts on the ability to deliver on a timely basis.

Next steps

- The current scale fee for Nottinghamshire PCC and CC is £38,669.
- In light of recent communication from PSAA, we will need to quantify the impact of the above to be able to accurately re-assess what the baseline fee is for the council should be in the current environment. Once this is done we will be able to discuss at a more detailed level with you.

Appendix B

Required communications with the PCC and CC

We have detailed the communications that we must provide to the PCC and CC.

			 Our Reporting to you
Required communications	 What is reported?	  When and where	
Terms of engagement	Confirmation by the PCC and CC of acceptance of terms of engagement as written in the engagement letter signed by both parties.		The statement of responsibilities serves as the formal terms of engagement between the PSAA's appointed auditors and audited bodies.
Our responsibilities	Reminder of our responsibilities as set out in the engagement letter		The statement of responsibilities serves as the formal terms of engagement between the PSAA's appointed auditors and audited bodies.
Planning and audit approach	Communication of the planned scope and timing of the audit, any limitations and the significant risks identified. When communicating key audit matters this includes the most significant risks of material misstatement (whether or not due to fraud) including those that have the greatest effect on the overall audit strategy, the allocation of resources in the audit and directing the efforts of the engagement team		Audit planning report (September 2020)
Significant findings from the audit	<ul style="list-style-type: none"> ▶ Our view about the significant qualitative aspects of accounting practices including accounting policies, accounting estimates and financial statement disclosures ▶ Significant difficulties, if any, encountered during the audit ▶ Significant matters, if any, arising from the audit that were discussed with management ▶ Written representations that we are seeking ▶ Expected modifications to the audit report ▶ Other matters if any, significant to the oversight of the financial reporting process 		Audit results report (estimated November 2020)

Appendix B

Required communications with the PCC and CC (continued)

			 Our Reporting to you
Required communications	 What is reported?	 When and where	
Going concern	<p>Events or conditions identified that may cast significant doubt on the entity's ability to continue as a going concern, including:</p> <ul style="list-style-type: none"> ▶ Whether the events or conditions constitute a material uncertainty ▶ Whether the use of the going concern assumption is appropriate in the preparation and presentation of the financial statements ▶ The adequacy of related disclosures in the financial statements 	Audit results report (estimated November 2020)	
Misstatements	<ul style="list-style-type: none"> ▶ Uncorrected misstatements and their effect on our audit opinion, unless prohibited by law or regulation ▶ The effect of uncorrected misstatements related to prior periods ▶ A request that any uncorrected misstatement be corrected ▶ Corrected misstatements that are significant ▶ Material misstatements corrected by management 	Audit results report (estimated November 2020)	
Fraud	<ul style="list-style-type: none"> ▶ Enquiries of the PCC and CC to determine whether they have knowledge of any actual, suspected or alleged fraud affecting the entity ▶ Any fraud that we have identified or information we have obtained that indicates that a fraud may exist ▶ A discussion of any other matters related to fraud 	Audit results report (estimated November 2020)	
Related parties	<ul style="list-style-type: none"> ▶ Significant matters arising during the audit in connection with the entity's related parties including, when applicable: ▶ Non-disclosure by management ▶ Inappropriate authorisation and approval of transactions ▶ Disagreement over disclosures ▶ Non-compliance with laws and regulations ▶ Difficulty in identifying the party that ultimately controls the entity 	Audit results report (estimated November 2020)	

Appendix B

Required communications with the PCC and CC (continued)

			 Our Reporting to you
Required communications	 What is reported?	  When and where	
Independence	<p>Communication of all significant facts and matters that bear on EY's, and all individuals involved in the audit, objectivity and independence</p> <p>Communication of key elements of the audit engagement partner's consideration of independence and objectivity such as:</p> <ul style="list-style-type: none"> ▶ The principal threats ▶ Safeguards adopted and their effectiveness ▶ An overall assessment of threats and safeguards ▶ Information about the general policies and process within the firm to maintain objectivity and independence 	Audit Planning Report (September 2020) and Audit Results Report (estimated November 2020)	
External confirmations	<ul style="list-style-type: none"> ▶ Management's refusal for us to request confirmations ▶ Inability to obtain relevant and reliable audit evidence from other procedures 	Audit results report (estimated November 2020)	
Consideration of laws and regulations	<ul style="list-style-type: none"> ▶ Audit findings regarding non-compliance where the non-compliance is material and believed to be intentional. This communication is subject to compliance with legislation on tipping off ▶ Enquiry of the PCC and CC into possible instances of non-compliance with laws and regulations that may have a material effect on the financial statements and that the PCC and CC may be aware of 	Audit results report (estimated November 2020)	
Internal controls	<ul style="list-style-type: none"> ▶ Significant deficiencies in internal controls identified during the audit 	Management letter/audit results report (estimated November 2020)	

Appendix B

Required communications with the PCC and CC (continued)

			 Our Reporting to you
Required communications	 What is reported?	 When and where	
Representations	Written representations we are requesting from management and/or those charged with governance	Audit results report (estimated November 2020)	
Material inconsistencies and misstatements	Material inconsistencies or misstatements of fact identified in other information which management has refused to revise	Audit results report (estimated November 2020)	
Auditors report	<ul style="list-style-type: none"> ▶ Key audit matters that we will include in our auditor's report ▶ Any circumstances identified that affect the form and content of our auditor's report 	Audit results report (estimated November 2020)	
Fee Reporting	<ul style="list-style-type: none"> ▶ Breakdown of fee information when the audit plan is agreed ▶ Breakdown of fee information at the completion of the audit ▶ Any non-audit work 	Audit planning report (September 2020) Audit results report (estimated November 2020)	

Appendix C

Additional audit information

Other required procedures during the course of the audit

In addition to the key areas of audit focus outlined in section 2, we have to perform other procedures as required by auditing, ethical and independence standards and other regulations. We outline the procedures below that we will undertake during the course of our audit.

Our responsibilities required by auditing standards

- ▶ Identifying and assessing the risks of material misstatement of the financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our opinion.
- ▶ Obtaining an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Group's internal control.
- ▶ Evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by management.
- ▶ Concluding on the appropriateness of management's use of the going concern basis of accounting.
- ▶ Evaluating the overall presentation, structure and content of the financial statements, including the disclosures, and whether the financial statements represent the underlying transactions and events in a manner that achieves fair presentation.
- ▶ Obtaining sufficient appropriate audit evidence regarding the financial information of the entities or activities within the Group to express an opinion on the consolidated financial statements. Reading other information contained in the financial statements, the **JASP** reporting appropriately addresses matters communicated by us to the **JASP** and reporting whether it is materially inconsistent with our understanding and the financial statements; and
- ▶ Maintaining auditor independence.

Purpose and evaluation of materiality

For the purposes of determining whether the accounts are free from material error, we define materiality as the magnitude of an omission or misstatement that, individually or in the aggregate, in light of the surrounding circumstances, could reasonably be expected to influence the economic decisions of the users of the financial statements. Our evaluation of it requires professional judgement and necessarily takes into account qualitative as well as quantitative considerations implicit in the definition. We would be happy to discuss with you your expectations regarding our detection of misstatements in the financial statements.

Materiality determines:

- ▶ The locations at which we conduct audit procedures to support the opinion given on the Group financial statements; and
- ▶ The level of work performed on individual account balances and financial statement disclosures.

The amount we consider material at the end of the audit may differ from our initial determination. At this stage, however, it is not feasible to anticipate all of the circumstances that may ultimately influence our judgement about materiality. At the end of the audit we will form our final opinion by reference to all matters that could be significant to users of the accounts, including the total effect of the audit misstatements we identify, and our evaluation of materiality at that date.

For Information / Consideration	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	30 September 2020
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Mark Lunn
Agenda Item:	8

INTERNAL AUDIT PROGRESS REPORT

1. Purpose of the Report

- 1.1 To provide members with an update on progress against the Internal Audit Annual Plan for 2020-21 and the findings from audits completed to date.

2. Recommendations

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

3. Reasons for Recommendations

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

4. Summary of Key Points

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

5. Financial Implications and Budget Provision

- 5.1 None as a direct result of this report.

6. Human Resources Implications

- 6.1 None as a direct result of this report.

7. Equality Implications

- 7.1 None as a direct result of this report.

8. Risk Management

- 8.1 None as a direct result of this report. 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 Progress Report 2020-21



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

Internal Audit Progress Report 2020/21

September 2020

Presented to the Joint Audit & Scrutiny Panel meeting of 30th September 2020

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02 Summary and conclusions from Internal Audit work to date

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01 Introduction

- 1.1 The purpose of this report is to update the Joint Audit & Scrutiny Panel (JASP) as to the progress in respect of the Operational Plan for the year ended 31st March 2021, which was considered and approved by the JASP at its meeting on 24th February 2020.
- 1.2 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.
- 1.3 Internal audit provides the Police and Crime Commissioner and Chief Constable 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.
- 1.4 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.
- 1.5 Internal audit should not be relied upon to identify fraud or irregularity, although our procedures are designed so that any material irregularity has a reasonable probability of discovery. Even sound systems of internal control will not necessarily be an effective safeguard against collusive fraud.
- 1.6 Our work is delivered in accordance with the Public Sector Internal Audit Standards (PSIAS).

02 Summary of internal audit work to date

- 2.1 Since the last meeting of the JASP whilst we have begun three of the Force's internal audits unfortunately, we have been unable to advance these to draft report stage due to a number of factors. The impact of the Covid-19 lockdown have posed a number of challenges to the internal audit process and the move to remote auditing has caused some initial delays particularly in relation to the sharing of documents in a timely manner. Both parties have worked hard to ensure the audits could be completed, which included the need for a site visit to completed audit testing for Victims Code of Practice. Both Victims Code of Practice and Workforce Planning are at an advanced stage and draft reports should be issued shortly. For the two IT audits within the 2020/21 audit plan the key contacts have been identified and planning meetings arranged prior to the dates to complete the audit being finalised.
- 2.2 We have not identified any issues with regard to completing Nottinghamshire's 2020/2021 Internal Audit Plan at this stage but will keep this under constant review and provide the JASP with updates where issues are impacting upon our ability to deliver the audit plan. Should this become a reality we will raise this with the Chief Finance Officer and the JASP, with options to have a priority-based approach should the situation arise where all audits cannot be completed before 31st March 20201.
- 2.3 In relation to the 2019/20 Collaboration reports we have issued the final report in regard to Health & Safety with further details provided in Appendix A1. This means the Business Continuity Report for 2019/20 remains outstanding, the draft report was issued in May 20 and the Lead CFO is collating the management comments for this audit. The CFO leads for the three collaboration audits in 2020/21 have been agreed at the latest regional CFO meeting and audit will be arranging planning meeting so these audits can be set up.
- 2.4 Summary table of work to date below:

Nottinghamshire Audits 2020/21	Status	Assurance Opinion	Priority 1 (Fundamental)	Priority 2 (Significant)	Priority 3 (Housekeeping)	Total
Victims Code of Practice	Fieldwork Ongoing					
Workforce Planning	Fieldwork Ongoing					

Estates Management	Fieldwork Ongoing					
		Total				

Collaboration 2019/20 Audits	Report Status	Assurance Opinion	Priority 1 (Fundamental)	Priority 2 (Significant)	Priority 3 (Housekeeping)	Total
Performance Management	Final	Satisfactory		1	4	5
Health & Safety	Final	Satisfactory		3	3	6
Business Continuity	Draft					
Total				4	7	11

03 Performance

3.1 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	N/A
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.	-% (-/-)
5	Issue of final report	Within 5 working days of agreement of responses.	-% (-/-)
6	Follow-up of priority one recommendations	90% within four months. 100% within six months.	Achieved
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% (3/3)
9	Customer satisfaction (measured by survey)	85% average satisfactory or above	-% (-/-)

Appendix A1 – Summary of Reports

Below we provide brief outlines of the work carried out, a summary of our key findings raised and the assurance opinions given in respect of the final reports issued since the last progress report in respect of the 2019/20 & 2020/21 Internal Audit Plan:

2019/20 Collaboration: Health and Safety

Overall Assurance Opinion	Satisfactory
Recommendation Priorities	
Priority 1 (Fundamental)	-
Priority 2 (Significant)	3
Priority 3 (Housekeeping)	3

Since 2015/16 all Forces in the East Midlands have agreed to allocate internal audit time to provide assurance over the collaborative arrangements that are in place across the region. Over the first two years Internal Audit have undertaken high level reviews of the governance arrangements within most of the regional collaboration units. However, starting in 2018/19 thematic reviews have been carried out by audit, and have been carried out across a sample of regional collaboration units to provide each Force with assurance over key areas including Risk Management and Strategic Financial Planning.

As part of this review we have carried out an audit of the processes in place across the region in respect of Health and Safety within a sample of collaboration units agreed by the CFOs – East Midlands Collaborative Human Resource Services Occupational Health Unit (EMCHRS OHU) and East Midlands Special Operations Unit (EMSOU).

Our audit considered the following area objectives:

Roles and Responsibilities

- The roles and responsibilities are clearly defined and the individuals concerned are fully aware of these;
- Appointed officers have been assigned to support the unit to meet its H&S responsibilities.

Policies and Procedures

- The unit has in place policies and procedures, which incorporate relevant legislative requirements and provide clear guidance to staff.
- The policies and procedures in place are comprehensive, up-to-date and available to all relevant members of staff.
- The existing policies and procedures are regularly reviewed to ensure they are up to date.

Governance

- There is an appropriate and effective governance structure in place through, which Health and Safety issues are reviewed, scrutinised and managed.
- Health and Safety is promoted across the unit to ensure awareness from both police staff and police officers.

Monitoring and Reporting

- Health and Safety information is accurately produced and regularly reported to allow for effective monitoring, decision making and reporting in line with senior management requirements.

- There is an effective system in place for recording, maintaining and reporting Health & Safety data including any incidents or near misses.
- There is an effective system in place to ensure lessons are learned from Health and Safety incidents or near misses to prevent repeat incidents occurring.
- Appropriate oversight and reporting arrangements are in place and are working effectively.

Training

- Staff are fully supported, with relevant training and guidance provided to allow compliance with health and safety requirements and responsibilities.
- The unit has a robust process in place to monitor the level of health and safety training undertaken by key staff.

We raised three priority 2 (significant) recommendations and three priority 3 (housekeeping) where the control environment could be improved upon. The finding, recommendation and response from the relevant collaboration units is detailed below:

Recommendation 1	EMCHRS OHU should review the Force Health and Safety Policy and Procedure and ensure they record where their approach differs from the policy and procedure, for instance the responsibilities assigned to roles across the collaboration unit.
Finding	<p>The unit adopt the policy and procedures of the Force, whilst this appears to be a reasonable approach to prevent the duplication of work it is noted that differences will be present.</p> <p>For example, the responsibilities set out in the Forces procedure cover the OPCC, the DCC, Director of H&S etc. These roles differ to the collaboration unit set up and therefore it needs to be considered how this is to be formally recorded to ensure accountability is clearly set for H&S.</p> <p>It was also noted from review of the H&S Procedures that the unit have adopted from Leicestershire that it states “Regional units are required to have support managers in place to co-ordinate health and safety within their unit.” The OHU does not currently have a support manager filling this role and it is being undertaken by the Head of OHU.</p> <p><i>Risks:</i> The responsibilities for H&S are not clearly stated for the collaboration unit.</p>
Response	<p>The OHU would benefit from a Business Support Manager. The Leics Principle Health & Safety Advisor said it would be useful to have a SPOC in the OHU unit.</p> <p>The Health and Safety Advisor for Leicestershire Police has agreed to attend the OHU SLT meetings to provide further support for the unit.</p> <p>The Force Health and Safety terms of reference request for review as in 4.1.</p>
Timescale	Implemented

<p>Recommendation 2</p>	<p>EMSOU & OHU should consider maintaining records of incidents and near misses for their staff that are passed to the Forces to ensure a clear audit trail is maintained and no incidents are missed.</p>
<p>Finding</p>	<p>The EMSOU Health & Safety Protocol outlines the process to be followed for accident reporting. It makes clear references to the individual Forces being responsible for recording H&S incidents: <i>“Managers of staff who have been injured or made ill through work related causes will ensure that the Health and Safety Advisor of that individual’s Force has been made aware.”</i></p> <p>EMSOU maintain records of incidents that have occurred at their premises however it was noted that EMSOU do not maintain records of when such incidents have been passed to the Force to deal with. Therefore, if staff have not reported the incident to the Force there is a risk it will go unreported.</p> <p>The OHU adopt Leicestershire reporting process for H&S incidents, however it was noted in some scenarios where OHU Staff are operating on other Force premises and an incident occurs there is an expectation that the Force would record the incident where it occurs. Similarly, to EMSOU, the OHU do not keep records of this therefore no audit trails to confirm incidents have been captured.</p> <p><i>Risk: Accidents or incidents are not reported</i></p>
<p>Response</p>	<p>EMSOU Currently has its own Injury on Duty reporting form and staff are aware of this and are encouraged to use it. In future we will put out a 6-monthly reminder to all staff via the weekly bulletin reminding them of the process.</p> <ul style="list-style-type: none"> - This reminder will also include the instruction that Staff are to report all injuries or near misses - Where injuries are reported to other forces directly then these are usually passed back to EMSOU for information or investigation. <p>Going forward EMSOU will carry out routine checks to see if any injuries have been reported to forces to ensure that they are picked up (however we must be wary of double reporting occurring).</p> <p>OHU Reports of accidents, incidents and near misses are now recorded on a spreadsheet.</p>
<p>Timescale</p>	<p>Implemented</p>

<p>Recommendation 3</p>	<p>EMSOU should review the training records of managerial posts and then remind those who have not completed the H&S training to do so.</p> <p>EMSOU should ensure the Training administrators monitor levels of H&S training for EMSOU staff to ensure compliance with the five-year refresher period.</p>
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Finding	<p>Both EMSOU and the OHU align with Leicestershire Polices' approach to H&S training, with a number of H&S training levels in place to provide staff with the training they need to fulfil their health and safety responsibilities, dependent on their role within the organisation as noted below.</p> <p>When staff join the organisation they undertake induction training, which includes a basic level of health and safety training.</p> <p>If staff hold a managerial post, then they are required to undertake a bespoke H&S Training session that is run by Leicestershire Police. However, it was noted that the records to confirm attendance at this training are out of date as the training course has not taken place for a few years. Audit were informed that EMSOU are working towards a five-year refresher of H&S training. However, from audit testing, of the four staff that had completed the course, three had completed it longer than five years ago.</p> <p>Audit were informed that levels of attendance are reported into Leicestershire's H&S Committee, where EMSOU have representation.</p> <p><i>Risk:</i> Staff with legal responsibilities for health and safety have not received appropriate training to carry out these duties.</p>
Response	<p>Going forward a specific list will be kept for H & S training and this will be monitored for attendance and review dates. Records of the 5-year refresher will be kept, however due to turnover of managerial roles there are likely to be very few staff who remain in post longer than 5 years.</p>
Timescale	<p>Implemented</p>

We raised three priority 3 recommendations of a more housekeeping nature relating to:

EMCHRS OHU: Health & Safety Policy & Procedure

EMCHRS OHU should formally adopt their Health and Safety Policy & Procedure.

EMCHRS OHU should ensure when the Force H&S Policy is updated that any changes made do not impact upon their approach.

EMSOU: Health & Safety Policy/Protocol

EMSOU should ensure a schedule is in place to review and update the H&S Protocol on a regular basis.

EMSOU should confirm where legal responsibilities for H&S lie for their collaboration unit and define this within their protocol.

EMSOU should update the format of the Protocol to ensure it includes but not limited to:

- Document Owner
- Version Control
- Last Review Date
- Date of next review
- Officer/Board Approval

Governance

EMSOU should review and updated the Risk, Assurance and Compliance Meeting Terms of Reference to ensure it remains up to date with the operations of the unit.

OHU should include Health & Safety as a standard agenda item at the Senior Leadership Team meeting.

Appendix A2 Internal Audit Plan 2020/21

Auditable Area	Planned Fieldwork Date	Planned Days	Draft Report Date	Final Report Date	Target JASP	Comments
Core Assurance						
Core Financial Systems	Q3	27				
Strategic & Operational Risk						
Workforce Planning	Q1	9				Fieldwork nearing completion
Victims Code of Practice	Q1	8				Fieldwork nearing completion
Estate Management	Q2	8				Fieldwork started
Wellbeing	Q3	8				
Debt Recovery	Q4	6				
Seized Property	Q4	7				
Business Change	Q3	8				
Complaints Management	Q4	7				
Risk Management	Q4	8				
IT						
IT Security: Follow Up	TBC	5				
GDPR: Follow Up	TBC	5				

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

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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 Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	30 September 2020
Report of:	Deputy Chief Constable
Report Author:	Amanda Froggatt, Corporate Development Manager
E-mail:	amanda.froggatt@nottinghamshire.pnn.police.uk
Other Contacts:	n/a
Agenda Item:	9

Audit and Inspection Update

1. Purpose of the Report

- 1.1 To provide the Joint Audit and Scrutiny Panel (JASP) with an update on progress against recommendations arising from audits and inspections which have taken place during Quarter 1, 2020/21.
- 1.2 To inform the Board of the schedule of planned audits and inspections.

2. Recommendations

- 2.1 That the Panel notes the status of audits and inspections carried out over the last quarter.
- 2.2 That the Panel review 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 are currently 0 actions which have exceeded their target date. There are 27 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 127 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
None to report				

Forthcoming HMICFRS Inspections

Date of Inspection	Inspection Area	Status
October 2020	Covid-19 Policing Inspection	Awaiting self-assessment and confirmation whether Nottinghamshire will be one of the chosen forces for inspection

Publications

Date of Publication	Inspection Area	Status
July 2020	A call for help Police contact management through call handling and control rooms in 2018/19	Actions being managed on 4Action

July 2020	National Crime Agency inspection An inspection of the National Crime Agency's criminal intelligence function	For information only, no recommendations
July 2020	Roads Policing: Not optional An inspection of roads policing in England and Wales	Actions being managed on 4Action
July 2020	State of Policing 2019	For information only, no recommendations
July 2020	PEEL spotlight report The Hard Yards Police-to-police collaboration	Actions being managed on 4Action

4.5 Recent and Forthcoming Audits

Recent Audit Activity

Date of Audit	Auditable Area	Date Report Received	Final Grading	Status
August 2018	Collaboration – Risk Management	-	Satisfactory Assurance	Awaiting copy of report
September 2018	Collaboration – Business Planning	-	Satisfactory Assurance	Awaiting copy of report
October 2019	GDPR Follow Up	March 2020	Satisfactory Assurance	Actions being managed on 4Action
October 2019	Information Assurance	March 2020	Limited Assurance	Actions being managed on 4Action
December 2019	Core Financials	March 2020	Satisfactory Assurance	Actions being managed on 4Action

Forthcoming Audits

Date of Audit	Auditable Area	Status
Quarter 1	Workforce Planning and Operation Uplift	Awaiting copy of draft report
Quarter 1	Victims Code	Awaiting copy of draft report
Quarter 2	Estates Management	-
Quarter 2	Wellbeing	-
Quarter 2	Debt Recovery	-
Quarter 3	Business Change	-
Quarter 3	Core Financial Systems	-
Quarter 3	Seized Property	-
Quarter 3	GDPR Follow Up	-
Quarter 3	Information Assurance Follow Up	-
Quarter 4	Risk Management	-
Quarter 4	Complaints Management	-

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

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: August 2020

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Audit-Mazars	Corporate Governance	October 2018	4	2	2	2	0	0
Audit-Mazars	Firearms Licensing	October 2018	4	4	0	0	4	0
Audit-Mazars	Late Night Levy	December 2018	4	4	0	4	0	0
Audit-Mazars	Performance Management	March 2019	5	3	2	3	0	0
Audit-Mazars	Force Management of MFSS	March 2019	10	10	0	10	0	0
Audit-Mazars	IT Strategy	April 2019	6	0	6	0	0	0
Audit-Mazars	Partnerships	May 2019	3	2	1	0	2	0
Audit-Mazars	Business Continuity and Emergency Planning	June 2019	3	0	2	1	0	0
Audit-Mazars	Custody Arrangements	October 2019	2	2	0	2	0	0
Audit-Mazars	Balance Transfers	March 2020	1	1	0	1	0	0
Audit-Mazars	Health and Safety Follow Up	March 2020	5	2	3	2	0	0
Audit-Mazars	GDPR Follow Up	March 2020	4	4	0	4	0	0
Audit-Mazars	Information Assurance Follow Up	March 2020	4	4	0	4	0	0
Audit-Mazars	Programme Management	March 2020	2	2	0	2	0	0
Audit-Mazars	Core Financials	March 2020	5	5	0	5	0	0

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: August 2020

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
IPCC	Use of Force Report	September 2016	15	2	13	0	2	0
Inspection-HMICFRS	Efficiency November 2016 'Hot De Brief' actions	November 2016	31	1	30	1	0	0
Inspection-HMICFRS	Efficiency, Legitimacy and Leadership Hot Debrief 2017	May 2017	9	1	8	0	1	0
Inspection-HMICFRS	Making it Fair: Disclosure of unused material in volume Crown Court Cases	July 2017	6	1	5	0	1	0
Inspection-HMICFRS	PEEL Effectiveness 2017	September 2017	23	3	20	0	3	0
Inspection-HMICFRS	Stolen freedom: the policing response to modern slavery and human trafficking	October 2017	7	1	6	0	1	0
Inspection-HMICFRS	Additional PEEL Efficiency, Legitimacy, Leadership Actions 2017	December 2017	7	1	6	0	1	0
Inspection-HMICFRS	Still no place for hate	May 2018	6	1	5	1	0	0
Inspection-HMICFRS	Crime Data Integrity	August 2018	18	12	6	0	12	0
Inspection-HMICFRS	Integrated PEEL Inspection	September 2018	17	17	0	17	0	0
Inspection-HMICFRS	Unannounced Custody Inspection	October 2018	29	29	0	29	0	0
Inspection-HMICFRS	Biometrics Commissioner's Visit	October 2018	5	1	4	1	0	0
Inspection-HMICFRS	Policing and Mental Health – Picking up the Pieces	November 2018	5	1	4	1	0	0
Inspection-HMICFRS	Time to Choose – An Inspection of the Police Response to Fraud	April 2019	6	6	0	6	0	0
Inspection-HMICFRS	The Poor Relation – The Police and CPS Response to Crimes against Older People	July 2019	4	4	0	4	0	0

Appendix 1 - Overview of all ongoing actions from Audits and Inspections: August 2020

Audit/Inspection	Source Title	Date	Number of Actions	Number Open	Number Closed	Number on Target	Number At Risk	Number Overdue
Inspection-HMICFRS	Shining a Light on Betrayal	September 2019	3	3	0	3	0	0
Inspection-HMICFRS	Cyber Keeping the Light on	October 2019	2	2	0	2	0	0
Inspection-HMICFRS	Youth Justice System Inspection	October 2019	3	3	0	3	0	0
Inspection-HMICFRS	Joint Inspection Evidence Led Domestic Abuse	January 2020	6	2	4	2	0	0
Inspection-HMICFRS	National Child Protection Thematic 2019	February 2020	3	3	0	3	0	0
Inspection-HMICFRS	Integrated Offender Management Thematic	February 2020	4	4	0	4	0	0
Inspection-HMICFRS	HMICFRS Response to Review of Investigations into Allegations of Non-Recent Sexual Abuse	March 2020	10	10	0	10	0	0
Inspection-HMICFRS	A call for help Police contact management through call handling and control rooms in 2018/19	July 2020	8	8	0	8	0	0
Inspection-HMICFRS	Roads Policing: Not optional An inspection of roads policing in England and Wales	July 2020	10	10	0	10	0	0
Inspection-HMICFRS	PEEL spotlight report The Hard Yards Police-to-police collaboration	July 2020	1	1	0	1	0	0

For Consideration	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	30 September 2020
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:	10

POLICE AND CRIME COMMISSIONER'S UPDATE REPORT TO JUNE 2020

1. PURPOSE OF THE REPORT

- This is a copy of the report which was submitted to the Police and Crime Panel meeting of 7th September 2020 and is submitted to the Joint Audit and Scrutiny Panel for information only.
- The report provides the Police and Crime Panel (Panel) with an update on progress in delivering the Police and Crime Commissioner's (Commissioner) Police and Crime Plan (2018-21), in compliance with the Commissioner's statutory duties^a.
- The report also provides a summary of performance headlines for quarter 1 of the 2020/21 financial year (Appendix A), the revenue and capital financial outturn position for 2019/20 (Appendices B and C) and a summary of key OPCC and force decisions made over the latest planning period (Appendix D).

2. RECOMMENDATIONS

- The Panel is invited scrutinise the contents of this report, seek assurance from the Commissioner on any specific areas of concern, request further information where required and make recommendations within the scope of their role^b.
- The Police and Crime Panel has a statutory duty^c to provide scrutiny of performance and delivery against the ambitions of the Police and Crime Plan and of the Commissioner in fulfilling his core statutory duties (Section 14 of the

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

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

^c Police Reform and Social Responsibility Act 2011

Policing Protocol 2011). This update report is designed to assist the Panel in fulfilling these responsibilities.

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

- The Commissioner's Police and Crime Plan (2018-21) set 57 performance indicators and 12 sub-measures across four strategic themes. These indicators are tracked by the force and OPCC on a quarterly basis as part of the Performance and Insight Report shown at appendix A. Previous versions of the report can be accessed via the Commissioner's website^d.
- The April to June reporting period has been impacted by the repercussions from and service response to the Covid-19 pandemic, including 'lockdown' measures implemented from 23 March 2020. The areas affected include:-
 - Mental health related incidents, which saw their first quarterly increase since Summer 2019
 - Calls to the police 999 emergency service which fell to the lowest level in two years in April 2020, following a long term period of successive increases
 - Total police recorded crime which fell markedly between April and June 2020, largely affected by reductions in theft from person, vehicle crime and burglary
 - Reported online crime, which has been increasing steadily since September 2019, but saw the most pronounced increase during the latest quarter
 - Domestic abuse offences, which fell during the April and May lockdown period, before increasing to the highest levels in a year in June 2020
 - Serious sexual offences fell markedly between March and May 2020, while positive outcome rates increased to levels comparable with June 2019
 - Reported incidents of anti-social behaviour increased substantially during the April to June 2020 period, largely driven by the reporting of neighbourhood-based issues and concerns during the lockdown period
 - Satisfaction and perception measures captured via the Nottinghamshire Police and Crime Survey and domestic abuse survivor survey. These mechanisms were suspended during the COVID-19 lockdown period

In each of these cases, trends will be monitored closely over the coming months to determine what represents a temporary skew affected by the COVID-19 restrictions and what represents a new norm. Panel members may wish to note the following key performance updates:-

- **Protecting vulnerable people from harm:** Ongoing improvements in proactivity, training, risk management and effective partnership working are

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

helping to support sustained increases in safeguarding referrals (+28%). The work of a dedicated Missing Persons team has also helped to secure a 16% reduction in missing persons reports over the last year, equating to estimated financial savings of around £650,000. Proactive police and partnership activity in response to modern slavery and county lines has also led to referral rates more than doubling (+149%) over the last year.

- **Helping and supporting victims:** Outcomes relating to PCC-commissioned victim services have remained relatively stable over the last year, with around 78% of victims supported reporting that they were better able to cope with aspects of everyday life as a result of the support received, and sustained increases in the number of victims supported. Force compliance with the Victim's Code of Practice (91%) also remains strong. Levels of police recorded domestic abuse have increased by around 4.2% over the last year, but have stabilised during 2020 at around 15,150 per year.
- **Tackling crime and Anti-social Behaviour:** Police recorded crime statistics and findings from the independent Police and Crime Survey to March 2020 indicate that victim-based crime has been falling steadily over the previous two years and have been most pronounced in the more urban areas of the force. While police recorded crime has reduced significantly during the COVID-19 lockdown period, work is still underway to develop our understanding of the temporary and longer-term impact of the pandemic on crime and ASB offending and victimisation and reporting. The number of violent knife crimes recorded by Nottinghamshire Police has fallen by 11.7% over the last year.
- **Transforming services and delivering quality policing:** Reflecting national trends, calls to the 999 emergency service fell for the first quarter in two years during the April to June 2020 period, while calls to the 101 service also continued to decline. Compliance with National Crime Recording Standards (NCRS) remains strong (96%). Indicators of public confidence in the police, as captured by the independent Police and Crime Survey, saw marked improvements during 2019/20. The survey was suspended in June 2020 on account of the Coronavirus restrictions, but is due to resume later in the year.
- Key areas for consideration as part of the latest insight report include:-
- Ongoing issues in reporting on service response times as a result of the transition to the new 'SAFE' system^e in January 2020. The force's Management

^e The 'SAFE' system replaced the Legacy system in March 2020 which was no longer compliant with Home Office requirements. SAFE provides Command and Control, telephony and Airwave radio interfaces into the control room, with all data transactions, including those from the mobile and web clients, being recorded by the system in real time. This provides the foundation for producing near real-time reports.

Information Team are working to create dashboards for operational use across the force, however this has been affected by technical constraints in manipulating the large live data sets. A project is underway to create a static data warehouse that will be updated daily and interrogated via Power Bi. Additional SSRS reports are also being developed by the supplier at a chargeable rate.

- Understanding and responding to the rising level of reported online victimisation, including the risks to vulnerable children and young people during the period of coronavirus restrictions. Similarly, there remain opportunities to further improving our understanding of the factors driving reductions in police recorded Child Sexual Exploitation (CSE) offences over the previous two years.
- Tracking vacancy rates among the established PCSO posts across Nottinghamshire. It is recognised that recent rounds of recruitment have created some degree of organisational churn across the service.
- The force and OPCC will continue to closely monitor and assess the impact of the Coronavirus Pandemic and consequential restrictions on levels of crime, ASB and service demand over the coming months, particularly in relation to domestic violence and abuse, cybercrime and mental health-related demand.

4. Case Study: Improving BAME Experiences of Policing In Nottinghamshire

- 4.1 The tragic murder of George Floyd in May 2020 had significant repercussions for trust and confidence in policing on an international scale, triggering protests, demonstrations and in some cases public disorder across UK towns and cities. In Nottinghamshire, a pragmatic and proportionate approach was taken to policing the Nottingham Black Lives Matter demonstration on 7 June 2020. The force publicly supported the aims of the event, engaged early and moved the venue to a more appropriate location. The event was facilitated without injury or arrest as part of an approach that was recognised and commended by participants^f.
- 4.2 This case study provides an overview of some of the broader work that has been undertaken in by the police and PCC to drive improvements in community engagement, inclusion and workforce diversity across Nottinghamshire. It is informed by the PCC and Chief Constable's submission to the Home Affairs Select Committee in July 2020 as part of their inquiry into the Macpherson Report – twenty one years on.

^f Nick Glynn of Open Society Foundations in commenting on variations in policing approaches: "Attending BLM demonstration in Nottingham ... the police were almost invisible and the protest was an excellent event. It was well run, it was well attended, people had their say and it went without any kind of incident". HASC evidence session, 17 June 2020

4.3 In 2012, the Nottinghamshire PCC set a long-term ambition to improve BAME experiences of policing and the recruitment, retention and progression of BAME officers and staff. Strong progress has been made in delivering against these ambitions, as outlined below.

Recruitment, retention and progression of BAME officers and staff

- Nottinghamshire Police aspires to become the first police force in the UK to be proportionately representative of the community it serves (11.2% BAME) and has moved quickly to seize the once-in-a-generation opportunity brought about by Operation Uplift. This has included significant investment in a programme of Positive Action during 2020/21 to target under-represented groups and promote positive BAME role models in policing. The race disparity unit and positive action practitioner's alliance have provided positive feedback on Nottinghamshire's approach which has gone on to inform learning at a national level⁹.

4.4 In 2019/20, 26% of completed officer applications were from BAME individuals. This marks a significant change on previous years and is set to continue in 2020/21 (23% year to date). Furthermore, around 15% of those commencing Police Constable Degree Apprenticeships (PCDA) since September 2018 have been from BAME backgrounds. Despite these positive developments, recruitment from our Black African and Caribbean communities continues to be a challenge and we are working to further strengthen engagement via the black churches together and local education Trusts.

4.5 A youth-focus remains a core component of our long term strategy. In 2018, we launched a 'Mini Police' scheme which involves over 700 pupils, many from socially deprived areas within the city and with adverse childhood experiences. 44% of our Mini Police are from BAME backgrounds. BAME representation within our 200 police cadets has also risen from 6% to 24% over the last year, with the service having opened the first mosque centred base outside of London. Our BAME community outreach worker has played an important role in reaching out to young people and has been intrinsic in expanding our Police Cadet scheme.

Involving and engaging BAME communities

⁹ Nottinghamshire Police Peer Review, February 2020 found the force's Diversity and Inclusion planning to be a: "comprehensive and meticulously thought out piece of work built upon the strong foundations of the Community Cohesion work of the past 3 years and the highly engaged and capable networks of community members that have been established. There are indications it will achieve a representative workforce in the next 2 years"

- 4.6 We have worked extensively to improve engagement and involvement of BAME communities in matters pertaining to crime, community safety and policing over recent years. This has included the introduction of new engagement forums, such as our programme of Inter-faith listening events in 2020, designed to amplify the voices of marginalised communities, strengthen channels of communication and provide co-ordination in the response to grievances and community concerns. Further to this, the PCC has also commissioned independent research to gain a better understanding of the lived experiences of and barriers faced by minority and new and emerging communities^h.
- 4.7 As part of the police training process, Nottinghamshire has introduced ‘new recruits meet the community’ sessions where constables meet a range of community members selected by the community cohesion coordinator for challenging discussions relating to policing. The process has been well received by new recruits and communities alike. The force has also introduced Peoples Panels to review the selection and promotion of senior officers.
- 4.8 Nottinghamshire Police adopted a pragmatic and proportionate approach to enforcing the Coronavirus Regulations in 2020, engaging with local communities and ensuring education and explanation of requirements with minimal enforcement. Consequently, Nottinghamshire maintained one of the lowest levels of Fixed Penalty Notices (FPNs) issued nationally (9th lowest)ⁱ.
- Table 2 of the national comparative tables’ shows that Nottinghamshire officers issued 182 FPNs between 27th March to 25th May, of which 10% (19) were issued to black residents. The Force undertook its own analysis which identifies that most FPNS were issued in the City (55%) with the County recording 45%. The top location was at a County address where 11 FPNs were issued at the same time to a group of white residents.
 - Of the 19 FPNs issued to black residents, a fifth of them (4) were issued to a group at the same time at a city location. On another occasion, 3 FPNs were issued to another group at another city location.

Stop and Search and use of force

- 4.9 Use of stop and search as a policing tactic has been increasing both locally and nationally since 2018/19. Despite this, Nottinghamshire has maintained one of the lowest search rates per 1,000 population in the country and has seen a steady long-term reduction in BAME disproportionality over recent years. In 2017/18, the

^h *Research and co-engagement activity to better understand the lived experiences of Nottinghamshire’s new and emerging communities, NTU, August 2019*

ⁱ [Provisional data: Fines issued during lockdown](#), NPCC: Nottinghamshire issued the 9th lowest number of COVID-19 related FPNs among all English forces between 27 March and 25th May 2020 Table 2.

likelihood of BAME individuals being stopped and searched^J was 4.2 times higher than of White in Nottinghamshire. This fell to 3.7 times more likely in 2018/19 and 3.1 times more likely in 2019/20. The disproportionality rate among those from Black backgrounds also shows a positive direction of travel, having fallen from 7.0 to 5.8 over the same period. Complaints relating to stop and search also remain extremely rare^k.

4.10 The use of handcuffs in stop and search can be required on occasion, particularly when the individual presents a threat towards the officer or may cause danger to themselves or others. The proportion of searches involving the use of handcuffs fell from 30% to 23% in 2019/20 and by 10% among those from BAME backgrounds. Despite these positive reductions, the use of handcuffing in searches remains disproportionately high among those from Asian (37%) and Black (37%) backgrounds. Positively the rate of non-compliant handcuffing (11%) in stop and searches remains broadly proportionate across all groups.

4.11 Where strictly controlled, the use of Taser can be an excellent harm prevention tool, and we have increased the proportion of officers with access to these devices in response to the government's national roll out in 2019/20. Around 19% of all Taser deployments involved individuals from BAME backgrounds in 2019/20, having fallen from 26% the previous year^l. In the city, in particular, Taser deployments involving those from BAME backgrounds (35.8%) have approached parity with the area's resident population profile.

Safeguards and effective practice

4.12 The strong progress made by Nottinghamshire police in reducing disproportionality in policing outcomes and increasing representation over recent years has been underpinned by:-

- **Transparent and effective oversight and scrutiny processes** via our Independent Advisory Groups (IAGs) and the Independent Community Scrutiny Panel established to review the use of Stop and Search, Custody and use of force. Community leaders / groups and community activists are involved in these processes, which include regular external scrutiny meetings where performance and key issues are openly discussed.
- **Work to recognise and address unconscious bias** which has included education and awareness-raising sessions among priority departments. More is

^J Based on searches under s.1 of PACE and s23 of the Misuse of Drugs Act which account for around 80.4% of all stop and searches undertaken in Nottinghamshire

^k Only 4 out of 3,023 searches resulted in a complaint in 2018/19

^l Based on instances where ethnicity could be captured

being done in this area to ensure constant reinforcement of key messages and learning across the wider organisation.

- **Strengthening disciplinary proceedings for proven ‘racist words or acts’** in line with recommendations from the Macpherson report. The Nottinghamshire Chief Constable has steered and implemented national changes to the disciplinary system which include post retirement provisions and indicative sanctions guidance.
- **Ensuring procedural justice.** BAME officers accounted for 5.4% of all officers involved in disciplinary proceedings with a case to answer in 2019, which was broadly in line with the proportion of BAME officers that make up the our police workforce (5.8%). In 2018, there were no BAME officers subject to disciplinary with a case to answer. This marks a clear reduction in levels of disproportionality seen in both 2016 (15%) and 2017 (6.1%).

4.13 We feel confident that this positive direction of travel can be maintained in these areas, but recognise that there remains much still to do. Particular challenges remain in the recruitment, retention and promotion of officers and staff from Black backgrounds, achieving greater parity in the use of compliant handcuffing and mainstreaming unconscious bias training across the wider police workforce.

5. Activities of the Commissioner

- The Commissioner is represented at key thematic, partnership and force performance boards to obtain assurance that the police and partners are aware of the current performance threats and taking appropriate action to address emerging issues and challenges. This is reported to the Commissioner who holds the Chief Constable to account on a weekly basis. The Commissioner also meets heads of Investigations and Intelligence and Operations on a quarterly basis to gain a deeper understanding of threats, harm and risk to performance. The Commissioner seeks regular assurance that the Chief Constable has identified the key threats to performance and taken swift remedial action as appropriate. Key activities are reported on the Commissioner’s website.^m
- The Commissioner’s partnership and community engagement schedule has been significantly affected by the impact of Covid-19 lockdown arrangements since 23 March 2020, however the OPCC has sought to maintained business continuity during this exceptional period by adapting to new ways of working. The commissioner continues to engage with partner agencies and communities

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

in accordance with social distancing guidelines, though events such as the Community Listening Steering Group (23 July 2020) and Sutton Neighbourhood Network (6 April 2020).

- The Commissioner was elected as the new chair of the Association of Police and Crime Commissioners on 15 July 2020, with new responsibilities at a national level for driving positive change in policing and police governance. Following the virtual confirmation hearing held on 1 June 2020, Nottinghamshire's new Deputy PCC has commenced an extensive induction programme, meeting key police and partner agency stakeholders across the force area.
- Nottinghamshire PCC was also successful in securing £550k Home Office Safer Streets funding on 28 July 2020, which will be used to tackle acquisitive crime, such as burglary, vehicle crime and bicycle theft in the Chatham and Northgate area of Newark. The grant will be used to improve lighting, CCTV and ANPR use, upgrade security on doors and windows and improve bicycle storage. It will also fund the appointment of a new Burglary Reduction Officer to work with the local community to undertake assessments of properties at risk of crime. The Force will run a series of bicycle property marking events to reduce theft and aid the detection and recovery of property.

6. Decisions

- 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.ⁿ
- Panel Members have previously requested that the Commissioner provide a list of all forthcoming decisions (Forward Plan) rather than those already made. This Forward Plan of Key Decisions for the OPCC and the Force has been updated and is contained in **Appendix D**.

7. Financial Implications and Budget Provision

- The Commissioner's Strategic Resources and Performance meetings (SSRP) provide a formal mechanism for holding the Chief Constable to account. At this meeting the Chief Constable submits a number of financial reports for scrutiny.

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

- The final financial outturn position for 2019/20 was reported to the SSRP meeting held on 14 May 2020. At 31 March 2020, the financial revenue outturn position was £206,375,000, which represented a force overspend of £92,000 against a total approved net revenue budget of £206,283,000. The OPCC achieved an on budget position.
- Actual overspend for 2019/20 was £299k less than the figures forecasted in January 2020, largely due to COVID-19 related issues and a number of orders placed with suppliers that were not delivered before the end of the financial year. This will ultimately impact on budget pressures in 2020/21.
- Monitoring has been problematic throughout the year, and while outturn monitoring in relation to all pay has been completed, payroll and general ledger continue to be out of balance at the present time. Inaccuracies between departments are also currently irreconcilable and inconsistent.

Nottinghamshire Police Revenue Position as at the end of March 2020 by Department

	Revised Budget £'000	19/20 Actuals	FO-RB Variance £'000
Local Policing			
County	43,196	42,129	(1,067)
City	29,424	30,652	1,228
Contact Management	16,166	15,491	(675)
	88,786	88,272	(514)
Crime & Operational Services			
Public Protection	12,501	12,488	(13)
Operational Support	10,225	10,827	602
Intelligence	9,141	8,238	(903)
Serious & Organised Crime	7,428	6,791	(638)
Archive & Exhibits	1,115	1,085	(30)
Other	255	516	262
	40,665	39,945	(720)
Corporate Services			
Technical Accounting	12,343	13,492	1,149
Information Services	11,622	11,236	(387)
Estates	6,235	7,646	1,411
Fleet	3,246	3,556	310
People Services	1,781	1,910	129
PSD	1,575	1,367	(208)
Futures Board	789	427	(362)
Command	1,278	1,406	128
Corporate Development	1,121	898	(222)
Corporate Communications	843	647	(196)
Finance	691	769	78
Information Management	531	432	(99)
Other smaller budget departments	215	258	42
	42,271	44,043	1,772
Collaboration			

EMSOU Operations	13,472	12,596	(877)
EMCJS	9,071	9,783	712
EMSOU Services	4,175	4,328	153
MFSS	2,567	2,467	(100)
ESN	186	230	44
EMSCU	153	190	37
	29,624	29,593	(31)
Home Office Grants & Partnerships			
Knife Crime	0	173	173
ARV Uplift	0	(118)	(118)
Cyber Crime	0	(0)	(0)
Op Uplift	0	(507)	(507)
Externally Funded Projects	(38)	0	38
	(38)	(453)	(415)
Force Total	201,308	201,400	92
OPCC	4,975	4,975	0
Group Total	206,283	206,375	92

Overspends shown as positive numbers, under-spends shown as () numbers.
No manual adjustments have been made for rounding

- The most significant areas of overspend include: Local policing in the city (+£1,228k) which have been offset by underspends in the county and contact management; Technical accounting (+£1,149k) reflecting re-coding on pay and an increase in transfers to reserves and; Estates (+£1,411), reflecting cost of uniform for new officers accrued during March 2020 and a rise in provision for dilapidation costs on account of inflationary increases.
- A £14,630k capital budget was agreed for 2019/20, calculated as £1,470k slippage from 2018/19 and £13,160k new allocations, which include an additional £900k in relation to the Joint FHQ New Build, £50k in relation to additional vehicle purchases and £29k in relation to Conducted Energy Devices (CED). Actual spend during the year was £8,072k, resulting in £6,410k slippage and a small underspend of £147k. Slippage is predominantly against the two multi-year new build projects, with Nottingham Custody Suite having experienced delays as a result of contractual difficulties. £496k is due to unavoidable COVID-19 issues.

Capital Outturn Position as at the end of March 2020, by Project

Project Name	Revised Budget £'000	Forecast Outturn £'000	Underspend £'000	Slippage to 2020/21 £'000
Estates				
Nottingham Custody Suite	6,430	1,422	0	(5,008)
Building Improvement, Renovation & Conversion Works	1,185	895	(0)	(290)
Hucknall EMAS	674	674	0	0
Custody Improvements	360	297	0	(63)
New HQ Joint Build	1,252	1,060	0	(192)
Northern Property Store	246	246	0	0
Bunkered Fuel Tanks	62	62	0	0
Automatic Gates & Barriers	35	29	(6)	0
Community Rehabilitation Companies Renovations	25	24	(1)	0
West Bridgford Police Station Relocation & Sale	431	174	(93)	(165)
Northern Control Room	386	24	0	(362)
Estates Total	11,087	4,907	(100)	(6,080)
Information Services				
Command & Control	1,771	1,730	(41)	0
Technology Services Refresh & Upgrades	1,315	1,132	(0)	(183)
ANPR Camera Project	157	9	0	(148)
NEP	55	49	(7)	0
SICCS Upgrade	0	0	0	0
IS Total	3,297	2,919	(47)	(331)
Other Projects				
Taser	29	29	0	0
Vehicle & Equipment Replacement	217	217	(0)	0
Other Total	246	246	(0)	0
Overall Total	14,630	8,072	(147)	(6,410)

Overspends shown as positive numbers, under-spends shown as () numbers.
No manual adjustments have been made for rounding

- **Appendices B and C** contain the full finance revenue and capital reports submitted to the Strategic Resources and Performance Board and provide more detail regarding the provisional year end position for each.

8. Human Resources Implications

- None - this is an information report.

9. Equality Implications

- The case study reported on at section 4.1 details some of the good work undertaken by the PCC and Chief Constable to advance the inequalities of BAME communities. Building trust and confidence is vital if we are to effectively engage with our diverse communities.
- Engagement however, should be followed with meaningful action so that our communities can see that we take their concerns seriously and follow through on our promises. The PCC has recently established a Community Listening Group and further scrutiny groups will follow in the next few months.

10. Risk Management

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

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

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

12. Changes in Legislation or other Legal Considerations

- The Commissioner publishes a horizon scanning briefing on a fortnightly basis which is widely accessed by OPCC, policing and other partner agencies nationally. The briefing captures information from a wide range of sources including emerging legislation, government publications, audits and inspections and significant consultations, statistics and research findings in order to help inform local strategic planning and decision making. The briefings can be accessed via the Commissioner's website^o.

13. Details of outcome of consultation

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

14. Appendices

- A. Nottinghamshire Performance and Insight Report - Quarter 1 - 2020/21
- B. Finance Revenue Budget Position for Q4 2019/20 as at March 2020: Paper presented to Strategic Resources and Performance Board on 14 May
- C. Finance Capital Budget Position for Q4 2019/20 as at March 2020: Paper presented to Strategic Resources and Performance Board on 14 May
- D. Forward Plan of Key Decisions for the OPCC and the Force to July 2020

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

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

For any enquiries about this report please contact:

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

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

QUARTER 1: PERFORMANCE TO JUNE 2020

Guidance notes:

1. The following performance indicators are taken from the Police and Crime Commissioner's (PCC) plan 2018-21. The information is structured according to the four strategic priority themes.
2. Wherever possible, performance information is provided for a 12 month rolling period compared to the equivalent 12 months of the previous year, in order to provide an indication of trend. Where information provided is for an alternative period this is stated.
3. Additional insight is included in the report in order to provide context in relation to performance exceptions only.
4. Data sources and further insight is specified at Appendix 1, including any information supplied outside of the Nottinghamshire Police Management Information team.
5. Amendments and additions have been added to this edition of the P&I report, in line with the revised Police and Crime Plan Strategic Framework (2018-21)
6. Due to the impact of the COVID-19 pandemic Coronavirus Restrictions which came into force in March 2020, it has not been possible to undertake planned face to face fieldwork this quarter as part of the Commissioner's rolling Police and Crime Survey. The situation will be re-assessed following the further easing of lockdown measures on 1 August, with a view to resuming the programme of consultation in late summer if deemed safe, practical and appropriate to do so.

Performance exceptions:

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

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

Summary of Key Performance Headlines and Exceptions

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

- Nottinghamshire Police was assessed by HMICFRS as 'GOOD' at Protecting Vulnerable People as part of the 2019 PEEL inspections.
- Safeguarding referrals continue to show marked increases each quarter, largely due to improved training and better Partnership working.
- Missing Persons Reports have continued to see progressive reductions each yearly quarter.
- Recorded Modern Slavery offences saw a marked increase in the 12 months to June 2020 (+149.1%) partly due to the dedicated team and on-going training & awareness raising.
- Police recorded Child Sexual Exploitation (CSE) offences continue to see reductions.
- Online crime saw increases in the latest quarter and yearly comparison.

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

- Domestic Abuse crimes increased by 4.2% in the year ending June 2020 compared to the previous 12 months; lockdown measures and victims being furloughed at home are thought to have contributed.
- The collection of DA satisfaction data for the last quarter has not been possible due to Covid-19 restrictions.
- Both Adult and Child Serious Sexual Assaults saw reductions in the year ending June 2020.

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

- Victim-based crime decreased by a further 8,778 offences in the year ending June 2020.
- Crime in urban areas continued to decrease more noticeably than rural areas.
- Of the 23 Priority Areas, Basford and Arboretum recorded the highest severity scores in the 12 months to June 2020.
- Gun Crime saw noticeable decreases between March and May 2020 and then a marked increase to 17 offences in June 2020.
- Both Alcohol related Violence and ASB continued to see reductions in this period compared to the previous two years.
- Both City and County Youth Offending Teams have seen reductions in First Time Entrants (FTE) into the youth justice system over the last year.

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

- PSD recorded timeliness saw a large increase in the 12 months to June 2020.
- Both Police Officer and Police Staff sickness levels saw reductions compared to the previous 12 months.
- 999 calls for service saw a reduction in the latest year to June 2020, with April 2020 seeing the lowest number of calls received in two years.

Theme 1: Protecting Vulnerable People from Harm

Theme 1A: More Vulnerable People Safeguarded and Protected

	Aim	12 months to Jun 2019	12 months to Sep 2019	12 months to Dec 2019	12 months to Mar 2020	12 months to Jun 2020	Change over last year		
							%	Actual	
1A.1	Adult and Child Safeguarding Referrals	Increase	5,837	6,401	6,739	7,056	7,450	+27.6%	+1,613
1A.2	Missing persons	Monitor	3,242	3,153	2,964	2,895	2,712	-16.4%	-530
1A.3	Missing: No apparent risk	Monitor	3,094	3,016	3,008	3,103	2,838	-8.3%	-256
1A.4	Mental health-related incidents	Monitor	18,708	18,456	18,416	18,818	19,249	+2.9%	+541

Safeguarding Referrals

Safeguarding referrals to Nottinghamshire Police have continued to increase over the last year, reaching a new peak in June 2020 (777). Referrals have increased by 27.6% over the last year.

This positive trend has been largely driven by improvements in the identification and recording of safeguarding concerns, which in turn enable agencies to take appropriate safeguarding actions to minimise the risk of harm. Improved training and better Partnership working in relation to CSE, PPNs and Knife crime are believed to have impacted upon this trend.

Missing Person Reports

Missing Person reports have been in decline since May 2018 following force investment in a dedicated Missing Team to work collaboratively on safeguarding issues. Missing person reports have fallen by 16.4% over the last year, bucking rising trends seen among other police forces nationally. These reductions are estimated to equate to savings of around £1.3 million over the last two years. Average monthly reports have fallen from 244 to 226 over the last year.

Reports of 'Missing with no apparent risk' (formerly Absent Persons Reports) increased sharply during February and March 2020 – reaching the highest monthly rate (302) since July 2018. The April and May 2020 COVID-19 lockdown period saw large reductions in 'Missing with no apparent risk' reports, however levels returned to a more normal rate in June 2020 (259).

Mental Health-Related Incidents

Police recorded mental health reports have averaged around 1,604 per month over the last year, which marks an increase of around 2.9% on the previous year (1,559 per month). This increase follows a downward trend seen since Summer 2019 and is most likely attributable to the impact of Covid-19 lockdown measures.

Theme 1: Protecting Vulnerable People from Harm

Theme 1B: Improved Response to Serious and Emerging Threats

	Aim	12 months to Jun 2019	12 months to Sep 2019	12 months to Dec 2019	12 months to Mar 2020	12 months to Jun 2020	Change over last year	
							%	Actual
1B.1	Fraud Offences	3,076	3,049	3,006	3,013	2,877	-6.5%	-199
1B.2	Online Crime	3,567	3,469	3,556	3,641	3,813	+6.9%	+246
1B.3	Drug Trafficking and Supply Offences	847	897	947	908	959	+13.2%	+112
1B.4	Police recorded Child Sexual Exploitation	588	575	560	525	520	-11.6%	-68
1B.5	Police recorded Modern Slavery offences	53	73	102	116	132	+149.1%	+79

Modern Slavery

The last financial year saw significant increases in recorded modern slavery offences and the latest quarter continues this trend with a 149.1% increase compared to the previous year. This positive trend largely reflects on-going training and proactivity among officers and an increased awareness of the nature, risk, legislation and signs of slavery. The force has a dedicated Modern Slavery and County Lines Team. The force continues to take a proactive approach to identifying and tackling modern slavery - seeking out offences, ensuring survivors are protected and that offenders are brought to justice.

Fraud offences and online crime

Fraud offences and online crime continue to represent a significant challenge to the police and represent a growing demand on police resources. Fraud saw a 6.5% reduction over the last 12 months. The proportion of crime flagged as online offending, meanwhile has been increasing since September 2020.

Child Sexual Exploitation

The latest quarter has seen a continuation in the reduction of CSE, with an 11.6% decrease compared to the previous 12 months. There are no definitive factors that can be evidenced to explain this reduction. However, a number of considerations can be given to provide possible context for the reduction:-

- Previously, CSE was a force priority area and heavily advertised; more recently CCE (Child Criminal Exploitation) has become the priority and some crimes may now be recorded as this.
- Notts has recently seen an uplift in the recruitment of new officers; there may be issues with their training and understanding of crimes linked to CSE and the use of the correct flags.
- There has been increased education and advertisement about CSE in the public domain; this could have had the potential to put some offenders off or, has made them smarter in their offending so that crimes are becoming better hidden.

Drug Trafficking and Supply Offences

Recorded drug trafficking and supply offences have continued to increase; over 13% in the past 12 months. In the latest quarter, there have been 21 drug seizures, 62 vehicles seized of which 7 were stolen and £3000 of criminal cash seized.

The Op Reacher teams are continuing to support local churches with care packages and have liaised with Tesco to supply a gift hamper to a local resident who had gone above and beyond their normal duties during the pandemic. Police vehicles are also to receive 'Reacher' branding (black bonnet and Op Reacher lettering), providing an increased visual presence on Nottinghamshire's roads

Theme 2: Helping and Supporting Victims

Theme 2A: Improved Reporting and Response to Domestic and Sexual Violence and Abuse

	Aim	12 months to Jun 2019	12 months to Sep 2019	12 months to Dec 2019	12 months to Mar 2020	12 months to Jun 2020	Change over last year		
							%	Actual	
2A.1	Police recorded domestic abuse crimes	Monitor	14,571	14,860	15,124	15,119	15,176	+4.2%	+548
2A.2	Domestic abuse repeat victimisation rate	Monitor	33.5%	34.4%	34.5%	34.1%	33.8%	+0.3% pts	n/a
2A.3	Domestic abuse: Positive Outcome Rate	Monitor	14.6%	13.8%	13.4%	13.7%	13.2%	-1.4%	n/a
2A.4	% Domestic abuse victims satisfied (overall)	Monitor	90.9%	90.0%	88.0%	88.4%*	*n/a	n/a	n/a
2A.5	Serious sexual offences: Adult	Monitor	1,500	1,447	1,466	1,431	1,340	-10.7%	-160
2A.6	Serious sexual offences: Child	Monitor	1,391	1,406	1,387	1,408	1,233	-11.4%	-158
2A.7	Sexual Offences: Positive Outcome Rate	Monitor	8.5%	7.2%	7.3%	7.8%	8.2%	-0.3% pts	n/a

Domestic Abuse

The area has seen an increasing trend in reporting over the last two years due, in part, to improvements in recording and a likely increase in survivor confidence to come forward and seek support from the force and partner agencies.

Domestic abuse crimes increased by 4.2% in the year ending June 2020 compared to the year ending June 2019. June 2020 levels were the highest recorded for 12 months (1,434) and could be attributable to the lockdown period and victims being furloughed at home. The proportion of victims that are repeats has increased marginally during the year.

Levels of satisfaction with the police among survivors of domestic abuse began to reduce between April 2018 and December 2019, largely driven by reductions in satisfaction among victims with being kept informed. The Force devised an audit to review numerous crimes for VCOP compliance in keeping victims informed. This deals with non-compliance through a series of emails and later personal interventions from managers.

* NB: Satisfaction survey suspended during period of Covid-19 restrictions.

Sexual Abuse

Both Adult and Child Serious Sexual Offences saw decreases of 10.7% and 11.4% respectively in the year ending June 2020 when compared to the previous 12 months. Figures were markedly lower between March and May 2020 as a result of the lockdown and Covid-19 measures. The positive outcome rate remains broadly comparable to the level seen in June 2019, despite having dipped during the remained to 2019.

Theme 2: Helping and Supporting Victims

Theme 2B: Victims Receive High Quality and Effective Support Services

	Aim	12 months to Jun 2019	12 months to Sep 2019	12 months to Dec 2019	12 months to Mar 2020	12 months to Jun 2020	Change over last year		
							%	Actual	
2B.1	Victims Code of Practice Compliance	Monitor	90.4%	90.0%	90.0%	90.4%	91.4%	+1.0%	n/a
2B.2	Victim Services: Closed Cases	Monitor	2,956	3,526	3,545	3,565	n/a	n/a	n/a
2B.3	Improved cope and recover outcomes (all)	Monitor	79.6%	80.6%	79.5%	78.4%	n/a	n/a	n/a
2B.4	% crimes resolved via community resolution	Monitor	10.5%	10.7%	10.4%	10.0%	9.5%	-1.0%	n/a

Victims Code of Practice

The Victims Code Of Practice (VCOP) requires that a VCOP assessment be made and recorded for every victim of a crime, and that victim services should be offered as part of this assessment. In order to be VCOP compliant, every victim-based crime should have a completed VCOP recorded on the crime and the officer should record that victim services have been offered. A slight improvement has been seen in the past 12 months compared to the previous 12 months that may be attributable to the more robust screening of RASSO offences and VCOP compliance.

Victim Services

Ministry of Justice funded victim services commissioned by the PCC supported around 11,071 individuals in 2019/20, of which 10,135 were new referrals to these services. Victim services formally closed around 3,565 cases in 2019/20, of which around 78.4% reported being better able to recover and cope with aspects of everyday life as a result of the support received. This remains broadly in line with levels recorded in 2018/19. Outcomes remain particularly strong among the services providing support for survivors of Child Sexual Exploitation and Abuse, where around 90% of cases closed reported improvements in their ability to cope and recover.

Community Resolution

The proportion of crimes resulting in community resolution has remained relatively stable over the previous year with a 1% reduction in the 12 months to June 2020 when compared to the previous year.

Theme 3: Tackling Crime and Anti-social Behaviour

Theme 3A: People and communities are safer and feel safer

	Aim	12 months to Jun 2019	12 months to Sep 2019	12 months to Dec 2019	12 months to Mar 2020	12 months to Jun 2020	Change over last year		
							%	Actual	
3A.1	Victim-based crime: Total	Monitor	92,677	92,432	92,076	90,797	83,899	-9.5%	-8,778
3A.2	Victim-based crime: Rural areas	Monitor	10,768	10,983	11,388	11,406	10,718	-0.5%	-50
3A.3	Victim-based crime: Urban areas	Monitor	80,915	80,463	79,532	78,351	72,279	-10.7%	-8,636
3A.4	Average Crime Severity: Force-wide	Monitor	167.99	163.34	163.01	159.06	158.23	-5.8%	-9.76
3A.5	Average Crime Severity: Priority areas	Monitor	170.03	165.87	164.22	174.67	172.84	+1.7%	+2.81
3A.6	Residents reporting experience of crime	Monitor	18.9%	18.1%	18.9%	18.0%	*n/a	n/a	n/a
3A.7	% residents feeling safe in area by day	Monitor	89.1%	89.2%	88.7%	89.2%	*n/a	n/a	n/a
3A.8	% residents feeling safe in area after dark	Monitor	60.5%	61.1%	61.0%	61.5%	*n/a	n/a	n/a
3A.9	% reporting drug use / dealing as an issue	Reduce	48.1%	48.9%	43.3%	42.8%	*n/a	n/a	n/a

Police recorded crime

Police recorded crime, decreased by 8,778 offences in the 12 months up to June 2020, largely influenced by significant reductions between April and June 2020. This correlated with the Covid-19 lockdown measures, with some of the most pronounced reductions being seen in Theft from Person, TFMV, Burglary Residential and Business Robbery. Police recorded crime in rural areas decreased marginally, while crime in urban areas increased more noticeably over the 12 month period

*Self-reported experience of crime (Police & Crime Survey) has not been captured this quarter as fieldwork has been delayed by the impact of Covid-19.

Crime Severity

The average severity score of crimes recorded force-wide (based on weightings via the ONS Crime Harm Index) has reduced by 5.8% over the last year, indicating a higher volume of offences being recorded that are of lower severity, alongside reductions in the highest severity offences.

The 23 Priority Areas saw a slight (+1.7%) increase in average crime severity in the year ending June 2020, rising from 170.0 to 172.8. This follows a reducing trend seen throughout 2019. The priority areas of Basford (206.46) and Arboretum (203.46) have recorded the highest crime average severity scores over the latest 12 month period.

Resident concerns regarding drug use and dealing

*Police and Crime survey measures have not been captured this quarter. Fieldwork has been delayed by the impact of Covid-19.

Theme 3: Tackling Crime and Anti-social Behaviour

Theme 3B: Fewer People Commit Crime and offenders are supported to rehabilitate

	Aim	12 months to Jun 2019	12 months to Sep 2019	12 months to Dec 2019	12 months to Mar 2020	12 months to Jun 2020	Change over last year		
							%	Actual	
3B.1	Violent knife crime	Monitor	837	806	812	762	739	-11.7%	-98
3B.2	Violent knife crime: Positive outcomes	Monitor	28.9%	29.8%	29.6%	27.3%	26.9%	-2.0% pts	n/a
3B.3	Gun crime	Monitor	163	153	175	163	149	-8.6%	-14
3B.4	Possession of weapons offences	Monitor	1,163	1,221	1,263	1,205	1,112	-4.4%	-51
3B.5	Stop and Searches	Monitor	3,933	4,608	5,405	5,487	5,377	+36.7%	+1,444
3B.6	Stop and Search: Positive outcomes	Monitor	41.8%	42.5%	42.5%	40.4%	39.8%	-2.0% pts	n/a
3B.7	Alcohol-related violence	Monitor	17.4%	16.9%	16.4%	16.0%	15.4%	-2.0% pts	n/a
3B.8	Alcohol-related ASB	Monitor	9.5%	9.5%	9.4%	8.9%	7.8%	-1.7% pts	n/a

Violent Knife Crime

There has been a steady reduction in the number of violent Knife Crimes recorded since 2018, with a further 11.7% reduction being recorded in the last 12 months compared to the previous 12 months. The proportion of offences resulting in a positive outcome has reduced by 2% points over the last year.

Gun Crime

Police recorded gun crime has decreased by over 8% in the current 12 month period. Large monthly decreases were seen January to May 2020, however, an upsurge to 17 offences was seen in June 2020. See Appendix A.

Stop Searches

There has been a significant increase in the number of stop searches conducted since January 2018, largely attributable to Operation Reacher. Levels have remained high in the latest year to June 2020, despite reduced numbers in Feb-Apr 2020. This trend is likely to continue in view of new community teams that were formed in January 2020.

Positive Outcomes improved steadily in 2019, although, the latest year end to June 2020 has seen a small reduction. The increase in activity and upward trend of positive outcomes is primarily associated with targeted intelligence led operations which derive from local commanders identifying a specific crime issue in a given location that can be addressed through on-street proactive policing activity. The force continues to work with communities in our use of these powers.

Possession of Weapons

Police recorded Possession of Weapons offences decreased by 4.4% to June 2020 compared to year ending June 2019; this reflects the continued positive proactive work of Op Reacher and the newly formed community teams in taking more weapons taken off the streets.

Alcohol-related violence and ASB

The force is working to develop an accurate picture of alcohol-related crime via use of an alcohol marker on the Niche crime recording system. The monthly rate has remained stable with Alcohol related violence continuing to see steady reductions over the previous two years and Alcohol related ASB also seeing a steady downward trend over the previous two years.

Theme 3: Tackling Crime and Anti-social Behaviour

Theme 3B: Fewer People Commit Crime and offenders are supported to rehabilitate

	Aim	12 months to Jun 2019	12 months to Sep 2019	12 months to Dec 2019	12 months to Mar 2020	12 months to Jun 2020	Change over last year		
							%	Actual	
3B.9	IOM: Offenders subject to monitoring	Monitor	286	281	302	317	385	+34.6%	+99
3B.10	IOM: Offenders successfully removed	Monitor	117	108	96	78	61	-47.8%	-56
3B.11	IOM: Reduction in average re-offending risk	Monitor	-44.6%	-44.9%	-45.1%	-45.3%	-46.0%	+1.4% pts	n/a
3B.12	Youth Justice First Time Entrants: City	Monitor	156	154	146	140	109	-30.1%	-47
3B.13	Youth Justice First Time Entrants: County	Monitor	158	137	122	123	115	-27.0%	-43
3B.14	Crimes with an identified suspect (average)	Monitor	2,787	2,836	2,897	3,048	3,102	+11.3%	+315
3B.15	Positive outcomes: All crime	Monitor	15.4%	15.5%	15.4%	15.4%	15.6%	+0.2% pts	n/a
3B.16	Positive outcomes: Victim-based crime	Monitor	12.0%	12.0%	11.8%	11.7%	11.9%	-0.1% pts	n/a

Integrated Offender Management (IOM)

The IOM scheme monitored reoffending risk among 61 offenders removed from the scheme during the previous year. Of these, the average reoffending risk scores (RRS) per offender fell from 209 (entry score) to 87 (removed score) – marking a reduction of 58%.

A further 324 offenders have been actively engaging with the scheme over the last year. Among this cohort, 212 have received mid-point reoffending risk assessment (12 months post-scheme entry), whereby average IOM reoffending risk scores fell from 336 (on score) to 223 (mid-point score). This marks a 34% reduction in reoffending risk among the active IOM cohort.

DVIOM Scheme

As at June 2020, 89 offenders had been removed from the DVIOM scheme, of which their average Priority Perpetrator Identification Tool (PPIT) score per offender fell from 11.8 (at point of entry onto scheme) to 7.8 (at point of removal). This marks a reduction of 33% in the PPIT risk score. The threshold for entry onto the DVIOM scheme has increased to 17.0 (PPIT), from around 8.0 since the scheme was launched in 2017. While this has led to some lower scoring offenders being removed from the scheme, DVIOM continues to maintain a focus on the highest risk offenders identified. Assessment of the DVIOM cohort via the standard IOM matrix indicates a reduction in reoffending risk of 46%, with average RRS scores falling from 183 (entry score) to 91.5 (removed score).

A further 60 offenders remain on the scheme and are subject to ongoing performance monitoring.

Youth Justice – First Time Entrants

Both the City (-30.1%) and County (-27.0%) Youth Offending Teams have seen steady reductions in rates of First Time Entrants into the Youth Justice System over the last year.

Identified Suspects

The number of Niche crime outcomes with a named suspect has been increasing steadily since April 2018, with a further 11.3% increase over the last year to June 2020.

Positive Outcomes: All Crime & Victim Based Crime

Positive outcome rates for both All Crime and Victim Based Crime have remained relatively stable.

Theme 3: Tackling Crime and Anti-social Behaviour

Theme 3C: Build Stronger and More Cohesive Communities

	Aim	12 months to Jun 2019	12 months to Sep 2019	12 months to Dec 2019	12 months to Mar 2020	12 months to Jun 2020	Change over last year	
							%	Actual
3C.1	Police recorded hate occurrences	Monitor 2,357	2,346	2,320	2,351	2,379	+0.9%	+22
3C.2	Hate crime repeat victimisation rate	Monitor 15.8%	15.3%	14.7%	14.4%	14.3%	-1.5%	n/a
3C.3	% Hate crime victims satisfied (overall)	Monitor 83.0%	84.2%	85.4%	84.0%	84.3%*	n/a	n/a
3C.4	% feeling there is a sense of community	Monitor 50.8%	51.1%	52.6%	54.0%	*n/a	n/a	n/a
3C.5	% feeling different backgrounds get on well	Monitor 53.8%	53.1%	53.4%	54.7%	*n/a	n/a	n/a
3C.6	Anti-social Behaviour Incidents	Monitor 31,870	31,647	31,455	32,137	39,019	+22.4%	+7,149
3C.7	Anti-social Behaviour Incidents: % Repeats	Monitor 28.4%	28.4%	28.4%	28.4%	26.9%	-1.5 pts	n/a
3C.8	Alcohol-related ASB	Monitor 9.5%	9.5%	9.4%	8.9%	7.8%	+1.7 pts	n/a

Hate Crime

Recorded Hate Crime has remained steady over the previous two years. Repeat victims of Hate Crime have seen a gradual decline over the two year period. Victim Satisfaction has remained at around 84%.

*NB: Please note that Hate Crime survey results are 2-3 months behind real time and the data shown is only to May 2020 due to Covid-19 restrictions.

Community Cohesion

This measure cannot be updated this quarter as fieldwork has been delayed by the impact of Covid-19.

Anti-social Behaviour

ASB saw large increases from April to June 2020. Performance in relation to ASB remains stable, as does the number of repeat victims. Alcohol related ASB has also seen a downward trend over the previous year, reducing by 19 incidents in the 12 months to June 2020, when compared with the 12 months to June 2019.

New questions introduced into the PCC's Police and Crime Survey in 2019 will continue to provide a consistent measure of self-reported experience of ASB and its impact in 2020, once Covid-19 restrictions have been lifted.

Theme 4: Transforming Services and Delivering High Quality Policing

Theme 4A: Further Improve Public Confidence in Policing

	Aim	12 months to Jun 2019	12 months to Sep 2019	12 months to Dec 2019	12 months to Mar 2020	12 months to Jun 2020	Change over last year	
							%	Actual
4A.1	Police are dealing with the issues that matter	Monitor 40.3%	40.9%	42.0%	41.7%	*n/a	n/a	n/a
4A.2	Residents feeling the Police do a good job	Monitor 47.7%	47.9%	49.3%	50.0%	*n/a	n/a	n/a
4A.3	Residence reporting confidence in the police	Monitor 53.4%	53.6%	54.9%	55.4%	*n/a	n/a	n/a
4A.4	% residents satisfied with the police	Monitor 59.2%	60.4%	59.2%	58.4%	*n/a	n/a	n/a
4A.5	PSD Recorded Complaints	Monitor 995	988	989	896	904	-9.1%	-91
4A.6	PSD Recorded Complaints: Timeliness (days)	Monitor 55.0	60.0	68.0	73.0	● 91.5	+66.4%	+36.5

Public Confidence in the Police

Indicators of public confidence in the police saw steady improvements during 2019/20.

*Police and Crime survey has been delayed this quarter on account of the Covid-19 pandemic.

PSD Recorded Complaints: Timeliness

The average timeliness for the resolution of PSD complaints has risen from around 55 days to 92 days over the last year. This has been affected by data cleansing of information recorded on Centurion and chasing of historical complaints for closure – which in turn has skewed the data. Work continues to drive improvements in timeliness for PSD recorded complaints, which includes:

- A revised PSD performance pack to ensure scrutiny and current reporting procedures from the IOPC
- New arrangements to highlight 'legacy' cases that will be dealt with via the Senior Management Team
- Extensive training on Centurion undertaken by staff in June 2020

The restructure has also seen the two local resolution Sergeants moved from the City and County into the PSD umbrella. This will mean stronger supervision and more stringent scrutiny of historical complaints.

Theme 4: Transforming Services and Delivering High Quality Policing

Theme 4B: Achieving Value for Money – Budget and Workforce

	Aim	12 months to Jun 2019	12 months to Sep 2019	12 months to Dec 2019	12 months to Mar 2020	12 months to Jun 2020	Change over last year	
							%	Actual
4B.4	Staffing vs Establishment: Officers	Monitor 99.7% 1,943/1,950	98.9% 1,939/1,960	98.2% 1,935/1,970	98.7% 1,980/2,006	*98.8% 2,062/2,087	-0.9% pts	+119
4B.5	Staffing vs Establishment: Staff	Monitor 97.0% 1,115/1,151	96.9% 1,157/1,123	97.0% 1,166/1,131	98.3% 1,119/1,138	*99.6% 1,134/1,139	+2.6% pts	+19
4B.6	Staffing vs Establishment: PCSOs	Monitor 90.3% 181/200	87.7% 175/200	84.6% 169/200	75.53% 151/200	*83.5% 167/200	-6.8% pts	-14
4B.7	% Contracted days lost to Sickness: Officers	Monitor 5.13% 19,710	5.33% 20,311	5.29% 20,733	5.24% 20,718	4.83% 19,628	-0.3% pts	-82
4B.8	% Contracted days lost to Sickness: Staff & PCSOs	Monitor 5.13% 14,384	5.11% 14,521	5.10% 14,225	5.13% 14,426	4.80% 13,741	-0.33% pts	-643

Budget vs Spend: Revenue/Capital

In terms of budget vs actual spend, the Force ended up being £92k overspent for the year ended 19/20 for our revenue budget. The total spend was £206,375k versus a budget of £206,286k. For capital spend for 19/20 we spent a total of £8,072k versus a budget of £14,580k which was an underspend of £6,508k.

Staffing: Officers / Staff / PCSOs

The number of police officers (+119) and staff (+19) in post across Nottinghamshire has increased over the last year compared to a marginal reduction in PCSOs (-14). Established PCSOs posts (200) continue to show the highest vacancy rate (16.5%)

* Data reported up to 31/05/20

Sickness: Officers / Staff & PCSOs

Overall, Officer and Staff sickness rates have been reducing over the last two-years, with the latest quarter showing one of the lowest sickness rates recorded during this period, despite the impact of the COVID-19 pandemic.

A separate absence category has been introduced in order to track the impact of COVID 19 and the force has continued to follow government guidelines in implementing self-isolation, shielding and authorised absences where necessary. These cases are not reported as sickness absence. It is likely that the COVID restrictions have led to reductions, not only the spread of common viruses, but also absences caused by physical injuries, such as sporting activity.

Other potential contributory factors include reductions in demand, increases in staffing as new officers have arrived on shift. A sense of duty at a time of crisis can also lead to reductions in absence rates. The force's Staff Survey indicates that motivation to serve the public remains high.

The increase of flexibility and working from home is well-researched externally and is known to increase productivity and reduce absence. We are also aware, however, that due to fear of Covid-19, some individuals are likely to be avoiding diagnosis of emerging health concerns, which may present to the service at a later date.

Theme 4: Transforming Services and Delivering High Quality Policing

Theme 4C: Achieving Value for Money – Demand Management

	Aim	12 months to Jun 2019	12 months to Sep 2019	12 months to Dec 2019	12 months to Mar 2020	12 months to Jun 2020	Change over last year	
							%	Actual
4C.1	Calls for Service: 999	186,229	189,325	190,968	195,050	188,570	+1.3%	+2,341
4C.2	Abandoned Call rate: 999	0.08%	0.06%	0.11%	0.51%	0.70%	+0.6% pts	n/a
4C.3	Calls for Service: 101	417,705	406,989	400,047	388,671	372,991	-10.7%	-44,714
4C.4	Abandoned Call rate: 101	3.1%	2.0%	2.1%	5.1%	7.4%	+4.3% pts	n/a
4C.5	Response times: Grade 1 Urban	77.9%	78.7%	79.3%	-	-	-	-
4C.6	Response times: Grade 1 Rural	74.6%	74.6%	74.2%	-	-	-	-
4C.7	Response times: Grade 2	50.9%	52.1%	52.5%	-	-	-	-
4C.8	Compliance with NCRS	94.0%	94.0%	94.0%	94%-96%*	96.1%	+0.1*	n/a

Calls for Service: 999 and 101

999 calls have seen successive increases over the last two years, however, the latest year to June 20 has seen a reduction of over 2,000 calls compared to the previous 12 months to March 2020. April 2020 saw the lowest number of 999 calls recorded in the last 2 years (11,824), mainly attributable to the Covid-19 situation. Abandoned call rates for 999 remain extremely low. 101 calls have seen successive decreases over the last two years, mainly attributable to the cost of using the service and the Public reluctance to incur a charge. However, the last yearly quarter figure to the end of June 2020 has seen an increase in the number of 101 abandoned calls.

Response Times within Target

Response times for the latest full year to June 2020 have been affected by the introduction of SAFE and are not available at this time.

Compliance with NCRS

The coronavirus lockdown has seen significant reduction in crime in many categories throughout England and Wales, including Nottinghamshire. NCRS compliance remains strong at 96.1% overall.

* Proxy measure. Reporting affected by the transition to the new 'SAFE' system in January 2020.

APPENDIX A

Gun Crime

The Force has produced a problem profile for Gun Crime. Points of note for the latest quarter (March-June 2020) include an increase in 'actual' firearms discharges across both the City and the County in June 2020 following a low during the preceding months. All of the discharges appear to emanate from different issues, and have resulted in offenders either being arrested, charged or remanded. Only one of the offenders is known to be mapped to a recognised Organised Crime Group. Other discharges have resulted from a dispute between nominals that are known to each other. P&I figures contain air weapon offences, these are not included in the intelligence gathering of Gun Crime as they are typically ASB and are deemed low risk/threat. We have also seen an increase in drugs offences as lockdown restrictions have eased and business becomes more overt in its nature. Firearms discharges are often linked to historic and ongoing tensions in the drug market.

ECINS Update

A training plan has been created to ensure that there is clear guidance on basic ECINS use as well as how to maintain the knife crime cohort, how to create a problem-solving plan and how to make a referral to a Complex Case Panel (or local equivalent). NFRS agreed to provide training to each County NPI as well as two super-users per NPI area. Insp Gummer will provide training for the City NPI's and super-users. This will be 'train the trainer' delivery to enable them to cascade the training to their teams. The training package addressed the issues identified from the ECINS audit and was scheduled for delivery April to June 2020 – this unfortunately, had to be postponed and will now be delivered by the end of August.

The creation of short 'how to' videos has also been implemented, these will be stored on the Neighbourhood portals. Any that are relevant to partners can also be shared with them to bring about corporate usage.

Significant work has been undertaken to meet with recommendations from the internal audit, this has ensured that all users still require access to the system and are showing on the correct team. We also ensured that all PNC references and warning markers were deleted from profiles. In relation to building confidence in the system among users and potential users, Notts has the most successful year since the start of the project.

The primary driver for this being the City MARAC process moving onto E-CINS, this has necessitated many additional agencies meaningfully interacting with the system successfully, for a purpose that already existed and had a need for a system such as E-CINS to host it. This project caused partners, such as those in the health sector, who had previously been reluctant to engage with E-CINS, to adopt the system, see the benefits and then envisage further uses.

Appendix B: Revenue Report presented to Joint Audit and Scrutiny Panel

For Information Only	
Public/Non Public*	
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	30 September 2020
Report of:	Mark Kimberley
Report Author:	Tracey Morris
E-mail:	tracey.morris@Nottinghamshire.pnn.police.uk
Other Contacts:	Charlotte Radford
Agenda Item:	

Revenue Report for Period 12; Quarter 4 2019/20 (Provisional Outturn)

1. Purpose of the Report

- 1.1 The purpose of this report is to provide an update on the financial outturn position for revenue as at 31st March 2020 (Period 12, Quarter 4).

2. Recommendations

2.1 Recommendation 1

It is recommended that the contents of the report and virements approved under delegated arrangements for Period 12 2020 shown in Appendix B are noted.

2.2 Recommendation 2

That the Police and Crime Commissioner approve the virements of greater than £100k which have been recommended by the Chief Constable as set out in Appendix C. These virements will be reflected in the outturn position once fully approved. There are none in this period.

2.3 Recommendation 3

That the Police and Crime Commissioner note the overspend position as set out in Appendix D.

2.4 Background

The net revenue budget for 2019/20 is £206,283k. This is split between the Force £201,308k and the Office of the Police and Crime Commissioner (OPCC) £4,975k.

Finance in conjunction with the organisation has continued to review the outturn position. At the end of March 2020 the year end outturn is £206,375k, which represents an over spend of £92k against the budget, a reduction of £299k against Period 10. There were no reports for Period 11. Please also refer to section 8 of this report which identifies risk issues in respect of this report.

3. Reasons for Recommendations

- 3.1 To update the Chief Officer Team and the Office of the PCC on the Force's projected outturn position for 2019/20 and also to comply with good financial management and Financial Regulations.

4. Summary of Key Points

Executive Summary

- 4.1 The final review of revenue expenditure has resulted in an over spend in the Force budget of £92k; and an on budget position within the OPCC.

The main driver for the variance between that reported in P10 and year end is due to COVID-19 issues a number of orders were placed with suppliers, with all good intention of delivery occurring before the end of the financial year, this in some circumstances did not happen, this will impact on budget pressures in 2020/21 when these deliveries will now take place.

Monitoring has been problematic throughout the year as has been reported. It should be noted that outturn monitoring in relation to all pay has been completed, however payroll and general ledger continue to be out of balance at the present time, inaccuracies between departments are also irreconcilable and inconsistent, however this remains unresolved at year end.

The table below shows the Force provisional outturn (including externally funded and seconded officers/staff) variances against the 2019/20 budget plus approved virements (revised budget) as at the end of March 2020.

Variances greater than £50k are explained in more detail within section 4 of this report, unless there is no movement between previous reported variance and this month's variance.

Data explaining the variance between original budget and revised budget can be found in Appendix A. Data explaining the virements can be found in Appendix B and Appendix C.

Nottinghamshire Police Group Position as at the end of March 2020, by Department.

Over spends are shown as + numbers, whilst under spends are shown as () numbers. No adjustments have been made for rounding.

	Revised Budget £'000	19/20 Actuals	FO-RB Variance £'000
Local Policing			
County	43,196	42,129	(1,067)
City	29,424	30,652	1,228
Contact Management	16,166	15,491	(675)
	88,786	88,272	(514)
Crime & Operational Services			
Public Protection	12,501	12,488	(13)
Operational Support	10,225	10,827	602
Intelligence	9,141	8,238	(903)
Serious & Organised Crime	7,428	6,791	(638)
Archive & Exhibits	1,115	1,085	(30)
Other	255	516	262
	40,665	39,945	(720)
Corporate Services			
Technical Accounting	12,343	13,492	1,149
Information Services	11,622	11,236	(387)
Estates	6,235	7,646	1,411
Fleet	3,246	3,556	310
People Services	1,781	1,910	129
PSD	1,575	1,367	(208)
Futures Board	789	427	(362)
Command	1,278	1,406	128
Corporate Development	1,121	898	(222)
Corporate Communications	843	647	(196)
Finance	691	769	78
Information Management	531	432	(99)
Other smaller budget departments	215	258	42
	42,271	44,043	1,772
Collaboration			
EMSOU Operations	13,472	12,596	(877)
EMCJS	9,071	9,783	712
EMSOU Services	4,175	4,328	153
MFSS	2,567	2,467	(100)
ESN	186	230	44
EMSCU	153	190	37
	29,624	29,593	(31)
Home Office Grants & Partnerships			
Knife Crime	0	173	173
ARV Uplift	0	(118)	(118)
Cyber Crime	0	(0)	(0)
Op Uplift	0	(507)	(507)
Externally Funded Projects	(38)	0	38
	(38)	(453)	(415)
Force Total	201,308	201,400	92
OPCC	4,975	4,975	0
Group Total	206,283	206,375	92

4.2 Local Policing – under spend (£514k) a reduction of £1,317k on P10 figures.

The reduction in under spend reflects the on-going issue of miscoding's relating to pay and the year end reconciliation for CNPS where balances are transferred to reserves at the end of the financial year.

4.3 Crime and Operational Services – under spend (£720k) an increase of £287k on P10 figures.

The increase in under spend reflects the on-going issue of miscoding's relating to pay. Accruals have also been created to account for the overdue ARV income from 2018/19 of £411k, the forces share of ARV income from 2016/17 of £90k and £214k in respect of Optik income from EMOpSS; this has been off-set with a cost of £217k in relation to the disaggregation of EMOpSS.

4.4 Corporate Services – over spend £1,772k an increase of £375k on P10.

4.4.1 Technical Accounting – over spend £1,149k an increase of £405k.

This change reflects re-coding on pay and an increase in transfers to reserves of £378k.

4.4.2 Estates – over spend £1,411k an increase of £369k

The cost of uniform for new officers has been accrued this month and an increase in the provision for dilapidation costs reflecting the rise in inflation when these works are required to be carried out.

4.4.3 PSD – Under spend (£208k) an increase of £164k.

This change reflects re-coding on pay.

4.5 Collaboration and Partnerships – under spend (£31k) a reduction of £427k

4.5.1 EMSOU Operations under spend (£877k) a reduction of £882k

This change reflects re-coding on pay.

4.5.2 EMCJS – over spend £712k an increase of £840k

This change reflects re-coding on pay.

4.5.3 MFSS – under spend (£100k), a reduction of £439k

The change in position reflects the release of provision for unexpected costs and a lower charge for GEN2 than was expected.

4.6 OPCC – on budget

The Office of the PCC expenditure was in line with predictions at the start of the year. During the year it was able to recharge some salary costs to grant claims resulting in an overall underspend of £0.083m at year end. Similarly some of the small grants awarded by the PCC were allocated towards grants received from Government departments, enabling the PCC to contribute to more local requests in the future.

In total £1.213m was under spent against the grants and commissioning budget for a variety of reasons such as: partners under spending against grant delivery plans, income received in advance relating to expenditure in 20/21 and unallocated budgets where projects had not been proposed to fully utilise the budget during the year.

The under spends from above will be transferred to reserves for use in future years.

4.7 Grant Funding

This section of the report shows grant funded projects for 2019/20. The use of grant to match expenditure in the outturn figures are shown as income in the tables reported under item 4.1 the detail of which is shown below.

4.7.1 Op Scorpion – Grant £1,540k

No change from last month's report. The project is on track and returns are on time to the Home Office. Although the grant has been maximised, indeed the forces core budget has supported this initiative the outturn is less than that previously reported this is due to the supply of ANPR cameras and fingerprint scanners being delayed due to COVID-19.

Home Office Knife Crime Surge Grant	Core £'000	New £'000	Total Grant £'000	Outturn £'000	Balance £'000
Location targeting: prevention & enforcement in hotspot areas	124	258	382	605	(223)
Individual targeting: intelligence & targeted activity	34	155	188	143	45
Investigative response	471	210	681	873	(192)
Equipment & technology	0	289	289	254	35
	629	911	1,540	1,875	(335)

4.7.2 ARV Uplift – Grant £263k

The variance in outturn of £31k was allocated to Mobile ANPR; this did not go ahead due to factory closure as a result of COVID-19 issues. The purchase will be made through capital in 2020/21.

Home Office ARV Uplift Funding Grant	Core £'000	New £'000	Total Grant £'000	Outturn £'000	Balance £'000
RAPT, TST, TAPT related overtime & staffing	236	(181)	55	55	0
Armoury Improvement		52	52	52	0
Glock 17 Gen 5 Pistol Set		6	6	6	0
New Shields		10	10	10	0
Mobile ANPR		34	34	3	31
Taser Uplift		33	33	33	0
1 x duty planning staff	27		27	27	0
Targetry proposals		26	26	26	0
Method of entry rig and shelter		20	20	20	0
	263	0	263	232	31

4.7.3 Cyber Crime – Grant £160k an increase of £3k.

Region has confirmed a small increase in the grant allowance, which we have utilised against employee costs. The full grant amount has been claimed.

Home Office Cyber Crime Grant	Core	New	Total Grant	Outturn	Balance
	£'000	£'000	£'000	£'000	£'000
Employee costs	99	9	108	112	0
Crypto currency equipment		2	2	2	0
Technology Equipment		20	20	22	0
Travel & accommodation for Cyber Team		10	10	5	0
Phase 3 Equipment Allocation		20	20	20	0
	99	61	160	160	0

4.8 Efficiencies

The 2019/20 efficiency target in order to achieve a balanced budget is £3,300k as per the table below:

Efficiencies Target for 2019/20				
		Target £'000	Outturn £'000	Variance £'000
Pay & Expenses				
	Ongoing staff pay savings	1,500	1,750	250
	Overtime	500	0	(500)
		2,000	1,750	(250)
Non Pay				
	Procurement	300	400	100
	Comms & Computing	300	200	(100)
	Capital Financing	300	250	(50)
	Supplies & Services	200	200	0
	Income	200	350	150
		1,300	1,400	100
	Total Savings	3,300	3,150	(150)

Savings targets/achievements are captured in the outturn summary at 4.1.

Finance has constantly reviewed all efficiency targets with the organisation to identify any possible risks or opportunities to delivering the yearend target.

5 Financial Implications and Budget Provision

5.1 The financial information relating to this item is contained within item 4.1 and Appendix A.

6 Human Resources Implications

6.1 There are no immediate Human Resource implications arising from this report.

7 Equality Implications

7.1 There are no equality implications arising from this report.

8 Risk Management

8.1 Monitoring has been problematic and errors in the data continue to be reported. It should be noted that outturn monitoring in relation to pay has not been resolved at year end. Payroll and general ledger reporting continue to be out of balance. You will have noticed within section 4 of this report request referrals to on-going issue of miscoding's relating to pay.

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

9.1 There are no policy implications arising from this report.

10 Changes in Legislation or other Legal Considerations

10.1 There are no changes in legislation or other legal considerations that are relevant to this report.

11 Details of outcome of consultation

11.1 The figures included in this report are presented to the Force Executive Board on a monthly basis.

12. Appendices

12.1 Appendix A - Revenue Report to March 2020 CIPFA format.

12.2 Appendix B - Virements approved under delegated arrangements.

12.3 Appendix C – Virements greater than £100k requiring PCC approval.

12.4 Appendix D - Outturn movements.

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

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

Nottinghamshire Police Group Position as at the end of March 2020, by CIPFA format.

The table shows the original budget and approved virements to represent the revised budget. Over spends are shown as + numbers, whilst under spends are shown as () numbers. No manual adjustments have been made for rounding.

	Budget £'000	Virements £'000	Revised Budget (RB) £'000	19/20 Actuals	FO-RB Variance £'000
Pay & Allowances					
Police Officer	107,907	380	108,287	106,727	(1,561)
Police Staff	43,151	817	43,968	41,954	(2,013)
PCSO	5,723	0	5,723	5,650	(73)
	156,781	1,197	157,978	154,332	(3,647)
Overtime					
Police Officer	4,016	70	4,086	5,764	1,678
Police Staff	743	(3)	740	749	9
PCSO	60	99	159	68	(91)
	4,819	166	4,985	6,582	1,597
Other Employee Expenses					
Medical Retirements	4,929	0	4,929	4,221	(708)
Other Employee Expenses	2,156	18	2,174	2,267	93
	7,085	18	7,103	6,488	(615)
Total Pay & Allowances	168,685	1,382	170,067	167,402	(2,665)
Non Pay					
Collaboration Contributions	10,246	266	10,511	10,905	394
Comms & Computing	8,683	88	8,771	8,871	101
Other Supplies & Services	5,853	208	6,060	5,441	(619)
Premises	5,767	53	5,820	7,307	1,488
Transport	5,652	85	5,738	6,047	310
Capital Financing	4,335	0	4,335	4,381	46
Forensic & Investigative costs	2,090	22	2,112	1,993	(120)
Custody costs & Police Doctor	1,483	(11)	1,472	1,525	53
Partnership Payments	1,312	(181)	1,131	1,540	409
Clothing, Uniform & Laundry	527	2	529	671	142
Income	(13,325)	(1,913)	(15,238)	(14,685)	553
Total Non-Pay	32,623	(1,382)	31,241	33,999	2,757
OPCC	4,975	0	4,975	4,975	0
TOTAL GROUP POSITION	206,283	0	206,283	206,375	92

Nottinghamshire Police Group Position as at the end of March 2020, by Department.

The table shows the original budget and approved virements to represent the revised budget. Over spends are shown as + numbers, whilst under spends are shown as () numbers. No manual adjustments have been made for rounding.

	Budget £'000	Virements £'000	Revised Budget £'000	19/20 Actuals	FO-RB Variance £'000
Local Policing					
County	43,081	116	43,196	42,129	(1,067)
City	29,450	(26)	29,424	30,652	1,228
Contact Management	16,479	(313)	16,166	15,491	(675)
	89,010	(224)	88,786	88,272	(514)
Crime & Operational Services					
Public Protection	12,438	63	12,501	12,488	(13)
Operational Support	10,156	70	10,225	10,827	602
Intelligence	9,191	(51)	9,141	8,238	(903)
Serious & Organised Crime	7,313	115	7,428	6,791	(638)
Archive & Exhibits	1,078	38	1,115	1,085	(30)
Other	(47)	302	255	516	262
	40,129	536	40,665	39,945	(720)
Corporate Services					
Technical Accounting	12,776	(433)	12,343	13,492	1,149
Information Services	11,272	351	11,622	11,236	(387)
Estates	6,235	0	6,235	7,646	1,411
Fleet	2,876	370	3,246	3,556	310
People Services	1,715	66	1,781	1,910	129
PSD	1,635	(61)	1,575	1,367	(208)
Futures Board	1,280	(491)	789	427	(362)
Command	1,235	43	1,278	1,406	128
Corporate Development	1,628	(507)	1,121	898	(222)
Corporate Communications	833	10	843	647	(196)
Finance	671	20	691	769	78
Information Management	0	531	531	432	(99)
Other smaller budget departments	215	0	215	258	42
	42,372	(101)	42,271	44,043	1,772
Collaboration					
EMSOU Operations	13,781	(308)	13,472	12,596	(877)
EMCJS	9,066	5	9,071	9,783	712
EMSOU Services	4,195	(21)	4,175	4,328	153
MFSS	2,418	150	2,567	2,467	(100)
ESN	186	0	186	230	44
EMSCU	153	0	153	190	37
	29,798	(174)	29,624	29,593	(31)
Home Office Grants & Partnerships					
Knife Crime	0	0	0	173	173
ARV Uplift	0	0	0	(118)	(118)
Cyber Crime	0	0	0	(0)	(0)
Op Uplift	0	0	0	(507)	(507)
Externally Funded Projects	(0)	(38)	(38)	0	38
	(0)	(38)	(38)	(453)	(415)
Force Total	201,308	(0)	201,308	201,400	92
OPCC	4,975	0	4,975	4,975	0
Group Total	206,283	(0)	206,283	206,375	92

Virements Period 12 - Approved under delegated arrangements

Expenditure Type	Description	Amount £
Comms & Computing	Purchase of OPTIK app amendment	5,167.55
	Purchase of lap Tops for Major Crime	22,000.00
Custody Costs & Police Doctor	Realignment of Budget for Public Protection	(10,000.00)
Forensic & Investigative Costs	Realignment of Budget for Public Protection	10,000.00
Other Employee Expenses	Business Benefits Course	500.00
Other Supplies & Services	Realignment of Budget for Public Protection	(6,000.00)
Other Supplies & Services	Saving on Operational Equipment within County	(2,000.00)
Pay & Employment Costs	ACC contingency fund used to cover costs of OPTIK app	(5,167.55)
	Saving on Pay within Corporate Services	(22,500.00)
Transport	Realignment of Budget for Public Protection	6,000.00
	Purchase of quad bike trailer as part of safer neighbourhoods	2,000.00
	OVERALL MOVEMENT	-

Virements Period 12 - Requiring PCC approval.

Nothing to report.

Outturn Movements Period 12- 2019/20

Expenditure Type	Description	Amount £
Agency & Contract Services	OPCC year end amendments	(29,601.00)
	MFSS Revised outturn position	(380,000.00)
	Regional Collaboration revised outturn position	62,162.00
	Charge for Disaggregation of EMOpSS off-set with saving on ACRO	188,823.00
		(158,616.00)
Comms & Computing	Transfer to IS Reserve for NEP - National delays -See Technical Accounting	(305,000.00)
	Reduction in cost due to delay in orders due to COVID-19	(119,698.00)
	OPCC year end amendments	65,833.00
	Additional ANPR Cameras off-set by Income	35,000.00
	Various minor changes reflecting year end out-turn.	18,107.00
		(305,758.00)
Employee	Increased costs of assessment centres and employment checks due to uplift in officers	45,832.00
	Accrual for Overtime - reflecting what has been worked, but not paid	368,632.00
	Accrual for Officer Bonus Payments	100,000.00
	Ongoing review of pay & allowances position	206,226.00
	OPCC year end amendments	109,778.00
		830,468.00
Supplies & Services	Various minor changes reflecting year end out-turn.	(42,464.36)
	Updated figures reflecting charges for Forensics, Interpreters and tax liability for Informant payments	(85,827.00)
	Increase insurance contributions to reserves	(200,270.00)
	Reallocation of costs to Departments approved from OPCC/CC Fund	(71,106.00)
	Updated figures for Legal Services	(75,042.00)
	Release of final provision on Futures Board	(298,243.00)
	Additional Operational Equipment for Uplift in officers	(141,076.00)
	CED (conducted energy device) costs transferred to capital	42,270.00
	OPCC year end amendments	742,950.00
		(128,808.36)
Pension	Release of provision against pending ill-health retirement cases.	(300,784.00)
Property Related	Increase in dilapidation provision	304,000.00
	Various changes reflecting utility charges for year end out-turn.	(39,033.00)
	Balance of costs for regionally occupied buildings off-set with income	28,000.00
	Refund of rates	(35,000.00)
	Reduction in charges for leased buildings	(38,000.00)
	OPCC year end amendments	36,634.00
		256,601.00
Transport Related	Various minor changes reflecting year end out-turn.	44,365.00
	Release of provision for anticipated Venson legal costs	(100,000.00)
	Capital correction to Revenue off-set with revenue contribution to capital - See Technical Accounting	(50,000.00)
	OPCC year end amendments	(2,783.00)
		(108,418.00)
Capital Financing	Reversal of Revenue contribution to Capital for FHQ - See Technical Accounting	(750,000.00)
	Updated figures for Interest Paid	(219,974.00)
		(969,974.00)
Technical Accounting	Overall additional Revenue contribution to Capital - FHQ Build	900,000.00

Revenue contribution to Capital - additional vehicles - See Transport	50,000.00
Revenue contribution to Capital - IT related equipment	177,738.00
Year end reconciliation for ARIS	4,019.00
Transfer to IS Reserve for NEP - National delays -See Comms & Computing	426,945.00
Provision for Bad Debts	210,000.00
Transfer from reserves to off-set balances on EF Projects	(279,754.00)
Insurance Reserve for damage to Operation Vehicles	100,000.00
	1,588,948.00

Income	Various minor changes reflecting year end out-turn.	(79,546.00)
	OPCC year end amendments	(922,810.00)
		(1,002,356.00)

OVERALL OUTTURN MOVEMENT TO P12	(298,697.36)
PREVIOUS OUTTURN MOVEMENT	391,124.84
TOTAL OUTTURN MOVEMENT	92,427.48

Appendix C: Capital Report presented to Joint Audit and Scrutiny Panel

For Information Only	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	30 September 2020
Report of:	Mark Kimberley
Report Author:	Tracey Morris
E-mail:	Tracey.morris@nottinghamshire.pnn.police.uk
Other Contacts:	Charlotte Radford
Agenda Item:	

Capital Report Final Outturn 2019/20

1. Purpose of the Report

- 1.1 The purpose of this report is to provide an update on the financial outturn position for capital as at 31st March 2020 (Period 12, Quarter 4).

2. Recommendations

2.1 Recommendation 1 Outturn Position

That the Police and Crime Commissioner note the final out-turn position as set out in Appendix A.

Recommendation 2 Virement

That the Police and Crime Commissioner note the virement approved by the Chief Constable under delegated powers, being below £100,000, as set out in Appendix B.

Recommendation 3 Slippage

That the Police and Crime Commissioner approve the slippage requests as set out in Appendix C.

2.2 Background

The Capital Programme for 2019/20 to 2023/24 was presented and approved at the Police and Crime Panel Meeting on 7th February 2019.

The current capital budget for 2019/20 is £14,630k. This is calculated as slippage from 2018/19 of £1,470k and new allocations in 2019/20 of £13,160k, this includes an additional £900k approved on decision record 2020.002 in relation to Joint FHQ New Build; £29k on decision record 2020.022 in relation to CED (Conducted Energy Devices) Funding and £50k on decision record 2020.023 in relation to additional vehicle purchases funded from revenue.

Finance in conjunction with project leads and budget holders have continued to review the outturn position (Appendix A). At the end of P12 2019/20 the outturn position is as follows:

Area	Budget £'000	Outturn £'000	Underspend £'000	Slippage £'000
Assets	11,087	4,907	100	6,080
Information Services	3,297	2,919	47	331
Other	246	246	0	-
Total	14,630	8,072	147	6,410

2.3 Actual spend to the end of March 2020 is £8,072k which is a decrease of £305k in comparison to Period 10, due to the prepayment of Body Worn Video equipment.

2.4 Finance has reviewed and supports all requests for slippage.

3. Reasons for Recommendations

3.1 To update the Chief Officer Team and the Office of the PCC on the Force's final outturn position for 2019/20 and also to comply with good financial management and Financial Regulations.

4. Summary of Key Points

4.1 Executive Summary

The number of individual projects has reduced considerably over the last 3 years. Because of this projects are now better controlled, have better ownership and local governance arrangements. Further work has been undertaken to ensure projects are scoped and phased properly to ensure they are deliverable within the financial year meeting the expectations of the force and OPCC.

This year shows a minor total underspend against all projects of £147k, in the main this is due to commercial savings.

A slippage request of £6,410k is recommended;

- £5,200k is against the two new build projects, both multiyear projects, one which has experienced some contractual difficulties causing a delay in progress;
- £496k is due to COVID-19 issues which were totally unavoidable;
- £362k relates to lack of capacity in IS as they delivered their departmental restructure during the year;
- £290k due to contractor availability as a scheme has expanded and
- £63k to combine with new budget in 2020/21 to facilitate greater improvements to the custody suite at Mansfield.

Data explaining the variance between original budget and revised budget can be found in Appendix A. Data explaining the virements can be found in Appendix B. Data recommending slippage requests can be found in Appendix C.

Capital Outturn Position as at the end of March 2020, by Project.

Over spends are shown as + numbers, whilst under spends are shown as () numbers. No manual adjustments have been made for rounding.

Project Name	Revised Budget £'000	Forecast Outturn £'000	Underspend £'000	Slippage to 2020/21 £'000
Estates				
Nottingham Custody Suite	6,430	1,422	0	(5,008)
Building Improvement, Renovation & Conversion Works	1,185	895	(0)	(290)
Hucknall EMAS	674	674	0	0
Custody Improvements	360	297	0	(63)
New HQ Joint Build	1,252	1,060	0	(192)
Northern Property Store	246	246	0	0
Bunkered Fuel Tanks	62	62	0	0
Automatic Gates & Barriers	35	29	(6)	0
Community Rehabilitation Companies Renovations	25	24	(1)	0
West Bridgford Police Station Relocation & Sale	431	174	(93)	(165)
Northern Control Room	386	24	0	(362)
Estates Total	11,087	4,907	(100)	(6,080)
Information Services				
Command & Control	1,771	1,730	(41)	0
Technology Services Refresh & Upgrades	1,315	1,132	(0)	(183)
ANPR Camera Project	157	9	0	(148)
NEP	55	49	(7)	0
SICCS Upgrade	0	0	0	0
IS Total	3,297	2,919	(47)	(331)
Other Projects				
Taser	29	29	0	0
Vehicle & Equipment Replacement	217	217	(0)	0
Other Total	246	246	(0)	0
Overall Total	14,630	8,072	(147)	(6,410)

4.2 Estates – Under spend (£100k) and Slippage (£6,080k)

4.2.1 Nottingham Custody Suite – Slippage request £5,008k

Lack of clarity of information from suppliers and delays in agreeing contract terms and conditions have caused a delay in the progress of this project. This is a multi-year project and overall the project is expected to be delivered on target.

4.2.2 Building Improvement, Renovation & Conversion Works – Slippage request £290k

The slippage is requested to complete works at Ollerton, which due to an additional award to the same contractor for Armoury works, now means that Ollerton will be delayed. Works at Radford Road have developed into a larger project than anticipated which will now include the replacement of windows and roof works which are overdue. Alterations at Mansfield have been delayed due to IS being over committed. Retention monies for FHQ Kennels need to be carried forward as additional drainage works have not been finalised.

4.2.3 Custody Improvement - Slippage request £63k

The slippage is requested for changes to the Mansfield charge desk, CCTV, affray alarm, cell call system and creation of a forensic room,

this will ensure Mansfield will be working to a similar standard as the new Nottingham Custody Suite. A feasibility study is being worked on by estates and more details will be provided later in the year. It is anticipated that this slippage request along with next year's budget allocation will still be insufficient to complete all required works.

4.2.5 New HQ Joint Build – Slippage request £192k

The OPCC approved a decision notice to bring forward budget of £900k in support of early costs for this project; the balance of £192k is requested slippage to support the on-going costs of this multiyear project. A revenue contribution to capital has been completed to fund this earlier than anticipated injection of finances.

4.2.6 West Bridgford Police Station Relocation & Sale – Slippage request £165k

Delays in producing the design work have pushed the project back into 2020/21, which is now caught up in COVID-19 delays.

4.2.7 Northern Control Room – Slippage request £362k

This project has been delayed due to commitments in Information Services. This is as a result of the department not being able to provide resources due to delayed delivery of additional staffing as part of their restructure.

4.3 Information Services – Under spend (£47k) and slippage (£331k)

4.3.1 Technology Services Refresh & Upgrades – Slippage request £183k.

A number of deliveries have been delayed due to COVID-19, hence the request for slippage. Orders have been placed and were scheduled for delivery before the end of the financial year; these are now on hold pending suppliers returning to business.

4.3.2 ANPR Camera Project – Slippage request £148k

The order to Clearstone is currently pending delivery due to COVID-19. Part of this order was to be funded from the ARV Uplift Revenue grant, however as delivery has not taken place the Home Office will not accept the charge against the grant. A virement has been recommended between two other IS projects amounting to £31k to ensure the complete order can be funded from capital. This is not an increase in overall capital requirement.

4.4 Other Projects – on budget

4.4.1 Taser

The force was successful in gaining approval to purchase CED (Conducted Energy Devices) in both 2019/20 and 2020/21; this late approval has been included in the capital programme and will be funded through Home Office grants.

5 Financial Implications and Budget Provision

5.1 The financial information relating to this item is contained within item 4.1 and Appendix A.

6 Human Resources Implications

6.1 There are no immediate Human Resource implications arising from this report.

7 Equality Implications

7.1 There are no equality implications arising from this report.

8 Risk Management

8.1 It should be noted that during the financial year, figures recorded within the general ledger have been inaccurate. As we close the year end on our capital accounting the GL figures are now considered to be accurate, this has taken a great deal of time and resources to rectify over the year. It is expected that similar issues will occur in the 2020/21 financial year.

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

9.1 There are no policy implications arising from this report.

10 Changes in Legislation or other Legal Considerations

10.1 There are no changes in legislation or other legal considerations that are relevant to this report.

11 Details of outcome of consultation

11.1 The figures included in this report are presented to the Force Executive Board on a monthly basis.

12. Appendices

12.1 Appendix A – Detailed Report to March 2020.

12.2 Appendix B – Virements requiring approval.

12.3 Appendix C – Projects requiring slippage approval.

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

NB

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

Capital Position as at the end of March 2020.

The table shows the original budget, approved slippage, requested virements and outturn position. Overspends are shown as + numbers, whilst under spends are shown as () numbers. No manual adjustments have been made for rounding.

	Slippage From 2018/19	New Budget 2019/20	In Year Virements	Total Available for Project	Total Actual Spend YTD	Out-turn	Under Spend	Slippage to 2020/21
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
Estates								
Nottingham Custody Suite	0	6,430	0	6,430	1,422	1,422	0	(5,008)
Building Improvement, Renovation & Conversion Works	0	1,250	(65)	1,185	895	895	(0)	(290)
Hucknall EMAS	637	26	11	674	674	674	0	0
Custody Improvements	260	100	0	360	297	297	0	(63)
New HQ Joint Build	0	1,252	0	1,252	1,060	1,060	0	(192)
Northern Property Store	168	0	78	246	246	246	0	0
Bunkered Fuel Tanks	76	0	(14)	62	62	62	0	0
Automatic Gates & Barriers	52	0	(17)	35	29	29	(6)	0
Community Rehabilitation Companies Renovations	0	25	0	25	24	24	(1)	0
West Bridgford Police Station Relocation & Sale	0	442	(11)	431	174	174	(93)	(165)
Northern Control Room	0	386	0	386	24	24	0	(362)
	1,193	9,911	(17)	11,087	4,907	4,907	(100)	(6,080)
Information Services								
Command & Control	0	2,000	(229)	1,771	1,730	1,730	(41)	0
Technology Services Refresh & Upgrades	0	1,090	225	1,315	1,132	1,132	(0)	(183)
ANPR Camera Project	106	20	31	157	9	9	0	(148)
NEP	112	0	(57)	55	49	49	(7)	0
SICCS Upgrade	59	0	(59)	0	0	0	0	0
	277	3,110	(90)	3,297	2,919	2,919	(47)	(331)
Other Projects								
Taser	0	29	0	29	29	29	0	0
Vehicle & Equipment Replacement	0	110	107	217	217	217	(0)	0
	0	139	107	246	246	246	(0)	0
Total	1,470	13,160	0	14,630	8,072	8,072	(147)	(6,410)

For completeness at year end the table below shows those projects which carried accrual balances from 2018-19 into 2019-20.

	Slippage From 2018/19	New Budget 2019/20	In Year Virements	Total Available for Project	Total Actual Spend YTD	Out-turn	Under Spend	Slippage to 2020/21
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
Estates								
Building Management System	0	0	0	0	(0)	0	0	0
Mansfield replace tea points and showers	0	0	0	0	0	0	0	0
Fixed Electrical Works	0	0	0	0	(5)	(5)	(5)	0
Queens Building	0	0	0	0	0	0	0	0
Jubilee House	0	0	0	0	0	0	0	0
Lift Replacement Mansfield Goods	0	0	0	0	(27)	(27)	(27)	0
RAF Newton Improvements	0	0	0	0	(0)	(0)	(0)	0
Mansfield Create Open Space	0	0	0	0	0	0	0	0
Oxclose Lane Lift Replacement	0	0	0	0	0	0	0	0
	0	0	0	0	(32)	(32)	(32)	0
Information Services								
Upgrade Audio Visual Equipment	0	0	0	0	(0)	0	0	0
Sharepoint Portal	0	0	0	0	(2)	(2)	(2)	0
	0	0	0	0	(2)	(2)	(2)	0
Total	0	0	0	0	(34)	(34)	(34)	0
COMBINED TABLES - TOTAL	1,470	13,160	0	14,630	8,038	8,038	(182)	(6,410)

Virements Period 12 – 2019/20

Project	Description	Amount £
Automatic Gates & Barriers	To fund the Drone	-17,000
Vehicle & Equipment Replacement	To fund the Drone	17,000
NEP	To fund Cleartone order for ANPR	-9,000
Technology Services Refresh & Upgrades	To fund Cleartone order for ANPR	-22,000
ANPR Camera Project	To fund Cleartone order for ANPR	31,000
Total		0

Recommendations for Slippage to 2020/21

	Total Available for Project	Total Actual Spend YTD	Out-turn	Under Spend	Slippage to 2020/21
	£'000	£'000	£'000	£'000	£'000
Estates					
Nottingham Custody Suite	6,430	1,422	1,422	0	(5,008)
Building Improvement, Renovation & Conversion Works	1,185	895	895	(0)	(290)
Custody Improvements	360	297	297	0	(63)
New HQ Joint Build	1,252	1,060	1,060	0	(192)
West Bridgford Police Station Relocation & Sale	431	174	174	(93)	(165)
Northern Control Room	386	24	24	0	(362)
	10,045	3,872	3,872	(93)	(6,080)
Information Services					
Technology Services Refresh & Upgrades	1,315	1,132	1,132	(0)	(183)
ANPR Camera Project	157	9	9	0	(148)
	1,471	1,141	1,141	(0)	(331)
Total	11,516	5,013	5,013	(93)	(6,410)



Nottinghamshire

POLICE & CRIME COMMISSIONER

Decisions of Significant Public Interest: Forward Plan

September 2020

1.0 Business cases						
Ref	Date	Subject	Summary of Decision	Cost (£) <i>Where available</i>	Contact Officer	Report of OPCC / Force

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	Northern Control Room Alterations	Procurement Award	>£250k	R Adams EMSCU	Force
2.2	TBC	Fleet Maintenance Non Slot Vehicles	Procurement Award	>£250K	R Adams EMSCU	Force
2.4	TBC	Middleware and Mobile ID	Contract award	>£250K	R Adams EMSCU	Force
2.5	TBC	SVA Hub	Procurement Award	>£250K	R Adams EMSCU	OPC
2.6	TBC	Replacement Storage	Procurement Award	>£250k	R Adams EMSCU	Force
2.7	TBC	Mansfield Custody Suite Improvements	Procurement Award	>£250K	R Adams EMSCU	Force
2.8	August / September 2020	Technology procurement for Project Regain	Procurement award	>£250K	R Adams EMSCU	Force



Nottinghamshire

POLICE & CRIME COMMISSIONER

2.9	TBC	Condition Survey Phase 4	Procurement Award	>£250K	R Adams EMSCU	Force
2.10	TBC	Car Park Extensions and Improvements	Procurement Award	>£250K	R Adams EMSCU	Force
2.11	TBC	Cleaning Contract	Procurement Award	>£250K	R Adams EMSCU	Force

3.0 Estates, ICT and Asset Strategic Planning

Ref	Date	Subject	Summary of Decision	Cost (£) <i>Where available</i>	Contact Officer	Report of OPCC / Force
	TBC	Sale of Hucknall Police Station	New Training Centre is being constructed at Sherwood Lodge and the Hucknall Police Station site is to be marketed and sold.	TBC	Tim Wendels, Estates and Facilities	Force
	TBC	Lease of Phoenix House, Mansfield	Lease renewal.	TBC	Tim Wendels, Estates and Facilities	Force
	TBC	Neighbourhood Offices	Consider the outcome of consultation on the future of Neighbourhood Offices	TBC	Tim Wendels, Estates and Facilities	Force
	TBC	Lease of part of lower car park at Burntstump Country Park	Lease of car park to become Visitors' car park for the Joint Police/Fire HQ.	TBC	Tim Wendels, Estates and Facilities	Force



Nottinghamshire

POLICE & CRIME COMMISSIONER

	December	Replacement body-worn video cameras	OPCC will already be aware as Charlie Radford has signed off the spend, but we are likely to commit to a spend of in excess of £900k for replacement body-worn video cameras this month (December) in order to take advantage of a significant discount offered by the supplier (Reveal Media) for buying them all up front	Excess of £900k	Supt Ted Antill	Force
3.3	August	Refresh of the MFD Estate	The MFD fleet is at the end of its natural life. We commissioned a full audit of the current utilisation to inform recommendations for the replacement programme. Final checks are being made to the proposal, this is likely to recommend a reduction in the number of devices we purchase to reflect the overall drop in demand for printing	Hardware £150k support and maintenance contract £119,791.00 for 3 years or £183,651.00 for 5 years	Chief Superintendent Gerard Milano	Force
3.4	August – 18 months	National Enabling Programmes	National Enabling Programmes – restart of activities to deliver the 250 Business User Pilot following on closely with the Force Wide Deployment of the NEP blueprint and the associated productivity tools. Continued hardware refresh of the end user computers will form part of this project.	-	Chief Superintendent Gerard Milano	Force



Nottinghamshire

POLICE & CRIME COMMISSIONER

3.5	Ongoing	DEMS	Scoping work has restarted to implement a DEMS solution for the Force. As yet, the technical solution for this has not been scoped and will likely require some investment.	-	Chief Superintendent Gerard Milano	Force
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4.0 Workforce Plan and Recruitment Strategies

Ref	Date	Subject	Summary of Decision	Cost (£) <i>Where available</i>	Contact Officer	Report of OPCC / Force
4.1	July 2020	Operation Uplift	Significant and on-going recruitment throughout the year in order to meet our 20/21 target of 150 additional officers plus maintenance of establishment which is estimated at approx. 100 officers. Recruitment plan is agreed with Finance team to ensure a cohesive approach to funding. The Force should expect increase in recruitment costs associated with a large scale recruitment of this type		Claire Salter	Force

For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	30 September 2020
Report of:	Police & Crime Commissioner
Report Author:	Business Support Manager
E-mail:	Katy.owen@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	11

Publication Scheme Monitoring, Review and Assurance

1. Purpose of the Report

- 1.1 The purpose of this report is to provide the Joint Audit and Scrutiny Panel (the Panel) with assurance that the Nottinghamshire Office of the Police and Crime Commissioner is working in full compliance of the Freedom of Information (FOI) Act 2000 and The Elected Local Policing Bodies (Specified Information) Order 2011.
- 1.2 The FOI Act 2000 provides public access to information held by public authorities. It does this in two ways:
- Public authorities are obliged to publish certain information about their activities; and
 - Members of the public are entitled to request information from public authorities.
- 1.3 The Elected Local Policing Bodies (Specified Information) Order 2011 (“the 2011 Order”) specifies information which must be published by a Police and Crime Commissioner.¹

2. Recommendations

- 2.1 That the panel notes the report.

3. Reasons for Recommendations

- 3.1 The Panel have a responsibility to ensure that the Commissioner and Chief Constable discharge their legal obligations and responsibilities.
- 3.2 The public also hold Commissioners to account through being able to benchmark their performance and vote accordingly in elections. To help the public fulfil this role there are a number of separate pieces of information that Commissioners must publish to comply with The Elected Local Policing Bodies (Specified Information) Order 2011 such as data on salaries and contracts.

¹ [Elected Local Policing Bodies \(Specified Information\) Order 2011](#)

- 3.3 The CoPaCC monitors police governance in the United Kingdom.
- 3.4 Each year the CoPaCC team undertake a review of England and Wales Police and Crime Commissioners' compliance with The Elected Local Policing Bodies (Specified Information) Order 2011.
- 3.5 The Nottinghamshire Office of the Police and Crime Commissioner was awarded the OPCC Transparency Quality Mark 2019.
- 3.6 Confirmation of the CoPaCC Transparency Quality Mark Award can be found via the Nottinghamshire Office of the Police & Crime Commissioner's website.

<https://policinginsight.com/news/transparency-twenty-seven-opccs-recognised-for-excellence/>

4. Summary of Key Points

- 4.1 The Office of the Police and Crime Commissioner received 18 requests for information between the period of 1 January – 30 June 2020. Details of the requests are published on the Police and Crime Commissioner's website.
- 4.2 78% of the requests for information were responded to within the 20 working days deadline.
- 4.3 The Office of the Police and Crime Commissioner is fully compliant with the Elected Local Policing Bodies (Specified Information) Order 2011. The information is detailed on the Police and Crime Commissioner's website via the follow website address:

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

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

5. Financial Implications and Budget Provision

- 5.1 None

6. Human Resources Implications

- 6.1 None

7. Equality Implications

7.1 None

8. Risk Management

8.1 None

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

9.1 None

10. Changes in Legislation or other Legal Considerations

10.1 None

11. Details of outcome of consultation

11.1 None

12. Appendices

12.1 None

For Information	
Public/Non Public*	
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	30 September 2020
Report of:	Force Report on Monitoring, Review and Assurance of the Publication Scheme Jan to June 2020
Report Author:	Pat Stocker – Information Management Lead
E-mail:	Pat.stocker@nottinghamshire.pnn.police.uk
Other Contacts:	lehan.fielding7194@nottinghamshire.pnn.police.uk
Agenda Item:	12

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

Force Report on the Force Publication Scheme Jan to June 2020

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 ICO has published a "Definition document for police forces" (**See Appendix A**) This guidance is for those police forces which are strategically managed by a Police and Crime Commissioner (PCC) or Police Board. It gives examples of the kinds of information that the ICO would expect them to provide in order to meet their commitments under the model publication scheme.
- 1.3 The purpose of this report is to update the Audit & Scrutiny Meeting on the current Force position on the Publication Scheme requirements as listed within the definition document.

2. Recommendations

- 2.1 The Audit & Scrutiny Panel 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 Nottinghamshire Police Website:

The Publication Scheme section sets out the classes or types of information we publish or intend to publish, sets out the list of publications we make available, how they can be obtained and whether they are free or if a charge is payable.

4.2 Classes of information:

- **Who we are** - covers police station locations, contacting us, our management team, our partners, structure of force, how to volunteer, our partners:
- **What we spend** - covers expenditure, income, accounts, contracts, expenses:
- **Our priorities** - details our policing plan and strategies.
- **How we make decisions** - minutes of key meetings, reports...
- **Our policies and procedures** (see also our Library page)
- **Registers** - details of gifts/hospitality received by officers and staff and any business interests of staff and officers
- **Services we provide**

Many areas of the Force website still require updating but our aim remains to publish as much information as possible through the scheme, except where it would not be in the public interest to do so.

Delays in updating relevant part of the current website have been mainly due to the preparatory work required for Single Online Home, a national initiative under the NPCC Digital Policing Portfolio.

4.3 Single Online Home (SOH):

SOH is a national, digital front counter service offering people a high quality and consistent range of policing services (more than 40 in total), such as online crime reporting, applying for a firearm's licence or requesting information about past domestic violence cases (under Clare's Law).

From just three forces piloting the service in the summer of 2018 (the Met, Hampshire Constabulary and Thames Valley Police), SOH has grown rapidly.

In the last year, a further five services have been added to SOH. These include 'Your Area', a crime mapping tool enabling people to find the latest crime information in their locality and to learn what their force is doing to tackle local issues as well as licensing and online payment services for registering a firearm ('Firearms Licensing').

With £15m funding confirmed from the Home Office for this financial year, the use of SOH continues to grow along with its service offer to the public. Five forces are currently in the process of joining the service (City of London and the four Welsh Forces). Nottinghamshire Police are due to start the planning for their implementation of SOH in Q2 2021

SOH through the implementation of the Force Digital Business Strategy, will:

- Introduce new on-line services via implementation of the national SOH programme to enable the public to interact with policing over the Internet, via:
 - on-line crime reporting;
 - on-line crime tracking;
 - on-line payment of fees;
 - uploading crime related digital images and video;
 - firearms licensing;
 - 24/7 policing and crime news reporting;

- Introduce new services to facilitate citizen contact, such as 'request a call back' and improved social media usage;
- Enhance our website so that it is easier to find and make use of our services, including improvements for citizens with disabilities.
- SOH is about 'channel choice' not 'channel shift'.
- Customers will be able to upload digital media
- Customers will be able to raise their concerns about issues in their community; you said, we did approach, using social media more effectively to improve engagement.

4.4 FOI responses:

Part of the Publication Scheme refers to publishing responses to FOI queries and we are in the process of updating the website with the responses from January 2020.

Appendix B shows an analysis of the themes of requests received via Freedom of Information in Jan to June 2020. This shows that, by far, the majority of Freedom of Information requests received in Jan to June 2020 continues to be for information pertaining to crime statistics. Followed by requests related to 'Personal Information', 'Organisation & Resources', 'Coronavirus' and 'Roads Policing inc road related incidents, RTC's etc'

It is therefore likely that proactive and routine publication of information in respect of these categories could reduce the number of requests received on these topics.

4.4 Further improvements:

Further improvements currently in progress:

- Updating the routine publication of FOI responses..
- Working with Information Asset Owners to identify any information which is routinely requested by internal/external stakeholders which could potentially be published on the internet or if published elsewhere, relevant links updated on website
- Policy and procedure documents to be reviewed and updated and latest versions published to website
- Working with Corporate Communications ensure that any out of date links or documents be routinely removed from the website

5. Financial Implications and Budget Provision

5.1 None

6. Human Resources Implications

6.1 There are no human resources implications to note.

7. Equality Implications

7.1 There are no equality implications to note.

8. Risk Management

8.1 There are no risks to note.

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 No consultation took place when preparing this report, or is required following completion of it.

12. Appendices

12.1 Appendix 1: ICO Publication Scheme – Definition document for Police Forces.

12.1 Appendix 2: FOI requests received by theme

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

13. None

Freedom of Information Act

Definition document for police forces

This guidance is for those police forces which are strategically managed by a Police and Crime Commissioner¹ (PCC) or Police Board. It gives examples of the kinds of information that we would expect them to provide in order to meet their commitments under the model publication scheme. Police forces which are managed in a different way may need to consult more than one definition document.

We would expect police forces to make the information in this definition document available unless:

- they do not hold the information;
- the information is exempt under one of the FOIA exemptions or Environmental Information Regulations exceptions, or its release is prohibited under another statute;
- the information is archived, out of date or otherwise inaccessible;
- or,
- it would be impractical or resource-intensive to prepare the material for routine release.

Where information is readily and publicly available from an external website (such as that of a PCC or Police Board) to which the police force has already provided it – the police force must provide a direct link to that information.

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.

Publishing datasets for re-use

Public authorities must publish under their publication scheme any dataset they hold that has been requested, together with any updated versions, unless they are satisfied that it is not appropriate to do so. So

¹ For the Metropolitan Police Service, this is the Mayor's Office for Policing and Crime

far as reasonably practicable, they must publish it in an electronic form that is capable of re-use.

If the dataset or any part of it is a relevant copyright work and the public authority is the only owner, the public authority must make it available for re-use under the terms of a specified licence. Datasets in which the Crown owns the copyright or the database rights are not relevant copyright works.

The Datasets Code of Practice recommends that public authorities make datasets available for re-use under the [Open Government Licence](#).

The term 'dataset' is defined in section 11(5) of FOIA. The terms 'relevant copyright work' and 'specified licence' are defined in section 19(8) of FOIA. The ICO has published [guidance](#) on the dataset provisions in FOIA. This explains what is meant by "not appropriate" and "capable of re-use".

Who we are and what we do

Organisational information, structures, locations and contacts.

We would expect information in this class to be current information only.

- **Force structure**

An outline of the structure of the police force by reference to geographic and other divisions should be included.

- **Profiles of the Chief Officer, Deputy Chief Constable or Deputy Commissioner, Assistant Chief Constables or Assistant Commissioners and Divisional or Area Commanders.**
- **Identity of senior civilian staff**
- **Location of police stations (including mobile units) and public opening hours**
- **Contact details**

Police forces should already be publishing as much information as possible about how they can be contacted in addition to emergency numbers. This should, at least, give some indication of the role of the contact, phone number and, where used, email address. Where possible, give named contacts.

- **Relationships with other authorities**

It will assist members of the public to appreciate the role of the police force if partnership or joint board arrangements with other authorities, for example a road safety partnership or the local criminal justice board, are

detailed and the relationships with the PCC or Police Board, central government departments, the CPS and the IPCC are outlined. If terms of reference for the arrangements are produced, we would expect these to be published.

- **Arrangements for special constables and civilian volunteers**
- **Sponsorship arrangements with businesses**

What we spend and how we spend it

Financial information relating to projected and actual income and expenditure, procurement, contracts and financial audit.

We would expect as a minimum that information for the current and previous two financial years should be available.

- **Annual statement of accounts**
- **Force budget (as agreed by PCC or Police Board)**
- **Expenditure**

Details of expenditure over £500, including costs, supplier and transaction information (monthly).

- **Procurement procedures**
- **Details of contracts currently being tendered**
- **Contracts**

We would normally only expect the force to 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 of the parties and purpose of the contract.

- **Expenses paid to or incurred by the Chief Officer, Deputy and Assistant Chief Constables or Commissioners**

This should include expenses referenced by categories such as travel, subsistence and accommodation.

- **Pay and grading structure**

This may be provided as part of the Force structure and should, as a minimum, include senior employee salaries (over £58,200). The salaries should be stated in bands of £5,000. For those earning less than £58,200, levels of pay should be identified by salary range.

The 'pay multiple' – the ratio between the highest paid salary and the median average salary of the whole of the authority's workforce.

- **Evaluation of police use of resources**

To include any formal evaluation of the police use of resources.

- **Support for the provision of Community Support Officers**

Information about the employment of Community Support Officers (including details on how they are funded).

- **Financial regulations**

What our priorities are and how we are doing

Strategies and plans, performance indicators, audits, inspections and reviews.

We would expect as a minimum that information for the current and previous two financial years should be available.

- **Strategic plans**

While the strategic plan is likely to be drawn up by the PCC or Police Board in conjunction with the Chief Officer, we would expect that there is ready access to it from the police force.

- **Annual policing plan**
- **Area policing plans**
- **Chief Officer's annual report**
- **Police performance assessments**
- **Police Force statistics**

We would expect police forces to make available to the public statistics which indicate the performance of the force and other statistical information that is used for force management decisions. This will include crime statistics published on the www.police.uk website. Care should be taken to make sure that individuals cannot be identified, particularly where low numbers are recorded.

- **Neighbourhood policing arrangements**

Procedures and arrangements for neighbourhood policing together with contact details.

- **Reports from independent custody visitors**
- **Monitoring record of "Stop and Account"**
- **Privacy impact assessments (in full or summary format)**

<p>How we make decisions Decision making processes and records of decisions.</p>
<p>We would expect as a minimum that information for the current and previous two financial years should be available.</p> <ul style="list-style-type: none"> • Agenda and minutes for the senior decision making committee • Feedback from public consultation and surveys <p>We would not expect information that might damage the operations of the police to be revealed.</p>
<p>Our policies and procedures Current written protocols, policies and procedures for delivering our services and responsibilities.</p>
<p>We would expect information in this class to be current information only.</p> <ul style="list-style-type: none"> • Policies and procedures for the conduct of police force business • Policies and procedures for the provision of policing services • Policies and procedures about the recruitment and employment of staff <p>Where police forces have written policies and procedures falling into these three categories there should be ready access to them. A number of policies, for example equality and diversity, health and safety and conduct, will cover both the provision of services and the employment of staff. If a police force has an Equality Scheme, this should be made available. A policy for outside business interests of officers would be both a policy for the conduct of business and an employment policy. If vacancies are advertised as part of recruitment policies, details of current vacancies will be readily available. It is recognised that releasing some policies or parts of them would impact adversely on the operational activities of the police and that these should not be generally available. As much information should be made available without damaging operational requirements. Policies and procedures for handling requests for information should be included.</p> <p>Where procedures are developed in combination with other public authorities, these should also be available.</p> <ul style="list-style-type: none"> • Records management and personal data policies

This will include information security policies, records retention, destruction and archive policies, and data protection (including data sharing) policies.

- **Fileplans** (or any other Business Classification Scheme used for the management of information)
- **Customer service standards and complaint procedure**

Standards for providing services to the public, including the complaint procedure. Complaints procedures will include those covering requests for information and operating the publication scheme.

- **Charging regimes and policies**

Details of any statutory charging regimes should be provided. Charging policies should include charges made for information routinely published. They should clearly state what costs are to be recovered, the basis on which they are made, and how they are calculated.

If the public authority charges a fee for licensing the re-use of datasets, it should state in its guide to information how this is calculated and whether the charge is made under the Re-use Fees Regulations or under other legislation. It cannot charge a re-use fee if it makes the datasets available for re-use under the Open Government Licence.

Lists and registers

We expect this to be information contained only in currently maintained lists and registers.

- **Information held in registers required by statute**

If police forces are required to maintain any register and make the information in it available for public inspection, the existing provisions covering access will usually be adequate. However, we expect forces to publicise which public registers they hold, and how the information in them is to be made available to the public. Where registers contain personal information, police forces must ensure that they consider the data protection principles.

- **Asset registers**

We would not expect police forces to publish all details from all asset registers. We would, however, expect the location of public land and building assets and key attribute information that is normally recorded on

an asset register to be available along with some other information from capital asset registers.

- **Information asset register**

If a police force has prepared an information asset register, it should publish the contents.

- **CCTV**

Details of the locations of any overt CCTV surveillance cameras operated by the police force.

- **Registers of interests**
- **Register of gifts and hospitality (senior personnel)**

This should include details of gifts, given or received; details of any hospitality afforded and by which organisation. Gifts and hospitality declined should also be included.

- **FOI disclosure log**

If a police force produces a disclosure log indicating the information provided in response to requests, it should be readily available. Disclosure logs are recommended as good practice.

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.

We would expect information in this class to be current information only.

- **Advice and guidance for the general public**
- **Firearms and explosives licensing, firearms dealers licensing, abnormal load escort, keyholder services**
- **Police college or learning centre**
- **Ceremonial duties**
- **Museum**
- **Local campaigns**
- **Media releases**
- **Details of the services for which the police force is entitled to recover a fee together with those fees.**

For Information	
Public	Public
Report to	Joint Audit and Scrutiny Panel
Date of Meeting:	30 September 2020
Report of:	Deputy Chief Constable
Report Author:	Pat Stocker – Information Management Lead
E-mail:	pat.stocker@nottinghamshire.pnn.police.uk
Other Contacts:	lehan.fielding7194@nottinghamshire.pnn.police.uk
Agenda Item:	13

Nottinghamshire Police Information Management - Freedom of Information and Data Protection Information Requests update for January to June 2020.

1. Purpose of the Report

1.1 To provide the Joint Audit and Scrutiny Panel with data on the legislative compliance for Information Requests under the Freedom of Information Act and Data Protection Act legislation for January to June 2020

2. Recommendations

2.1 For members to note the monitoring statistics for January to June 2020 in relation to information requests processed by Nottinghamshire Police in line with Freedom of Information and Data Protection legislation.

3. Reasons for Recommendations

3.1 To enable the Joint Audit and Scrutiny Panel to fulfil its scrutiny obligations to oversee and consider Freedom of Information and Data Protection Subject Access Request (SAR) Compliance.

4. Summary of Key Points

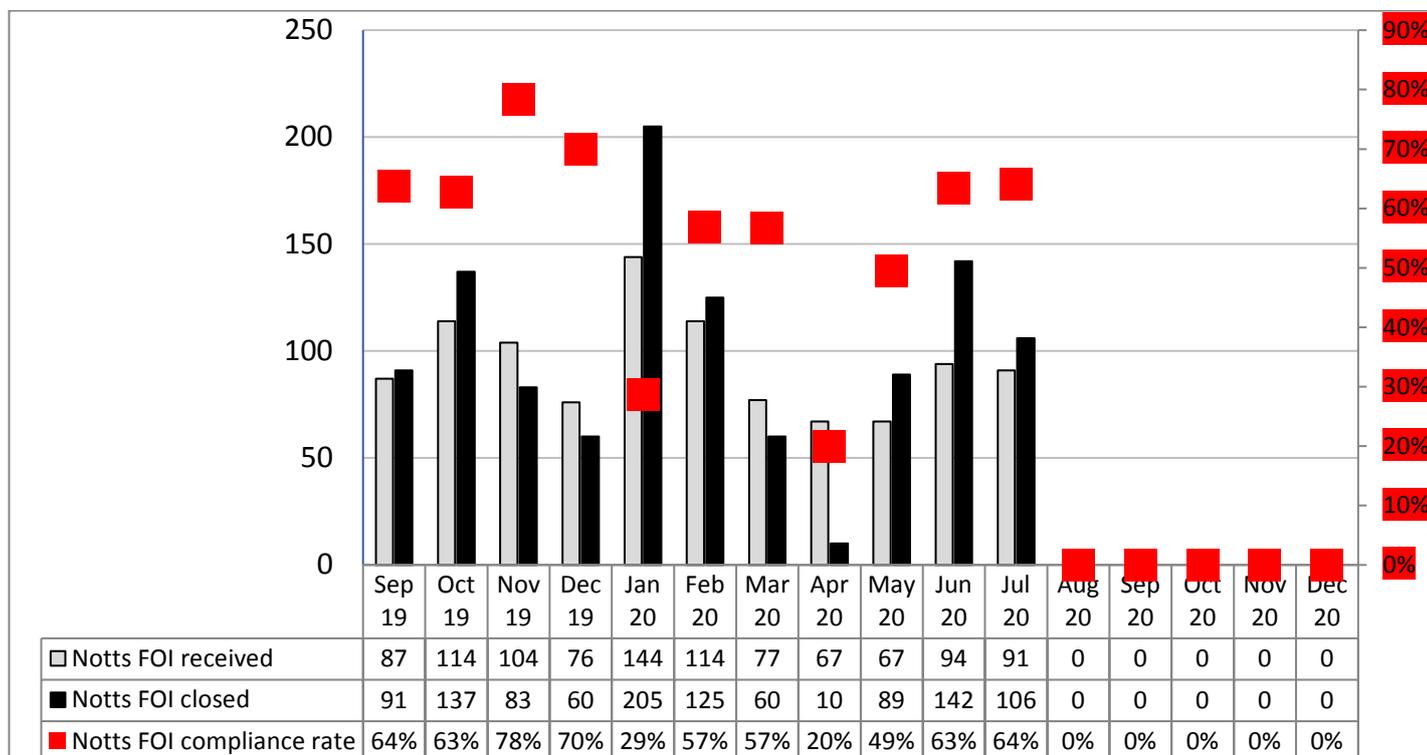
4.1 Nottinghamshire Police as a public authority has a legal responsibility to respond to information requests received and processed in line with Freedom of Information Act (FOIA) and Data Protection legislation. These requests are processed and completed by the Information Request Team

4.2 The legislative deadlines for the Acts are:-

- Freedom of Information 20 working days
- Data Protection Subject Access 1 calendar month from receipt of request

4.3 Table 1 – FOI Completion Figures from September 2019 to July 2020

The Force monitors compliance and provides quarterly statistics for Freedom of Information to the NPCC Central Referral Unit based in Hampshire. Since September 2019 compliance figures in respect of FOI and Subject Access requests have been provided to the Information Commissioners Office for performance monitoring purposes.



Current Demand Levels: FOI

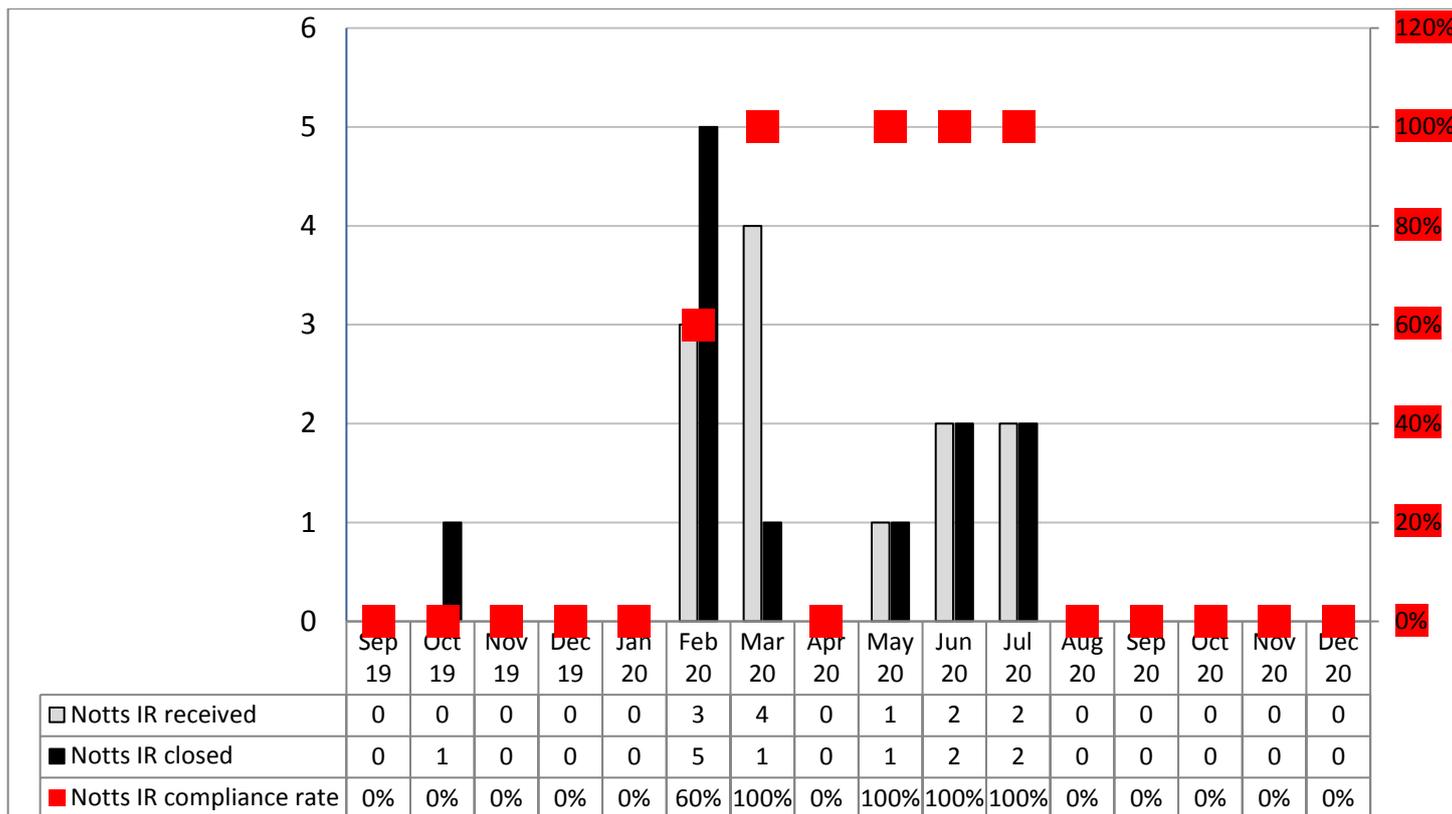
- During the Covid-19 period we assigned one dedicated Information Request Officer to address our lowest compliance level recorded in April 2020, this has worked well but we are conscious of the single person dependency this has created.
- Despite our internal rise in compliance over the last couple of months we are still in the bottom 6 Forces for FOI compliance although we are in the top 13 for total number of FOI closures.
- This is because although we are processing a lot of requests per month, a lot of these are backlogged requests that are already overdue, therefore affecting our compliance rate.
- We continue to work to reduce the backlog and slowly improve our compliance rating to achieve the Police Mean rate of 73%

4.4 Table 2 – FOI Internal Review Completion Figures from September 2019 to July 2020

All requestors have the right to an internal review if they are unhappy with the handling of a request for information, made under the FOIA. This could be because:

- an exemption was applied, meaning the request (or a part of it) was denied;
- the 20 working day deadline was not met;
- a full response was not provided; or
- the request was otherwise not handled correctly.

Unlike FOI requests, there is no statutory time frame for carrying out internal reviews, but we aim to provide a full response within 20 working days

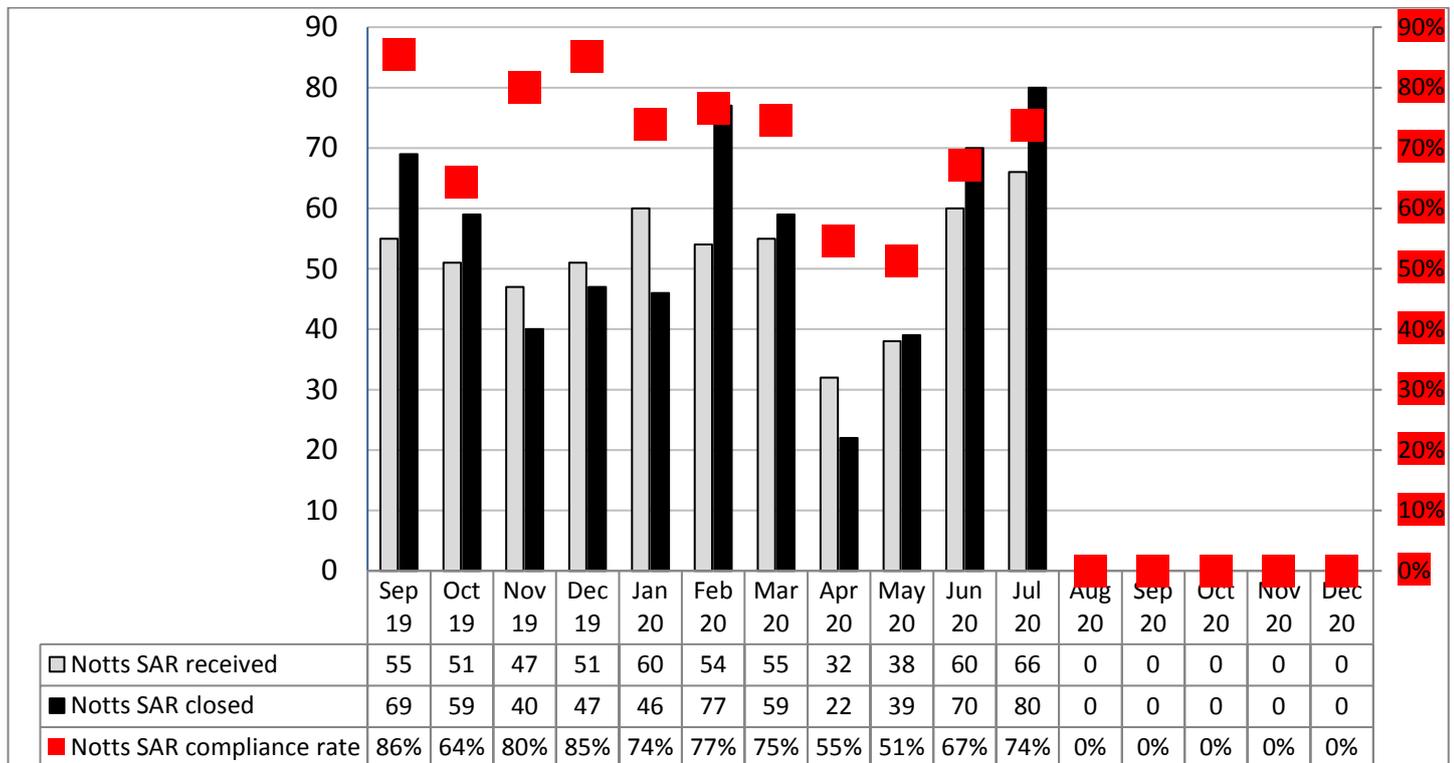


Current Demand Levels:

- The number of internal reviews remain small which is a good indicator that the majority of FOI requestors are satisfied with the responses they receive.

4.5 Table 3 – SAR Completion Figures from September 2019 to July 2020

The Force monitors compliance and provides quarterly statistics for Freedom of Information to the NPCC Central Referral Unit based in Hampshire. Since September 2019 compliance figures in respect of FOI and Subject Access requests have been required to be provided to the Information Commissioners Office for performance monitoring purposes



Current Demand Levels: SAR

- From May 2020 we have introduced a robust triage and allocation process to the remaining 4 Information Request Officers managed by the Information Request Team Leader, this seems to be working well and compliance rates are going up.
- We continue to find that requests are becoming more complex and voluminous in nature due to increased social awareness of GDPR and right of access provisions.
- Despite our internal rise in compliance over the last couple of months we are still in the bottom 13 Forces for SAR compliance although we are in the top 8 for total number of SAR closures.
- This is because although we are processing a lot of requests per month, a lot of these are backlogged requests that are already overdue, therefore affecting our compliance rate.
- We continue to work to reduce the backlog and slowly improve our compliance rating to achieve the Police Mean rate of 80%

4.6 Table 4 - Other types of Information Requests

Category	Description	Time scale
Court Orders*	Court orders which can be received from any court in the UK and Ireland for Child Care, Private and Family Proceedings.	Can be required immediately or within days due to the threat, risk & harm of the case
CCrims Checks & Annex D's **	2013 Protocol and Good Practice Model - Disclosure of information to Local Authorities on closed cases of alleged child abuse and linked criminal and care directions hearings into the Family Justice System.	Can be required immediately or within days due to the threat, risk & harm of the case
Insurance	Validation of details in relation to crimes for insurer to settle claim	30 working days
Home Office	UK Border Agency and Immigration requiring confirmation and details of Police involvement for those wishing to stay in the country	40 calendar days
Housing Confirmation	Local and Social housing requiring confirmation of the reason given by the person who has presented to them as homeless.	10 working days
Housing General	As above but require more specific detail	40 calendar days
Insurance Appendix E	Insurance companies requiring information in relation to a claim that they believe is fraudulent	40 calendar days
NHS	General Medical Council, Nursing Midwifery Council require details of a registered practitioner who has been involved with the police to consider their fitness to practice	20 working days
Legal proceedings	Private legal proceedings such a personal injury claims	20 working days
Other Police Forces	Request from other forces for information held by Nottinghamshire Police	No set timescale as soon as is practicable
Schedule 2, Part 1, Paragraph 2: Crime and Taxation	Requests from other prosecuting bodies such as DWP, local authorities and RSPCA	20 working days

Current Demand Levels: Court Orders*

Between January and June 2020 Nottinghamshire Police received 295 Court Orders. The majority of all Court Orders received are responded to within the order deadline as they are prioritised over other types of request. We have seen a steady increase in Court orders year after year which is reflected nationally.

Requests for Court orders are always prioritised due to the risk of delays on cases being managed through the Family Court system if timely checks are not completed. This prioritisation impacts on the corresponding delays to the other types of request such as FOI's and Subject Access requests.

Current Demand Levels: CCrims & Annex D's**

Between January and June 2020 Nottinghamshire Police received 2572 CCrim requests and 132 Annex D's. During this time a backlog of requests has formed as only one out of two Safeguarding Disclosure Officers (SDO) were in post. A new SDO started in July 2020 to ensure that the team can reduce the overdue requests and facilitate timely and consistent disclosure of information and documents from the police, into the Family Justice System and conduct 'Police checks' on behalf of Social Care.

4.7 The Information Request Team comprises of:

- 1 x Team Leader
- 5.6 x Information Request Officers (0.6 post currently on maternity leave)
- 2 x Safeguarding Disclosure Officers
- 1 x Information Request Administrator post

Current Risks and Mitigations

4.8 A continuous trend of delays to requests outside of the legislative timescales may increase the possibility of scrutiny by the Information Commissioners Office.

5 Financial Implications and Budget Provision

5.1 There are no direct financial implications for this year

6 Human Resources Implications

6.1 There are no direct HR implications for this year

7 Equality Implications

7.1 There are no equality implications

8 Risk Management

8.1 Any risks relating to the FOI/DP function are identified on the Information Management Risk Register and managed locally. The Senior Information Risk Owner (DCC Barber) monitors all relevant risks via the Information Management Board

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

9.1 Links to Police and Crime Plan 2018 – 2021:

9.1.1 Transforming Services and Delivering Quality Policing:

The benefits of providing a good service to the public by responding to external DP and FOI requests fully and on time will support the Commissioners pledge to improve confidence and satisfaction in policing services. It will also reduce complaints to both the Information Commissioners office and PSD and reduce the resources required to respond to this failure demand.

9.1.2 Demand for Service:

As stated in the PCP 2018-2021 “Calls for service to the Force remain significantly higher than average and are increasing in Nottinghamshire against the backdrop of reduced Police officer and staff capacity. The service also records more incidents than an average force” The higher demand recorded in Nottinghamshire aligned with the records management issues that sees the Force retaining data for longer periods, especially those relating to IICSA and UCPI, also increases the amount of data that

needs to be searched on and returned when queried leading to additional time to read and redact requests appropriately.

9.1.3 **Governance & Accountability:**

As stated in the PCP 2018-2021 “To discharge this accountability the Commissioner and senior officers must put in place proper procedures for the governance and stewardship of the resources at their disposal” Both Data Protection and FOI legislation identify roles and responsibilities accountable for the legislative compliance against the Acts. The Information Commissioner would assess the governance processes in place if the Force was to come under their scrutiny following an event such as a number of complaints or a data breach.

10 Changes in Legislation or other Legal Considerations

10.1 The General Data Protection Regulations (GDPR) including the Data Protection Act 2018 became law in the UK from 25 May 2018.

10.2 An extension to the FOI Act is currently being debated in Parliament which seeks to add to the authorities who are subject to FOI legislation. The bill would include Social Housing and Children’s Safeguarding Boards (amongst others). It would also make information held by contractors acting on behalf of public authorities subject to FOI Act. If the changes to the Contractors information are implemented this could significantly add to FOI demand already in place. A second reading of the Bill is being heard in Parliament on a date to be announced.

11 Details of outcome of consultation

11.1 No consultation took place in preparing this report

12. Appendices

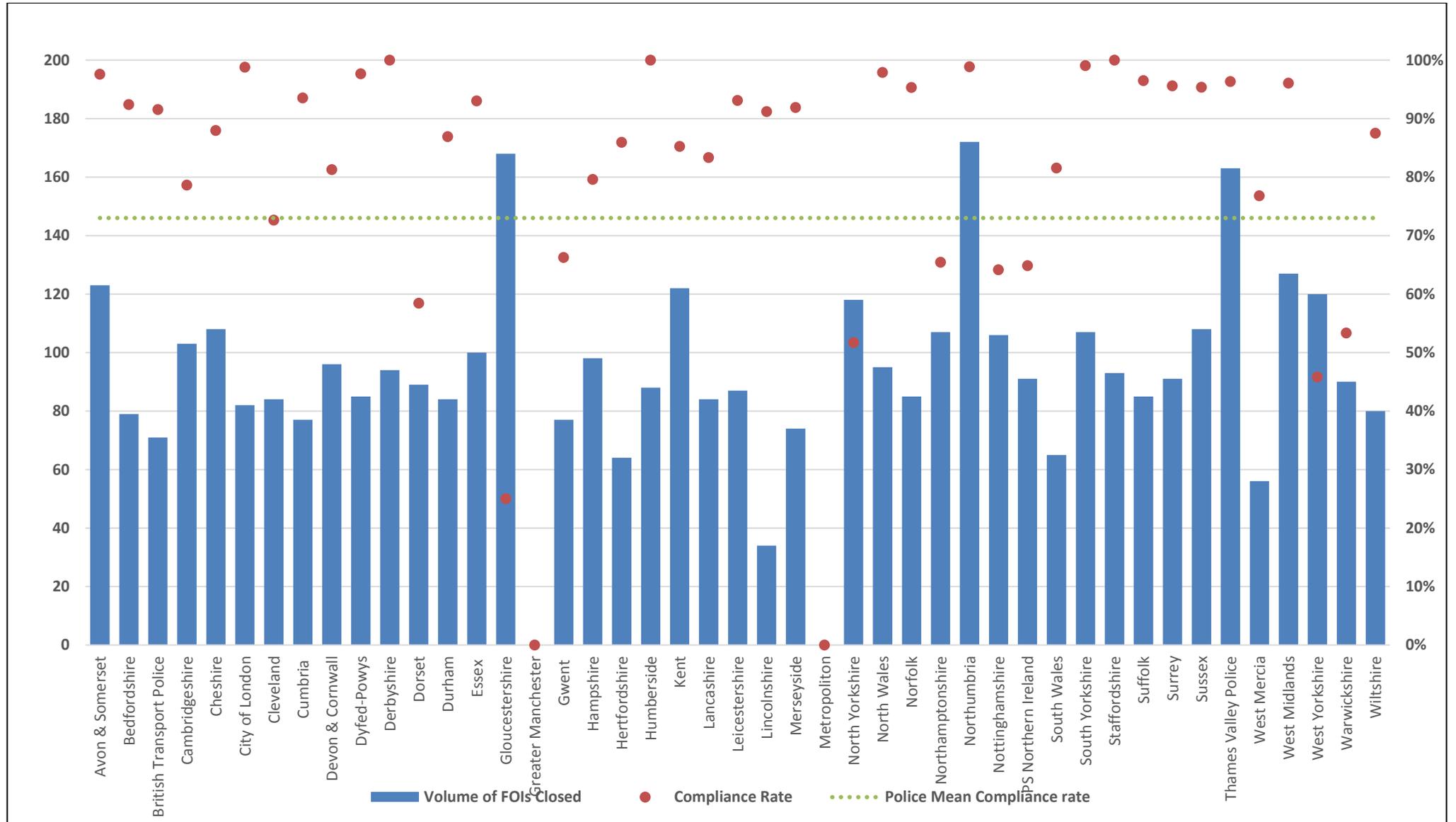
12.1 Appendix 1 – National Figures: Volume of FOI Requests completed in June 2020 & compliance rate per Force

12.2 Appendix 2 – National Figures: Volume of Subject Access requests completed in June 2020 & compliance rate per Force

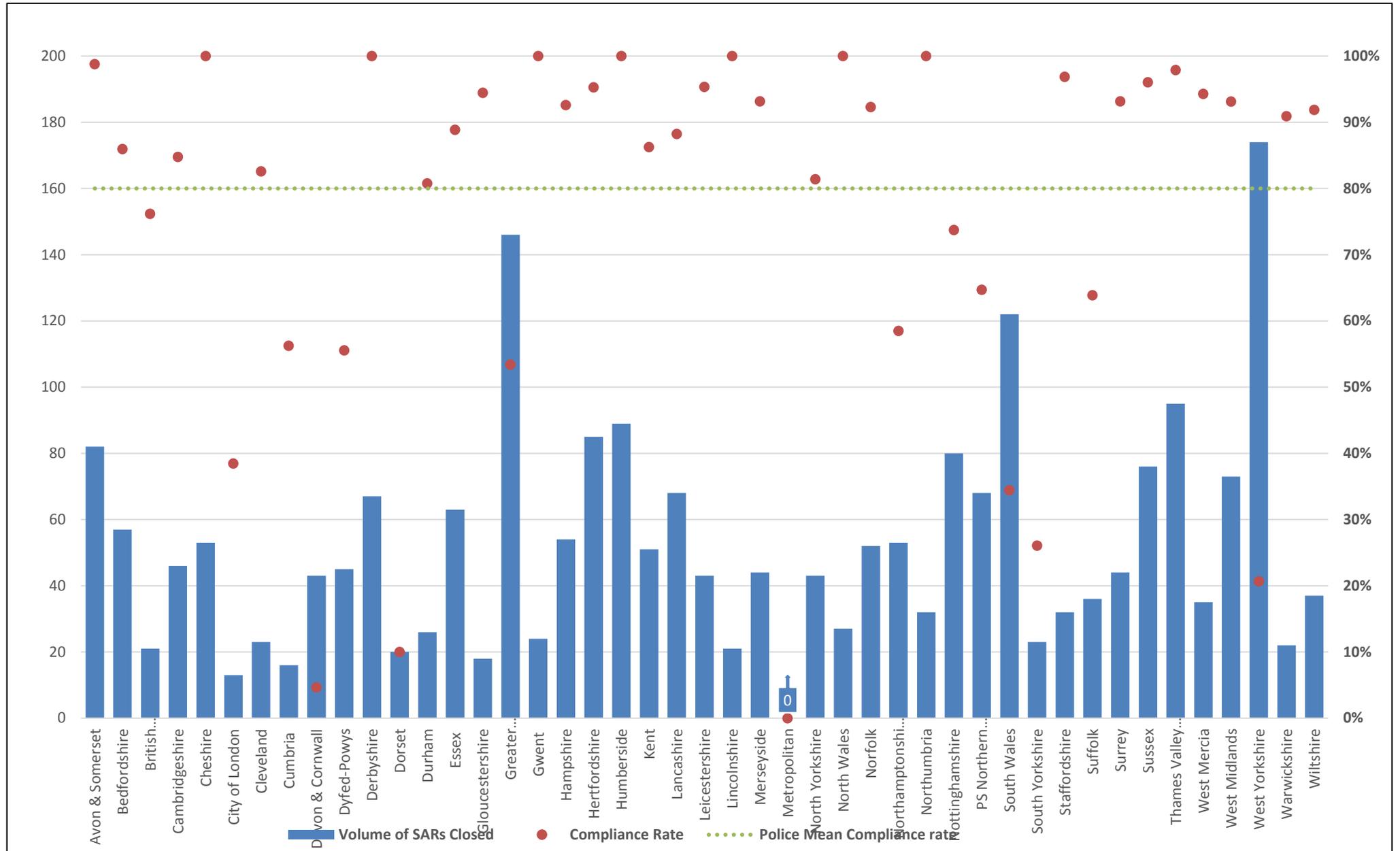
13. Background Papers (relevant for Police and Crime Panel Only)

13. No background papers have been provided

Appendix 1: National Figures: Volume of FOI Requests completed in June 2020 & compliance rate per Force



Appendix 2: National Figures: Volume of Subject Access requests completed in June 2020 & compliance rate per Force



For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	30 September 2020
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:	14

Joint Audit and Scrutiny Panel Proposed Work Plan 2020

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 2020.

2. Recommendations

- 2.1 That Joint Audit and Scrutiny Panel members note the report and attached appendix and agree the contents.
- 2.2 That members of the Joint Audit and Scrutiny Panel note the key themes identified to accompany each of the Force Audit and Inspection reports.

3. Reasons for Recommendations

- 3.1 To enable the Panel to fulfil its scrutiny obligations with regard to Force activity.

4. Summary of Key Points

- 4.1 The proposed workplan has been discussed with members and prepared based on the business planning cycle for both the OPCC and Nottinghamshire Police.
- 4.3 The proposed Joint Audit and Scrutiny work plan has been prepared in consultation with the Chief Finance Officer in order to fulfil our statutory obligations with regards to reporting in these areas of business.

5. Financial Implications and Budget Provision

- 5.1 There are no financial / budget implications arising from this report.

6. Human Resources Implications

- 6.1 There are no direct HR implications as a result of this report.

7. Equality Implications

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

8. Risk Management

8.1 There are no risk management issues arising from this report.

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

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

10. Changes in Legislation or other Legal Considerations

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

11. Details of outcome of consultation

11.2 The proposed work plan has been produced in partnership between the Force and the OPCC.

12. Appendices

12.1 Appendix 1: Proposed Joint Audit and Scrutiny

PROPOSED JOINT AUDIT AND SCRUTINY PANEL WORK PLAN 2020

27 NOVEMBER 2020 CHAIR TOPIC			
	Internal Audit Progress Report	Each Meeting	Mazars – Mark Lunn
	Review of OPCC Risk Management arrangements Review of Force Risk Management arrangements Key Theme for Risk – To be Advised	6-Monthly	OPCC – Kevin Dennis Force – Amanda Froggatt
	Summary set of Accounts for Publication	Annually	OPCC – Charlie Radford
	Force Treasury Update Report to show compliance with Treasury Management Strategy	Annually	OPCC – Charlie Radford
	Key theme for Force Audit Report – IT Strategy and Demand		
	Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMIC, AGS improvements) Key theme for Force Audit Report – Neighbourhoods	Each meeting	OPCC - Where appropriate Force – Amanda Froggatt
	Annual Audit Letter – External Audit	Annually	Ernst and Young
	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

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