

JOINT AUDIT AND SCRUTINY PANEL

TUESDAY 30 NOVEMBER 2021 at 10.00AM Chappell Room, Gedling Borough Council Civic Centre Arnold NG5 6LU

Note: There will be a pre-meeting for Panel members in the Chappell Room at 9.30am

Membership

Stephen Charnock (Chair)
Leslie Ayoola
Peter McKay
Alan Franks
Vacancy

AGENDA

- 1. Apologies for absence
- 2. Declarations of interest by Panel Members and Officers
- 3. To agree the minutes of the meeting held on 29 July 2021
- 4. To agree the minutes of the meeting held on 9 November 2021
- 5. Progress against the Action Tracker
- 6. Health and Safety Report and Presentation
- 7. Internal Audit Progress Report

- 8. Archives and Exhibits Presentation
- 9. Strategic Risk Management Report for Force and Nottinghamshire Police and Crime Commissioner
- 10. Audit and Inspection Update
- 11. MFSS Lessons Learnt presentation
- 12. ISA 260 Update and External Audit Plan verbal update
- 13. Police and Crime Commissioner's Update Report
- 14. Complaints and Reviews Assurance Report
- 15. Force Report on Complaints and Misconduct, Investigations, New and Open Cases
- 16. Force Report on IOPC Investigations, Recommendations and Actions
- 17. Professional Standards Confidential Reporting Procedure (Whistle-blowing)
- 18. Joint Audit and Scrutiny Panel Proposed Work Plan
- 19. Summary of actions (verbal)
- 20. Date of Next Meeting to be determined

MINUTES OF THE MEETING OF THE NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER JOINT AUDIT AND SCRUTINY PANEL HELD ON THURSDAY 29TH JULY 2021 COMMENCING AT 2.00 PM VIA MS TEAMS

MEMBERSHIP

(A – denotes absent)

Mr Stephen Charnock (Chair)

Mr Leslie Ayoola A

Dr Phil Hodgson A

Mr Peter McKay

Alan Franks

ALSO PRESENT

Rachel Barber Deputy Chief Constable, Nottinghamshire Police

Helen Henshaw EY

Gary Hooks Nottinghamshire Police

Mark Lunn Mazars Gary Morris EY

Mark Kimberley Head of Finance, Nottinghamshire Police

Noel McMenamin
Charlie Radford Democratic Services, Nottinghamshire County Council

Charlie Radford Chief Finance Officer, NOPCC

1) **APOLOGIES FOR ABSENCE**

Dr Phil Hodgson, Leslie Ayoola, Commissioner Henry, Chief Constable Guildford.

2) <u>DECLARATIONS OF INTEREST BY PANEL MEMBERS AND ATTENDEES</u>

None.

3) MINUTES OF THE MEETING HELD ON 25 MAY 2021

The minutes of the last meeting held on 25 May 2021, having been circulated to all members, were taken as read and were confirmed and signed by the Chair.

4) PROGRESS AGAINST ACTION TRACKER

The following progress was reported:

Action 039: Victims Code of Practice Update – considered at this meeting, then completed and closed.

Action 043: Request for Programme Board Schematic – Circulated with July 2021 agenda pack - completed and closed.

Action 047: Review of MFSS – Presentation of Lessons Learnt at November 2021 meeting. Panel to provide questions/comments to inform review.

Action 048: Comments on draft Annual Governance Statements for 2020-21: no comments received from Panel members. Change in categorisation of 'Wellbeing' from Limited to Satisfactory noted. Completed and closed.

Action 049: Panel member visit to custody suite and joint HQ – noted that custody suite would available from end of 2021 and joint HQ from end March 2022.

5) VICTIM CODE AUDIT UPDATE

The Panel considered a report and received a presentation from DCS Gary Hooks, published with the agenda, updating it on the results and response to the audit on Victim Code compliance undertaken in September 2020 by Mazars LLP.

Three significant recommendations - limited crime range and sample size of satisfaction surveys, non-completion of Ncalt training module and non-provision of Victim Information Packs - had been identified, and the report and presentation detailed the responses ad mitigations put in place to address these, as well as three housekeeping recommendations, detailed in the report and presentation.

The Panel acknowledged and welcomed the significant work that had gone into addressing the issues raised in the September 2020 audit. Arising from discussion, a request was made to examine traffic on the Force website to determine whether it was being used as a source of information by victims of asyet unreported crimes.

RESOLVED 2021/033

That the report and presentation be noted.

6) FINAL ACCOUNTS - VERBAL UPDATES ON ACCOUNTS FOR EACH OF 2019-2020, 2020-2021 AND 2021-2022

The Panel received verbal updates and perspectives on progress and next steps in respect of Final Accounts for each of 2019-2020, 2020-2021 and 2021-2022 from Helen Henshaw and Gary Morris, EY, and from Charlie Radford and Mark Kimberley. The key points arising were that:

 All parties were working much more closely and regularly together, processes had improved and permanent additional resource was now in place;

- All parties were committed to having the Final Accounts for 2019-2020 ready for the Panel's consideration at an additional meeting scheduled for the end of September 2021, but this still represented a very significant challenge, and a definitive assurance requested by a Panel member that this schedule would definitely be met could not be given at this time;
- work on the accounts for 2020-21 and 2021-22 was proceeding in tandem, but there were limits to the resource available to drive forward the Accounts for all 3 years;
- Charlie Radford highlighted the additional scheduling pressures arising from the replacement of the MFSS system going live in April 2022, and the fact that the current team supporting MFSS was losing staff. She asked that audit focus be kept on those areas that made a material difference to the Final Accounts;
- Helen Henshaw advised that she was taking up a new role and would soon no longer be involved with this work.

RESOLVED 2021/034

To note the verbal updates, noting also the Panel's frustration and concern that it was not yet in a position to consider the Final Accounts for 2019-2020.

7) AUDIT AND INSPECTION UPDATE

The Panel considered the report, providing an update on the progress against the recommendations arising from audits and inspections which had taken place during Quarter 1 of 2021-2022. The report also provided a schedule of upcoming audits and inspections.

The Panel commended the revised formatting of the report, which provided improved presentation and focus on key areas, and recorded its thanks to Amanda Froggatt, Corporate Development Manager.

Arising from discussion, the Panel requested further information on the outcomes/findings of the 24-hour snapshot exercise on policing and mental health highlighted within the report.

RESOLVED 2021/035

To note the report.

8) <u>INTERNAL AUDIT PROGRESS REPORT</u>

The Panel considered the report, providing an update on progress against the Internal Audit Annual Plan for 2021-22 and the findings from audits completed to date.

Mark Lunn of Mazars LLP advised that 4 final reports had been conducted, with one report on risk management still in draft. Mr Lunn also advised that a collaboration audit plan had been drafted and circulated for comment at regional level, and was to be considered by Regional Chief Finance Officers for approval at end July 2021.

Discussion focussed on the Seized Property internal audit which had received a No Assurance rating. DCC Barber, while fully accepting of the rating, expressed disappointment about the quality of information presented to auditors initially, and confirmed that significant work had been undertaken to address the shortcomings identified.

It was confirmed that a further audit was scheduled to be conducted in Quarter 4 of 2021-22, and that the Panel would receive a presentation on Archives and Exhibits at its November 2021 meeting.

RESOLVED 2021/036

To note the progress report.

9) NOTTINGHAMSHIRE POLICE INFORMATION MANAGEMENT – FREEDOM OF INFORMATION AND DATA PROTECTION REQUESTS UPDATE FOR JANUARY TO MAY 2021

The Panel considered the report, which provided data on the legislative compliance for Information Requests under the Freedom of Information (FoI) Act and Data Protection Act legislation for January to May 2021.

During discussion, the Panel welcomed the significant improvement in performance, noting that the Team was at full complement and that staff morale had greatly improved. It was confirmed that the volume of FoI requests would be monitored in case of slippage in performance should demand increase as lockdown measures eased.

It was also noted that a proposed extension to the current Freedom of Information legislation to include Social Housing and Children's Safeguarding Boards could potentially have implications for the service if passed as currently drafted.

RESOLVED 2021/037

To note the report.

10) PERFORMANCE AND INSIGHT UPDATE REPORT TO JUNE 2021

The Panel considered the report for information, the purpose of which was to inform the Police and Crime Commissioner of key performance headlines for Nottinghamshire Police in the 12 months to June 2021.

Several points were raised and noted during discussion:

- the overall crime reduction was the biggest nationally outside the City of London and was commended by the Panel. The very positive outcomes of the Force's work on Integrated Offender Management was also commended;
- It was acknowledged that there was a balance to be struck between seeing an increase in child safeguarding incidents, which was a positive in respect of incidents being reported, against there being a tipping point that were increases to continue it would be a matter of concern;
- It was confirmed that lots of work with partners was ongoing in respect of protecting vulnerable residents from online crime and fraud.

RESOLVED 2021/038

To note the report.

11) POLICE AND CRIME COMMISSIONER'S UPDATE REPORT - 90-DAY PLAN

In Commissioner Henry's absence, the Panel considered and noted the report without substantive comment.

RESOLVED 2021/039

To note the report.

12) OPCC PUBLICATION SCHEME MONITORING, REVIEW AND ASSURANCE

The Panel considered the report, providing information on the OPCC's compliance with the Freedom of Information Act 2000 and the Elected Local Policing Bodies (Specified Information) Order 2011.

During a brief discussion, it was explained that the OPCC had been awarded the CoPaCC Transparency Award in 2021, having missed out on the award in 2020.

RESOLVED 2021/040

To note the report.

13) <u>FORCE PUBLICATION SCHEME MONITORING, REVIEW AND ASSURANCE</u>

The Panel considered the report, which provided an update on the Force position on Publication Scheme requirements in relation to the relevant legislative requirements.

During discussion, it was reported that more information was being made available locally, and that it was intended to move to a Single Online Home in 2022. It was also reported that responses were becoming more proportionate and concise as learning was embedded. Arising from discussion, the Panel

requested a presentation on Digital Public Contact – to include Single Online Home - at its first meeting in 2022.

RESOLVED 2021/041

To note the report

14) WORK PROGRAMME

The Panel noted that the Work Programme would be revised in due course to reflect the priorities in Commissioner Henry's emerging Police and Crime Plan. The Chair also undertook to have further discussions outside the meeting in relation to scheduling business related to the Final Accounts.

RESOLVED 2021/042

To approve the work programme for the remainder of 2021.

15) **SUMMARY OF ACTIONS**

RESOLVED 2021/043

To agree that the following actions and amendments be added to the Action Tracker:

Arising from Action Tracker – Action 047 – To receive an MFSS 'Lessons Learnt' presentation in November 2021;

Arising from Victim Code Update – information on 'hits' on the Victim Code part of the Force's website to understand whether used as a source of information for unreported victims.

Arising from Audit and Inspection Update – Information on the outcomes/findings of the 24-hour snapshot exercise on policing and mental health.

Arising from Force Publication Scheme – presentation on Digital Public Contact – to include Single Online Home – to first meeting of 2022.

The meeting ended at 3.55pm

MINUTES OF THE MEETING OF THE NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER JOINT AUDIT AND SCRUTINY PANEL HELD ON THURSDAY 9TH NOVEMBER 2021 COMMENCING AT 11.30 AM IN THE CHAPPELL ROOM, GEDLING BC CIVIC CENTRE

MEMBERSHIP

(A – denotes absent)

Mr Stephen Charnock (Chair)

Mr Leslie Ayoola

Mr Peter McKay

Alan Franks

Vacancy

ALSO PRESENT

Craig Guildford Chief Constable, Nottinghamshire Police

Neil Harris EY

Caroline Henry Nottinghamshire Police and Crime Commissioner

Mark Kimberley Head of Finance, Nottinghamshire Police

Noel McMenamin Democratic Services, Nottinghamshire County Council

Charlie Radford Chief Finance Officer, NOPCC

1) APOLOGIES FOR ABSENCE

Rachel Barber – Deputy Chief Constable, Nottinghamshire Police.

2) <u>DECLARATIONS OF INTEREST BY PANEL MEMBERS AND ATTENDEES</u>

None.

3) <u>FINAL STATEMENT OF ACCOUNTS AND ANNUAL GOVERNANCE</u> STATEMENTS FOR 2019-2020

Note: the Panel both this item and published agenda item 4 – 'External Audit of the Accounts (ISA 260) Report' – as a single composite item.

The Panel considered the report and accompanying audited statement of accounts and annual governance statements for 2019-2020, alongside the Audit Results report submitted by EY, the external auditors for the OPCC and Nottinghamshire Police.

Charlie Radford introduced the report, statement of accounts and annual governance statements, explaining that it was hoped that these were the definitive versions. These were subject to final checks and balances and could

require minor amendments. Though not anticipated, if substantial material changes arose from these final checks, Ms Radford cautioned that revised papers would need submitting to the Panel for its further consideration.

During initial discussion of the statement of accounts and annual governance, it was explained that this Panel's work and assurance was confirmed within the documentation, and that the external audit costs indicated within the report approximated the PSAA scale figure if VAT was included.

Neil Harris of EY then introduced the Audit Results report, which had been recently been circulated. Mr Harris acknowledged that the process had taken longer than anticipated to ensure key adjustments had taken place. He concurred with Ms Radford's analysis in respect of material changes not being expected from the final round of checks being carried out, but they couldn't be ruled out until all checks had been completed.

Mr Harris drew the Panel's attention to the narrative at page 25 of the report on the correction of a variance of £2.8 million identified between the Minimum Revenue Provision (MRP) working paper and the Capital Financing Requirement. The OPCC had now mitigated the risk of material cumulative MRP underspend by charging £800k – in addition to the previously charged £1.875 million – in 2019-2020.

Mr Harris concluded by drawing the Panel's attention to page 7 of the Audit Results report, which highlighted the status of the audit and the areas that needed closing off before it could be confirmed that an unqualified audit opinion could be issued.

The Panel Chair then addressed the meeting, describing the 2019-2020 audit cycle as a fraught process and emphasising the importance of getting a conclusion to the 2019-2020 audit cycle as soon as possible, given the wider pressures on all parties.

Panel members confirmed that they had had sufficient time and information in order to make recommendations to the Chief Constable and Commissioner Henry.

Both the Chair and Commissioner Henry thanked all parties for adopting a flexible approach to reaching the outcomes agreed at the meeting.

RESOLVED 2021/044

That:

 Having examined the statements provided, to recommend the accounts and governance statements for 2019-2020 to the Police and Crime Commissioner for approval, subject to further material changes not being required following final outstanding checks being concluded; 2) Subject to the caveat at 1) above on concluding final outstanding checks, to recommend the accounts and governance statements for 2019-2020 to the Police and Crime Commissioner and Chief Constable for signature.

4) EXTERNAL AUDIT OF THE ACCOUNTS (ISA 260) REPORT

Note: This item was considered at Item 3 above as a single composite item.

5) DATE OF NEXT MEETING

It was confirmed that the Panel would next meet on Tuesday 30 November 2021.

The meeting concluded at 11.58am.

AUDIT & SCRUTINY PANEL MEETING

Actions arising from previous meetings and progress against action tracker

	ACTION	ALLOCATED TO	TIMESCALES FOR UPDATES	UPDATE
038	Arising from Internal Audit Report November 2020 meeting - Collaboration: Health and Safety – Update check on progress against recommendations	OPCC/Force	November 2021	Work plan has been revised to pick up updates. Presentation by the Lead Officer at November 2021 meeting – complete and close
045	Arising from Force Publication Scheme February 2021 – Update on use of website, with data from previous years to compare usage trends	Force	February 2022	For inclusion in future reports on Publication Scheme
047	Arising from MFSS item May 2021 and Action tracker July 2021 – DCC Barber to conduct a review of MFSS Lessons Learnt' and report to panel	Force	November 2021	To consider at November 2021 meeting – complete and close
049	Arising from Capital Expenditure item May 2021 – Panel members to have visit the new custody suite and joint HQ in due course	Force/Panel	Early 2022	To be confirmed by Force when visits are appropriate/feasible: current estimate Custody Suite Jan/Feb 2022; Joint HQ – April 2022
050	Arising from Victims Code Update – July 2021: Information on statistics on victims code 'hits' on the	Force	November 2021	Feedback at November 2021 meeting

	Force website. Seeking to understand if used as a source of information for victims before they formally report crime/abuse.			
051	Arising from Audit and Inspection Update July 2021: Further information requested for Panel members on outcomes/findings of the 24-hour snapshot exercise on policing and mental health	Force	November 2021	Information received – to be distributed to panel members alongside agenda papers – complete and close
052	Arising from Publication Scheme July 2021: Presentation on Digital Public Contact – to include Single Online Home – to first meeting of 2022	Force	February 2022	Amend work plan and consider February 2022

For Information	
Public	
Report to:	JASP
Date of Meeting:	30 th November 2021
Report of:	Health and Safety
Report Author:	Adrian Greensill, Senior H&S Advisor
E-mail:	adrian.greensill@notts.police.uk
Other Contacts:	Claire Salter, Head of People Services, Learning and OD
Agenda Item:	6

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

Health & Safety

1. Purpose of the Report

- 1.1 To provide the Joint Audit and Scrutiny Panel (JASP) with a full year update on health & safety performance and statistics for the period April 2020 to March 2021.
- 1.2 To inform the panel of the actions undertaken by the health and safety department following Mazars audit report of 2020.

2. Recommendations

- 2.1 It is recommended that the panel notes the following:
 - o contents of this report and the progress made to respond to the Mazars Audit of 2019 and 2020.
 - o contents of the attached Annual Health & Safety Report 20/21.
 - o progress, improvement and progression of the Health & Safety training plan.

3. Reasons for Recommendations

3.1 To enable the Panel to fulfil its scrutiny obligations regarding Nottinghamshire Police and its response to audits and inspections.

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

4.1 Mazars's report of 2019 and 2020 highlighted five areas for improvement, having awarded Nottinghamshire Police limited assurance. These areas have been thoroughly considered, reviewed and the recommended actions implemented. All actions are to be considered completed and are intended to meet the requirements highlighted in the audit report.

4.2 The original audit reports of 2019 and 2020 highlighted areas of concern relating to RIDDOR reportable accidents including the quality of information and investigation of incidents. The actions below are now in place to ensure reportable incidents are identified, recorded, investigated and reported to RIDDOR in a timely manner.

Actions include :-

- A weekly report provided to health and safety highlighting all sickness absence which is reviewed to identify workplace injuries that achieve 7 days and therefore become RIDDOR reportable incidents
- A weekly review takes place to identify completion rates and content of accident reports. This process identifies any incidents that are RIDDOR reportable and allows the Health & Safety (H&S) team to seek further clarification/investigation.
- Information on RIDDOR reporting is now included within the stand alone Risk Assessment Training day and is of the line management training programme aimed at newly promoted Sergeants, Inspectors and police staff equivalent.
- Custody has a dedicated process to ensure all incidents (assaults/accidents/near misses) are reviewed by an Inspector providing feedback on reported incidents. As this is a high risk area of business this is audited by the H&S team for compliance.

4.3 Health and Safety training has been an ongoing concern in the Mazar audit process specifically sighting a lack of clarity, oversight and requirement for senior officers.

- A force wide training needs analysis is currently being undertaken to identify training needs for all departments including H&S specifics ie CSI. Fleet.
- Mandatory NCALT training (Fire Safety & DSE) has been made a
 priority with completion rates rising from around 12% complete to 60%.
 Work will continue on this to further improve rolling compliance and
 proactively achieve an increase in completion.
- New starters now receive an induction booklet outlining key responsibilities and safety instructions. All courses receive an input from the H&S team and all single appointments are covered by a refreshed induction procedure incorporating the relevant NCALT and booklets.
- All newly promoted Sergeants, Inspector and police staff equivalents receive a mandatory health and safety training workshop.
- All newly promoted Inspectors and police staff equivalent roles complete an on line IOSH Accredited Managing Safety course.
- Risk Assessment training for Chief inspectors and Inspectors is in place and delivered by the H&S team on a rolling basis as a stand alone course with dates currently planned until June 2022.
- Senior Officers and staff (Chief Constable to Superintendent and police staff equivalents) are attending an IOSH Accredited Directing Safety course (8th November 2021 and 20th December 2021).
- Fire warden training has been provided for custody suite staff and mangers and will continue on a rolling plan.
- Training administration has been reviewed with a new team now ensuring that any health and safety is recorded and that training requests are processed in a timely manner.

- 4.4 Mazars identified that the policy document had not been refreshed in a timely manner, this has since taken place in 2020, with a further review expected for January 2022. The policy includes updates and clarification in relation to (the governance structure, training policy and reporting process. It was identified in the report that these elements were all in place however the policy did not reflect the current position.
- 4.5 Mazars identified that there was no clear procedural process or guidance in place to report accidents, assault and near misses. The H&S team worked closely with MFSS to develop an Apex form and reporting procedure that would capture this information quickly and easily. This was then implemented to the force. The H&S team have then proactively sought completion via line managers, H&S SPOCS and cross referencing NICHE and Absence data. This review has been linked to the Operation Hampshire work to ensure officers who are assaulted receive appropriate support from Nottinghamshire Police and that all assaults are investigated independently. As a result:
 - Line managers now receive an email to inform them of incidents that have been reported by their direct reports and they are expected to review these incidents and investigate appropriately
 - A weekly audit of incidents takes place with the H&S team and requests for additional information from line managers are made if necessary.
 - Any Incident reported as a crime on NICHE has a required field for an APEX reference (Accident reporting system) and directs the investigating officer to the APEX reporting screen, this has resulted in a more accurate reporting of incidents.
 - We are seeing more accurate, credible data being reported as a result.
- 4.6 Mazars identified that more data led information should be collated and shared through the governance process. Annually our H&S team will now report on the previous years performance and trends. This report is also used to proactively identify future requirements and areas for continuous improvement.. Additional performance report information is provided to each governance meeting such as the use of force meeting to identify any areas needing further review. Attached for your information is the Annual H&S Report for 2020/21.
- 4.7 Additional activities under taken by the Health and safety team include:-
 - Assisting with the response to COVID 19 developing Covid 19 Risk assessments and Audit process
 - Building a network of COVID champions to monitor compliance across the organisation
 - Responding to PHE and HSE investigations relating to COVID 19
 - Audit and development of appropriate noise testing equipment programme
 - Review and development of force generic risk assessments
 - Additional support for Custody Suites including dedicated incident investigation process (as described above)
 - Development of new H&S Management system (ITrent)
 - Review of policy documents
 - Walk round Audits of sites
 - Covid Inspections
 - Fatigue analysis of duties
 - CDM Compliance checks for new builds, Oxclose Lane, Custody Suites
 - Review force wide fire risk assessments with facilities
 - Reviewed legionella reporting processes

- Workplace observations ie Drove team risk assessment checks
- Reviewed Risk Assessments in place for Venson's on boarding

5. Financial Implications and Budget Provision

5.1 Financial implications are already factored into the existing budget provision and reviewed as part of the People Services budget requirements.

6. Human Resources Implications

6.1 Some extraction from Duty is necessary to facilitate the training requirements. H&S is part of the People Services Strategy and 5 year plan which links closely the Wellbeing Strategy and our aim to be an Employer of Choice.

7. Equality Implications

7.1 No implications are anticipated

8. Risk Management

8.1 H&S raise and monitor strategic risks identified.

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

9.1 None at this time

10. Changes in Legislation or other Legal Considerations

10.1 Changes to COVID 19 regulations have resulted in covid precautions becoming business as usual and falling under the Health and Safety at Work etc. act 1974 and the Management of Health and Safety Regulations 1999.

11. Details of outcome of consultation

11.1 No consultation on this document has been undertaken. Staff Associations and Federation are part of the governance process and additionally the JNCC formal consultative process.

12. Appendices

12.1 Annual H&S Report 2020/21

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

13. None

NB

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



Health and Safety Key themes arising from Mazars Audit report 2019/2020

Claire Salter, Adrian Greensill



Introduction and background

MAZARS Audit report highlighted five key areas for review these where:

- Management of RIDDOR reportable incidents
- Training Provision
- Health and Safety policy
- Accident reporting process
- Performance monitoring



Management of RIDDOR reportable incidents

- Weekly report provided to health and safety team to highlight 7 day sick absence
- A weekly review takes place to identify completion rates and content of accident reports and any incidents that are RIDDOR reportable
- Information on RIDDOR reporting is now included in the stand alone Risk Assessment training day and is on the line management training programme aimed at newly promoted Sergeant and Inspectors and police staff equivalent
- Custody has a dedicated process to ensure all incidents are reviewed by an Inspector providing feedback on reported incidents and quickly identifying RIDDOR reportable matters



Heath and Safety Training

- A force wide training needs analysis is currently being undertaken to identify training needs for all departments including H&S specifics
- Mandatory NCALT training has been made a priority with completion rates rising from around 12% complete to 60%. Work will continue on this to further improve rolling compliance.
- New Starters receive an input from H&S either by course input or refreshed single person induction process
- Senior Officers and staff (CC to Supt and police staff equivalents) are attending an IOSH accredited Directing Safety course
- All newly promoted Sergeants, Inspectors and police staff equivalents will receive 1 days health and safety training.
- All newly promoted Inspectors and police staff equivalents complete an on line IOSH Accredited Managing Safety course.



Health and Safety Training

- Risk Assessment training for Chief Inspectors and Inspectors is in place and delivered by H&S team with courses planned until June 2022.
- Fire Warden training has been provided for custody suite staff and mangers.
- Training administration has been reviewed with a new team now managing the process.



Policy and Accident Reporting

- Fully refreshed policy published January 2020, current review on going.
- Clarity on governance structure, training policy and reporting process delivered.
- Line managers now receive an email to inform them of incidents that have been reported by their direct reports and they are expected to review these incidents.
- A weekly audit of incidents takes place and requests for additional information from line managers are made if necessary.
- Any Incident reported as a crime on NICHE has a required field for an APEX reference this has increased reporting accuracy.



Performance Management

- Production of an Annual H&S Report
- Identification of previous years performance and trends
- Proactive identification of future requirements and continuous improvement
- Regular data now provided to each governance meeting



Additional Actions from Health and Safety team

- Assisting with the response to COVID 19 developing Covid 19 Risk assessments and Audit process.
- Building a network of COVID champions to monitor compliance across the organisation.
- Responding to PHE and HSE investigations relating to COVID 19.
- Audit and development of noise monitoring process.
- Review and development of force generic risk assessments.
- Additional support for custody suites including dedicated incident investigation process.
- Development of new H&S management system (itrent).
- Review of policy documents.
- Walk round audits of sites
- Covid Inspections.



Additional Actions from Heath and safety

- Fatigue Analysis of Duties.
- CDM compliance checks for New Build Oxclose, Custody Suites.
- Reviewed force wide FRA.
- Reviewed legionella reports.
- Assisted with relocations.
- Workplace observations.
- Reviewed Risk Assessments in place for Venson's on boarding



For Information / Consideration				
Public/Non Public*	Public			
Report to:	ort to: Joint Audit and Scrutiny Panel			
Date of Meeting: 30 th November 2021				
Report of: Chief Finance Officer				
Report Author: Charlotte Radford				
Other Contacts: Mark Lunn				
Agenda Item: 7				

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 2021-22 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 2021-22



mazars

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Disclaimer

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

The Report was prepared solely for the use and benefit the Nottinghamshire Police and the Officer of the Police and Crime Commissioner (OPCC) for Nottinghamshire and to the fullest extent permitted by law Mazars LLP accepts no responsibility and disclaims all liability to any third party who purports to use or rely for any reason whatsoever on the Report, its contents, conclusions, any extract, reinterpretation, amendment and/or modification. Accordingly, any reliance placed on the Report, its contents, conclusions, any extract, reinterpretation, amendment and/or modification by any third party is entirely at their own risk. Please refer to the Statement of Responsibility in Appendix A1 of this report for further information about responsibilities, limitations and confidentiality.



01 Summary

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. It will also provide an update on the progress in respect of the Operational Plan for the year ended 31st March 2022, which was considered and approved by the JASP at its meeting on 24th February 2021.

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

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

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

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.

Our work is delivered is accordance with the Public Sector Internal Audit Standards (PSIAS).

02 Current progress

2020/2021

Unfortunately, since the last meeting of the JASP, one report remains in draft report in respect of Risk Management where we are awaiting management comments to finalise the report. This is also preventing us issuing our Annual Internal Audit Report for 2020/21 as well. Further details are provided in Appendix A1.

At the July meeting of the Force and OPCC CFO's discussed the Collaboration Workforce Planning draft report and it was decided that the management comments provided were inadequate and therefore these have been feedback to the collaboration units to ensure the management comments are correct before finalisation of this report. Since then audit have liaised with the new collaboration unit head to discuss the issues raised and an updated draft report has been provided, we are awaiting updated management comments to finalise this report.

2021-2022

The audit plan was approved at the February meeting of the JASP and audit can confirm that planning work has begun in regard to the delivery of this plan. We are pleased to inform the committee that the final reports for Firearms Licensing, Performance Management and MFSS Transfer have been issued, see Appendix A3 for full details.

Moreover, we have provided the Force with proposed dates across the rest of 2021/22 for the delivery of the remaining audits within the plan and though commitment of the OPCC, Force and internal audit to completing the audits per the current schedule the audit plan shall be completed before the year end.

Per the last update to the committee the Collaboration Internal Audit Plan has now been agreed by the regional CFO's, moreover the scope of each review has now been agreed as well, therefore audit has liaised with the individual collaboration units and dates have been agreed across Q3 and Q4 for the completion of these audits.

The Plan in Appendix A1 has been updated to include the status of each audit to date.

03 Performance

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

Number	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.	100% (2/2)
5	Issue of final report	Within 5 working days of agreement of responses.	100% (2/2)
8	Audit Brief to auditee	At least 10 working days prior to commencement of fieldwork.	100% (5/5)
9	Customer satisfaction (measured by survey)	85% average satisfactory or above	100% (2/2)
	survey)		1 x Very Good
			1 x Good

A1 Plan overview 2020/2021

Audit area	Proposed Dates	Draft Report Date	Final Report Date	Target JASP	Comments
Core Financial Systems	Q3	February 2021	May 2021	May 2021	
Workforce Planning	Q1	November 2020	December 2020	Feb 2021	
Victims Code of Practice	Q1	September 2020	October 2020	November 2020	
Estate Management	Q2	October 2020	November 2020	November 2020	
Wellbeing	Q4	February 2020	July 2021	May 2021	
Debt Recovery	Q3/4	February 2021	May 2021	May 2021	
Seized Property	Q3	February 2021	May 2021	May 2021	
Business Change	Q3			n/a	C/fwd. into 2021/22 Plan
Complaints Management	Q4	April 2021	July 2021	May 2021	
Risk Management	Q4	February 2021		May 2021	Draft Report Issued 17th February 2021
IT Security: Follow Up	Q3	January 2021	February 2021	Feb 2021	
GDPR: Follow Up	Q3	January 2021	February 2021	Feb 2021	

Plan overview 2021/2022

Audit area	Proposed Dates	Draft Report Date	Final Report Date	Target JASP	Comments
Performance Management	Q1	July 21	Sept 21	Sept 21	
Firearms Licensing	Q1	July 21	Sept 21	Sept 21	
MFSS Transfer - Q1 & Q2	Q1/Q2	Sept 21	Oct 21	Nov 21	
Core Financials	Q3			Jan 22	Fieldwork underway
OPCC Charities Account	Q3			Jan 22	Fieldwork underway
Business Change	Q4			Mar 22	Suggested date provided 10-Jan-22
Health & Safety	Q4			Mar 22	Suggested date provided 24-Jan-22
Workforce Planning	Q4			Mar 22	Suggested date provided 31-Jan-22
Procurement	Q4			Jun 22	Suggested date provided 03-Mar-22
Partnership	Q4			Jun 22	Suggested date provided 07-Mar-22
Seized Property	Q4			Jun 22	Suggested date provided 14-Mar-22
Information Assurance	Q3/Q4			Mar 22	IT Manager has contacted key contacts to arrange
GDPR	Q3/Q4			Mar 22	IT Manager has contacted key contacts to arrange

Collaboration Audit Plan 2021/22

Audit area	Forces	Reasoning	Date of Audit
EMSOT Risk Management	Leics, Lincs, Northants	As a newly formed unit to get assurance they have this in hand would be beneficial. I can see RR's have been completed which is a good start but reviewing how Risks are managed by the unit as a whole would be beneficial	23 rd March 2022
ESMOT Business Plan	Leics, Lincs, Northants	As a newly formed unit having a Business Plan that has been approved and embedded in the way they are working and reporting against would provide assurance	24 th March 2022
EMSLDH Governance	Derby, Leics, Northants, Notts	In line with their Strategy a new governance structure is being formed, so audit will seek to get assurance this has been effectively established.	28 th February 2022
EMCJS Performance Management	Leics, Lincs, Northants, Notts	Follow up on previous recommendation in this area. In addition, a number of risks on their register relate to ability to review performance & relevant MI	6 th April 2022
EMSOU - Business Continuity	Five Force	Linked to limited assurance in 19/20 audit in this area for EMSOU.	8 th March 2022
EMSOU - Wellbeing	Five Forces	EMSOU: Risks on their register in relation to this. Also due to structure of EMSOU, consideration of how Wellbeing support is aligned/co-ordinated with each Force.	3 rd November 2021
EMSOU Risk Management	Five Forces	How does each unit within the EMSOU banner manage risks, how are they escalated and coordinated into an overall EMSOU Risk Register. How are these fed back to home Forces	27 th March 2022
Asset Management (EMCJS)	Leics, Lincs, Northants, Notts	Originally on the outline plan for 21/22. Might need to consider which unit to focus this on though. EMCJS would be my suggestion just looking at current audits outlined above	6 th April 2022

A2 Reporting Definitions

Assurance Level	Control Environment
Substantial Assurance	There is a sound system of internal control designed to achieve the Organisation's objectives. The control processes tested are being consistently applied.
Adequate Assurance	While there is a basically sound system of internal control, there are weaknesses, which put some of the Organisation's objectives at risk. The level of noncompliance with some of the control processes may put some of the College'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 College's objectives at risk.
No Assurance	Controls are generally weak leaving the system open to significant abuse and/or we have been inhibited or obstructed from carrying out or work.

Recommendation Priority	Description			
1 (Fundamental)	Recommendations represent fundamental control weaknesses, which expose the Organisation to a high degree of unnecessary risk.			
2 (Significant)	Recommendations represent significant control weaknesses which expose the Organisation to a moderate degree of unnecessary risk.			
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.			

A3 Summary of Reports

Firearms Licensing 21/22

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

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

Policies & Procedures

- Clearly defined policies and/or procedures are in place and are available to both the Force and to potential applicants. The policies and procedures are reviewed and updated on a regular basis.
- There are clear procedures in place in respect of the revoking of licenses.
- There is an agreed process for home/security inspections with regards to the holding of firearms.

Applications & Renewals

- All applications and renewals are subsequently vetted as part of the approval process.
- Applications and renewals are authorised in accordance with the approved firearms licensing process.
- Payments are received in accordance with the agreed rates and are properly accounted for.

License Holder Records

- There are effective controls in place to monitor when renewals are due, and which prompt the reapplication process.
- There are effective controls in place to flag up, and act upon, changes of circumstances with regards to a license holder.
- Comprehensive and up to date records are maintained of license holders which are available to officers during the course of their duties.

Performance Information

 Performance information is available and is reviewed with regards to the effective administration of the firearms licensing process.

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

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

We have raised three priority 2 (significant) recommendations where improvements are required, as detailed below:

	The Firearms Licensing Process Maps should be updated to include:				
	 It should be clearly noted on the enquiry form whether a home visit, police station interview or digital interview has taken place. 				
Recommendation 1 (Priority 2)	• Where a home visit does not take place, it should be ensured that supporting evidence received, such as photographs, are noted as having been received on the enquiry form prior to authorisation.				
	• Where an applicant may be considered as higher risk, the Force should consider delaying the application until a date where home visits can be undertaken.				
	According to the Firearms Licensing Process Maps, the vetting stage of the license grant process previously required a home visit to be carried out. Due to Covid-19, home visits have not been regularly carried out for applicants deemed to be a low risk after initial vetting checks. Telephone renewals are usually undertaken over the phone at the 5-year renewal stage.				
	Audit carried out testing on a sample of 12 licenses granted and 12 license renewals, testing found:				
Finding	 Difficulties in determining whether a police station interview or video interview rather than a home visit from information on the enquiry form. For 4/12 license grants, it was not clear as to whether any photos had been provided by the applicant of their security arrangements. 1/12 license grant was listed as medium risk, but a home visit did not appear to have taken place 1/12 renewals police intelligence during vetting suggested that the applicant had previously left guns out of cabinets unattended, however despite this the renewal was still undertaken via telephone rather than home visit. 				
	It is noted that during the Covid-19 pandemic, difficult decisions had to be made by FEOs around balancing the appropriateness of home visits with the risk to health.				
	Risk: There is a risk that where a physical inspection does not take place, an inappropriate decision may be made as to whether a license should be granted.				
	Due to the easing of Covid restrictions all grants are now subject to a home visit.				
Response	Telephone renewals will only be completed if relevant documented criteria is satisfied.				
D 11 112	Georgia Newton				
Responsibility / Timescale	July 21				

Recommendation 2 (Priority 2)

To ensure each firearms license application has the required documentation, that has been signed and dated, a quality review should be undertaken on a sample of records on a periodic basis in order to determine the completeness of applicant records.

Finding of the quality reviews should be analysed and fed back to relevant staff to ensure lessons are learned from any common or frequent errors.

Finding

According to the Home Office guidance on firearms licensing law, several documents are required as part of the license application process, these include a medical verification letter from a doctor, personal referee, and vetting checks. An

application form should also be completed by the applicant as well as an enquiry form which is completed by a FEO and signed off by a FLM

Audit Testing found:

- In 1/12 license grants it was found that in one case the doctor's letter was not retained on file, although it was noted on NFLMS as having been received
- 5/12 license grants the risk assessment completed as part of the enquiry form had not been signed or dated by an officer
- In 1/12 license renewals it was found that the doctor's letter was not retained on file
- 1/12 renewals it was also found that a risk assessment was not signed or dated by an officer
- In 1/9 revocations sampled, the revocation letter and reclaimed certificate were not retained on file, however they were noted as having been received on NFLMS
- 7/9 revocations it was found that the reclaimed certificates were also not retained on file, although they were also noted on NFLMS as received

Audit was informed that certificates are destroyed after being recovered however this was only noted on NFLMS as having taken place for one revocation.

Risk: There is a risk that licensing decisions are made without the necessary documentation leading to incorrect decisions being taken.

There is a risk that where an appropriate audit trail is not maintained, the Force may not have the required evidence in the event of a dispute or incident occurring.

Response

Quality Review Process of 10% sampling schedule to be implemented by FLM for retention and recording of documents and results fed into staff one to one and departmental meetings. Sampling and feedback to occur on monthly basis.

Process for recording and retention of documents on NFLMS, Niche and Departmental drives updated and training and guidance for relevant staff. Policy to be updated.

Responsibility / Timescale

Georgia Newton

July 21

Recommendation 3 (Priority 2)

The Force should remind officers that all enquiry forms are to be signed and dated by an authorised signatory.

In addition, per rec 4.2, this should be checked in the data quality review.

Finding

Authorisation of a license grant or renewal is provided through the signature of an officer with delegated authority to grant and / or refuse licenses on the Firearms Licensing Enquiry Form.

• In 1/12 accepted license grants the enquiry form was not signed or dated by an authorised signatory.

	 In 3/4 applications for a grant which were refused, they were not signed off by an authorised signatory and instead it was noted that the 'FLM' had reviewed them. 				
	 In 1/4 refused applications, a summary report produced by the FEO had not been signed or dated by a FLM. 				
	Risk: License grants and refusals are not appropriately authorised.				
	FLM Review Process to be authored.				
Response	Quality Review Process of 10% sampling of FLM reviews to be completed and provided to SLT on a monthly basis.				
Responsibility /	Georgia Newton				
Timescale	July 21				

We also raised two Priority 3 recommendations of a more housekeeping nature:

- Review and Update of Firearms Licensing Procedures
- Performance Information Additional KPI's should be implemented to show performance of department and these should be regularly reported on.

Performance Management 21/22

Overall Assurance Opinion	Substantial			
Recommendati	on Priorities			
Priority 1 (Fundamental)	-			
Priority 2 (Significant)	-			
Priority 3 (Housekeeping)	-			

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

There is a robust and formal performance management framework in place.

Targets and Measurement

- Performance targets are relevant, realistic, measurable and are properly communicated to staff.
- The Force's performance management arrangements are effectively aligned with the PCC Plan, HMICFRS and other relevant requirements.

Performance Data

- Performance data is accurate, consistent, timely and reliable, and any errors are identified and corrected in a timely manner.
- Staff have access to adequate policies and procedures relating to input of performance data.

Management Reporting

- There are effective reporting routines in place which provide up to date and accurate information to the relevant forum on the delivery of the service.
- Benchmarking information is available that allows comparative data and learning opportunities.

Performance Oversight

- There is a clear structure of performance oversight across the Force covering both strategic and operational performance.
- There are effective escalation procedures in place to resolve areas of under-performance.

The objectives of our audit were to evaluate the adequacy and effectiveness of the Performance Management system with a view to providing an opinion on the extent to which risks in this area are managed. In giving this assessment it should be noted that assurance cannot be absolute. The most an Internal Audit Service can provide is reasonable assurance that there are no major weaknesses in the framework of internal control. We are only able to provide an overall assessment on those aspects of the Performance Management process that we have tested or reviewed. Testing has been performed on a sample basis, and as a result our work does not provide absolute assurance that material error, loss or fraud does not exist.

The audit found that there is a sound system of internal control relating to Performance Management designed to achieve the Organisation's objectives and no audit recommendations were raised.

MFSS Transfer

As part of the approved 2021/22 Internal Audit Plan for the Office of the Police & Crime Commissioner for Nottinghamshire and Nottinghamshire Police, Internal Audit have carried out a review of the progress of the ongoing transfer of services away from the existing multi-force shared services based in Cheshire.

The objectives of the audit were to provide assurance in regard to the following:

- The progress status of the project is reporting in line with the agreed timescales
- Any variance from timelines have been reported on and actions put in place to ensure the project remains on schedule.
- The staged sign off of the project has been authorised correctly.
- The progress of the project is being accurately reported on and has supporting documentation in regard to current status.

The Conclusions of our work is provided below:

The Regain Programme has well established governance arrangements for oversight, scrutiny, decision making and key roles and responsibilities in delivering the programme for the Force. Our review of key documentation found that the defined governance arrangements are operating as intended with key highlight reporting being utilised within three individual projects and a single programme board overseeing the combination of the programme as a whole. Moreover, it was demonstrated that good controls are in place for the sign-off of key milestones within the programme which are required before payments are made to the suppliers delivering the new systems for the Force.

A4 Statement of Responsibility

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

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

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

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

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Archives & Exhibits Mazars Review 2021

Presentation Template



A&E Departmental Risk Overview

MAZARS Internal Report - OPCC Seized Property February 2021.

Including seizure following an arrest and lost/found property.

Main areas of risk identified;

- Policies and procedures
- Training of officers/Police staff
- Unrecorded property
- Property location issues
- Drug storage issues
- Temporary store access
- Safe reconciliation
- Formalisation of Property Review Group



A&E Risk update – Policies/Procedures & Training of staff

- Policies and procedures (Priority Mazars score 1- high)
- Staff currently work to standard operating procedures in line with the forces policy and procedures.
- 28 day Red shelf removed to 14 days.
- Amber shelf policy under review to remove.
- Collection SOP changed to more regular visits from A&E couriers.
- Training of officers/Police staff (Priority Mazars score 1 High)
- Police officers receive basic training on NICHE. These are where regular errors occur.
- Training school have provided college of policing training schedule and is under review by A&E leads to identify common areas of mistakes.
- The intranet site is currently under review/construction to be more training interactive.

In summary, The policies currently in place are followed by A&E staff. This ensures that consistency throughout the exhibit handling procedure is adhered to. There is no urgent requirement to train internal staff on this issue and that the errors are often rectified by quality assuring submissions. This is highlighted within primary input by operational staff not aligning the digital footprint with the tangible item. Due to limited timeframes and training school's already planned schedules new ideas are being researched to improve the intranet site for a more informative/interactive platform. (Score 2 – medium)



A&E Risk update - Unrecorded Property & location issues.

- Unrecorded property (Priority Mazars score 1 High)
- The A&E staff complete QA checks on submitted items and correct the administration.
- Errors recorded on submissions are corrected with advice emails to submitting officer.
- Force lead takes active role in liaison/educating officers on poor examples.
- Property location issues (Priority Mazars score 1 High)
- Generally these items are administered incorrectly by initial input (officers choosing wrong digital location on Niche)
- Missing or misplaced items are now placed into officer's possession if located with an accommodating email notification.
- Items not located are chased with email notifier requesting update and form submission. No response within 7 days, then items placed into officers possession.

In summary, we are now exploring where missing items are logged and have identified the amber shelf facility sets out a risk in terms of officer's requesting items to be returned to owner but do not send in requisite paperwork completing the audit process. We are now looking at either removing this operation or severely restricting the process by monitoring missing admin processes. This responsibility falls within NPI's to manage and we recognise that we can assist in reducing this problem by working with them and introducing a more robust management structure. This will also lower the risk element. (Score 2 Medium)



A&E Risk update – Drug Storage & Temporary store access

- Drug storage issues (Priority Mazars score 2 Medium)
- New C17 form (Simplified) online and in use. General improvements recognised.
- New disposal policy written and ratified to enable the management of A&E officers to dispose without officers authority, ie Cautions/ FPN/NFA etc
- Temporary store access (Priority Mazars score 2 Medium)
- Recommendation to restrict access to third parties of outer main stores has been reviewed and rejected at this stage due to the necessity for staff personal to require access such as front counter staff.
- All Overnight stores have swipe card access and this monitors digitally who enters the stores on specific dates and times. Scope to remove estates/EMSOU and any other departments from the stores to be discussed with relevant depts.

In summary, the first issue is resolved due to implementation. The second area (Temp store access) is not identified as a high risk area due to the systems we already have in place. I certainly score this area as score 3 – low.



A&E Risk update - Safe Reconciliation & Property review group

- Safe reconciliation (Priority Mazars score 1 High)
- This has been implemented now the department are doing daily reconciliations of the cash and drugs safes in the North and South.
- During the last ten months there have no no new cases of items going missing or lost from these locations.
- New rota for couriers implemented therefore safes are audited 2/3 times a week, rather than previously attendance of once a week.
- Formalisation of Property Review Group (Priority score 3 Low)
- Op Eliminate are still in position and have a further 6 months extension.
- RRD new policy has now been written and the new property RRD Working group has now been set up through Rob Spry Head of A&E and also Pat Stocker head of Information Management.

In summary, these areas have seen implementation that has resulted in progress from a logistical and operation perspective. As a department we have seen a dramatic reduction in errors due to a more consistent and time management process. These measures have seen time savings elements with courier staff completing their collection runs early enabling them to undertake other areas of the business on their return to the warehouse. (Score 3 – low)



For Information	
Public/Non-Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	30 th November 2021
Report of:	DCC Barber
Report Author:	Amanda Froggatt, Corporate Development Manager
E-mail:	amanda.froggatt@nottinghamshire.pnn.police.uk
Other Contacts:	Laura Spinks, Force Assurance Lead
Agenda Item:	9

Strategic Risk Management Report for Force and Nottinghamshire Police and Crime Commissioner

1. Purpose of the Report

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

2. Recommendations

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

3. Reasons for Recommendations

3.1 A Strategic Risk Report is provided to the JASP on a quarterly basis to keep the Board informed as to the level of strategic risk within the Force and OPCC and provide assurance as to the effectiveness of risk management arrangements.

4. Summary of Key Points

Risk management policy and process

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

5 Financial Implications and Budget Provision

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

6 Human Resources Implications

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

7 Equality Implications

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

8 Risk Management

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

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

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

10 Changes in Legislation or other Legal Considerations

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

11 Details of outcome of consultation

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

12. Appendices

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

NOTTINGHAMSHIRE POLICE CORPORATE RISK REGISTER - OCTOBER 2021

RISK			MITIGATION OF RISK		ASSESSMENT			
Dept. /	Description and Owner	Impact	Strategy and Assurances	Unmitiç	jated / Curre	ent Risk	Commentary and	
Objective	Description and Owner	Шрасі	Strategy and Assurances	Probability	Impact	Risk Score	Review date	
			Treat	4	4	16		
SR AE 0016	Laborat A. M. Danada Ociond Donada	Potential loss of evidence,	Audit report has been reviewed and a full and comprehensive Action Plan has been completed addressing all of the areas of risk identified. Each action has been prioritised			12	Ongoing oversight via Archives and Exhibits Projects Board chaired by Superintendent Corporate Services.	
Archives and Exhibits Create a service that works for local people	Internal Audit Report - Seized Property Owner: Superintendent Corporate Services	and prosecutions. Inconsistency in seizuring, recording, handling and disposal of property	and has specific timelines for completion. Formalisation of Property Review Group, with Operation Eliminate been granted a further six-month extension. Recovery/Review and Disposal (RRD) policy has now been written and the new property RRD Working group has now been established with Information Management, a key internal partner.	4	3	4 >	Quarterly reporting into Force Executive Board Due to progressed action against recommendations that have been adddressed the current score has been reviewed and reduced. Review date: Ongoing	
SR F0003		- Workforce confidence /	Treat	4	4	16	Ongoing oversight via MFSS Management Board and Strategic Oversight Board. Individual Project risks are	
Replacement of MFSS System Create a service that	Delivery of Replacement MFSS System Owner: Deputy Chief Constable	morale - Service delivery - Reputation / public confidence risk	Ongoing oversight via MFSS Management Board and Strategic Oversight Board	4	4	16	managed within the Project.Full Project update produced October 2021. Identified on OPCC Risk Register	
works for local people		00.1100.100.100.1				∢ ▶	Review date: Ongoing	
			Treat	3	4	16	Risk still remains and is currently an intermittant fault. SAAB continue to investigate to find the natrure of the	
SR FSR0004 Operational	Issues in relation to the new command and control software and telephony network,	Potential lack of capability to receive and hence respond tro calls. Lack of capability to	Full critical city CAAR (Our in a curidae) to			12	fault. The software does not allow a recording of full 2-way outbound call traffic, there is some traffic there but only half of the conversation. Contact Management is	
Create a service that works for local people	including performance information. Owner: Head of Contact Management	& Control system and	Fault raised with SAAB (Service provider) to further investigate Notts Police staff to be trained in data upload to address issues.	3	4	4 >	engaged with Network manager and solutions team to try to identify options and resolve this issue. Review date: Ongoing	

NOTTINGHAMSHIRE POLICE CORPORATE RISK REGISTER - OCTOBER 2021

RISK		MITIGATION OF RISK		ASSESSMENT			
Dept. /	Baraciation and Garace	Louise	011	Unmitigated / Current Risk			Commentary and
Objective	Description and Owner	Impact	Strategy and Assurances	Probability	Impact	Risk Score	Review date
SR IM0009			Treat	4	4	16	Alignment of regional approach with local practices
Information Management	Documentation retention, review and disposal risks associated with non compliance of MOPI	- Reputation / public confidence - Delivery failure - Ineffective planning and	Alignment of regional approach with local practices			12	Assessment and development of RRD processes within Force legacy systems Alignment of RRD requirements with retention
Create a service that works for local people	Owner:- Deputy Chief Constable	problem solving - Government penalties	Assessment and development of RRD processes within Force legacy systems Alignment of RRD requirements with retention schedules and Information Asset register	3	4	4 >	schedules and Information Asset register Review date: Ongoing
SR IM0010		- Reputation / public	Treat	4	4	16	GDPR was subject of a recent internal audit by Mazars and received Satisfactory Assurance. Updates on
Information Management	Data protection breaches as a result of non compliance with GDPR	confidence - Delivery failure - Ineffective planning and	Undertaking GDPR gap analysis in	taking GDPR gan analysis in		9	existing recommendations are fed into Information Management Meeting Chaired by Deputy Chief Constable
Create a service that works for local people	Owner:- Deputy Chief Constable	problem solving - Government penalties	ng order to identify associated risk	3	3	Review date: Ongoing	
SR CUS0005			Treat	4	4	16	
	Building of new Bridewell to provide a more appropriate and effective custody function	Reputation / public confidence - Performance / delivery risks	New custody provision being managed			9	New custody provision being managed through a project chaired by ACC Local Policing. Regular inputs are also made into Force Executive Board
Create a service that works for local people	Owner:- ACC Local Policing	- Poor assessment / inspection outcomes	through a project chaired by ACC Local Policing. Regular inputs are also made into Force Executive Board	3	3	▼	Review date: Ongoing
SR FSR0003	Impact of Coronavirus on critical parts of		Treat	4	4	16	Currently the force is Blue with no major disruption to
Impact of Coronavirus	the organisation Owner:- ACC Crime and ACC Local	Reputation / public confidence - Performance / delivery risks	Ongoing oversight via Gold, Silver and	2	2	9	critical areas of the business. Oversight will continue through twice weekly Gold meetings and daily Silver meetings
Create a service that works for local people	Policing		Bronze meetings	3	3	∢ ▶	Review date: Ongoing

Nottinghamshire Force Risk Matrix

4 8 12 16 3 6 9 12 2 4 6 8 1 2 3 4 Probability

PROBABILITY

4	Very High: >75% chance, almost certain to occur					
3	High: 51-75% chance, more likely to occur than not					
2	Medium: 26-50% chance, fairly likely to occur					
1	Low: <25% chance, unlikely to occur					

-	Impact score					
Impact category	Low (1)	Medium (2)	High (3)	Very High (4)		
Performance / Service Delivery	Minor, brief disruption to service delivery. Minor impact on performance indicators.	Significant, sustained disruption to service delivery. Noticeable impact on performance	Serious, protracted disruption to service delivery. Substantial impact on performance	Major, long term disruption to service delivery. Major impact on performance		
Finance /		indictors.	indicators.	indicators.		
Finance / Efficiency	Force: <£50,000	Force: £51,000 -£250,000	Force: £251,000 - £1,000,000	Force: >£1,000,000		
	Business Area: <£10,000	Business Area: £11,000 -£40,000	Business Area: £41,000 - £150,000	Business Area: >£150,000		
Confidence / Reputation	Complaints from individuals. Little or no noticeable	Significant public concerns / investigations.	Substantial stakeholder / public concerns / investigations.	Major stakeholder / public concerns / investigations.		
	local media coverage.	Significant reputational damage / adverse local media coverage.	Substantial reputational damage / adverse national media coverage < 7 days	Major reputational damage / adverse national media coverage >7 days		
Community impact	Minor impact on a specific section of the community	Significant impact on a specific section of the community. Minor impact on the wider community.	Substantial, prolonged, impact on a specific section of the community. Significant impact on the wider community.	Major, prolonged impact on the wider community.		
Health & Safety	An injury or illness involving no treatment or minor first aid / care with no time off work	An injury or illness requiring hospital / professional medical attention and / or between one day and three days off work, with full recovery	An injury or illness requiring over 24 hrs hospitalisation and / or more than 3 days off work, or a major injury as defined by the RIDDOR Regulations	Death, or a life changing injury or illness.		
Environment	Little or no noticeable natural resources used, pollution produced, or biodiversity affected.	Moderate amount of natural resources used, pollution produced, or biodiversity affected.	Substantial amount of natural resources used, pollution produced, or biodiversity affected.	Major amount of natural resources used, pollution produced, or biodiversity affected.		
Strategic direction	Little or no noticeable change to one strategic objective.	Noticeable change to one or more strategic objectives.	Substantial changes to one or more strategic objectives.	Complete change to strategic direction.		

NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER CORPORATE RISK REGISTER - OCTOBER 2021

RISK		MITIGATION OF RISK		ASSESSMENT					
Risk /	Description and Company	lucus and	Cturts and A services	Unmiti	gated / Curre	ent Risk	Commentary and		
Objective	Description and Owner	Impact	Strategy and Assurances	Probability	Impact	Risk Score	Review date		
SR1 (0002)	Business continuity risks associated with COVID-19, including changes in OPCC	- Failure to deliver core	Treat	4	4	16	Ongoing oversight and proactive communication. Absence rates remain low and the offfice maintins core		
Business continuity: COVID 19 Transforming Services	working arrangements, information security, impact of social distancing on effective practice, and potential impact on staff welfare.	statutory duties - Staff welfare - Reputation / public confidence risk	Individual service-level risk registers. OPCC representation on Gold and Silver Command Groups. Increased agile working. Wider use of tele conferencing. Scheme of delegation	3	3	9	business as usual via revised working arrangements. Information security reminders have been issued to all staff in the wake of the COVID-19 outbreak and transition to routine agile working.		
	Owner: Chief Executive Organisation: OPCC	- Government penalties	reviewed. Regular pro-active communications.			∢ ▶	Review date: Ongoing		
SR2 (0003)	Business continuity risks associated with		Treat	4	3	12	Internal project team managing the transition is working well. the problem will be the loss of experienced staff		
Business continuity: MFSS	MFSS transfer to inhouse provision in April 2020 and on-going future service provision by MFSS.	- Workforce confidence / morale - Service delivery - Reputation / public	Ongoing oversight via MFSS Management Board and Strategic Oversight Board. There is an internal transition group to manage the	2	3	6	within MFSS and the impact that this will have on BAU and the next year end. Ongoing oversight via MFSS Management Board, Strategic Oversight Board and internal Force governance processes. Ongoing data		
	Owner: Chief Finance Officer Organisation: OPCC	confidence risk	change in contractors by 2022.			▼	accuracy issues being identified and resolved. Review date: Ongoing		
SR3 (0004)	Force unable to achieve a balanced	- Insolvency - Govt. mandation / penalties	Treat	4	4	16	Ongoing oversight via monthly budget monitoring		
Financial Incapability	budget, required efficiency savings and contribution to reserves	- Reputation / public confidence	- Reputation / public E confidence M	- Reputation / public Budget parameters sometimes confidence Medium Term Finance	Budget parameters set by PCC Medium Term Financial Planning Monthly budget monitoring meetings	0	0	6	meetings and weekly PCC/CC briefing meetings Active OPCC and Force CFO discussion. Estimated year end overspend of £65k.
Transforming Services and Delivering Quality Policing	Owner: Chief Finance Officer Organisation: OPCC	- Poor assessment / inspection outcomes	Weekly PCC / CC meetings Escalation process Active OPCC and Force CFO discussion	2	3	4 >	Review date: Ongoing		
SR4 (0013)	Inability to respond to critical unforseen	- Govt. mandation / penalties	Treat	3	4	12	Nottinghamshire maintins one of the lowest levels of reserves when compared to other Police folice forces /		
Level of risk- assesed reserves Transforming Services and Delivering Quality	risk due to a lack of prudent risk-assessed reserves Owner: Chief Finance Officer Organisation: OPCC	- Reputation / public confidence - Performance / delivery risks - Poor assessment / inspection outcomes	Medium Term Financial Planning Monthly budget monitoring meetings Weekly PCC / CC meetings Escalation process	2	3	6	OPCCs nationally. Risk continues to be monitoried via monthly budget meetings and weekly PCC/CC briefing meetings, alongside ongoing active OPCC and Force CFO discussions. Anticipated overspend and slippage in force repayment of risk-assessed reserves.		
Policing			Active OPCC and Force CFO discussion			◄▶	Review date: Ongoing		
SR5 (0001)	Impact of ending COVID-19 related	- Substantial reduction in services' capacity to support	Treat	3	3	9	£18.m new MoJ funding secured for 2021-2 and 2022-3. This has created 17 new specialist posts plus additonal		
Delivery of critical multi-agency services	supplementary national funding for domestic abuse, sexual violence and substance misuse in 2022 and 2023. Owner: Head of Commissioning	survivors - Survivors are further harmed - Reputation / public	Joint co-commissining meetings with partners to exit plan for the funding. Fortnightly/monthly updates from commissioned services to monitor service	2	3	6	capacity in other DSVA services. However, Covid-19 restrictions easing are resulting in further additional demand on substance misuse services. Partners have provided assurance that DA services will be protected		
Cross-cutting risk	Organisation: OPCC	confidence - Relationship with partners	uptake & trends. Make a case to MOJ for national funding to continue if it's required.			4	despite budgetary pressures. Review date: Ongoing		

NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER CORPORATE RISK REGISTER - OCTOBER 2021

	RISK		MITIGATION OF RISK		ASSESSMENT			
Risk /	Description and Owner	luon a of	Ctuate and Application	Unmiti	gated / Curre	ent Risk	Commentary and	
Objective	Description and Owner	Impact	Strategy and Assurances	Probability	Impact	Risk Score	Review date	
SR6 (0006)	Delays and uncertainty in the government announcement of comprehensive spending	- Ineffective planning	Treat	3	3	9	Indication of settlement figures in Autunm statement will enable effective planning for 2022-23 and the following 2 years. Funding Formula review is promised within this	
Financial uncertainty Transforming Services and Delivering Quality	review. Delays in the review of the police funding formula. Impact of brexit and COVID-19 on public sector funding. Owner: Chief Finance Officer	Instability of key services Impact on service delivery Reputational / public confidence impact	Engagement with central government, APCC/NPCC Police Finance workstream Police Reform and Transformation Board	2	3	6	elected period. The intended 3 year settlement is welcomed despite a lilkely tough settlement. Ongoing engagement through PACCTS with central government, APCC/NPCC	
Policing	Organisation: OPCC		Extra budget meetings scheduled early 2021			•	Review date: Ongoing	
SR7 (0007) Service	Delivery and sustainability of outcomes as	- Instability of key services	Transfer	3	3	9	Ongoing development and delivery of the VRU.	
sustainability / making best use of resources	a result of significant short term national investment in Serious Violence Reduction. Owner: Director of VRU	and programmes - Reputational / public confidence impact P&C Plan commissioning	Ongoing project managemnt Proactive engagement with communities	2	2	4	Proactive engagement with key partners. Detailed spending plans developed. Increased assurance of further Home Office investment	
Tackling crime and ASB	Organisation: OPCC	intentions affected	PCC chairs VRU Board			4	Review date: Ongoing	
SR8 (0008)	Poor data quality compliance impacts upon understanding of crime patterns, the	- Reputation / public	Transfer	3	3	9	Overall indicative NCRS compliance remains strong (>95%). Reporting issues following transition to the 'SAFE' system have been largely resolved. Further	
Information Management: Data Quality	identification and referral fo vulnerable people and public confidence in crime recording.	confidence - Delivery failure - Ineffective planning and problem solving	Audit Committee / Internal Audit FCIR Review meetings HMICFRS Inspection	2	2	2	4	assurance required in respect of crime and incident flagging (e.g. alcohol, cyber, vulnerability) and capture of self-defined ethnicity. Ongoing regular oversight by OPCC and HMICFRS
Tackling crime and ASB	Owner: Head of Performance & Assurance Organisation: OPCC	- Government penalties	Annual Assurance Statement			4	Review date: Ongoing	
SR9 (0014)	Austerity and restructuring within the force	Insufficient resource leading to the accounts being	Treat	3	4	12	Austerity and restructuring within the force finance team has led to a reliance on staff with limited professional	
Limited inhouse accounting expertise Transforming Services	Innance team has led to a reliance on staff with limited professional experience with local government accountancy. Owner: Chief Finance Officer	nance team has led to a reliance on staff ith limited professional experience with local government accountancy. Qualified	Active participation in the CIPFA AFEP programme has provided a way forward. This has improved the Force Finance Team structure and its standing within the Force.	3	2	6	experience with local government accountancy. the appointment of a CIPFA qualified accountant with experience has proved invaluable. Opportunity now exists to recruit CIPFA trainees with other authorities locally.	
and Delivering Quality Policing	d Delivering Quality Policing Organisation: OPCC	- Reputation / public confidence risk	Training for Finance apprentices is in place.			•	Review date: Ongoing	
SR10 (0010)	Lack of force and partner agency analytical	- Force and partners inability to direct resources according	Treat	3	2	6	Ongoing liaison with heads of Intelligence and Management Information. Plans to streamline	
Limited analytical capacity and capability	capacity impacting on provision of analytical products and assurance reports Owner: Head of Performance & Assurance Organisation: OPCC	to need; identify emerging risks; assess impact of interventions; provide accountability	risks; assess impact of interventions; provide accountability Direct OPCC access to intra and functionality Deve	Forward planning on the development of key OPCC analytical products. Direct OPCC access to intranet-based tools and functionality. Development of	2	2	4	partnership assessment processes underway. Proposals to enhance 'self-service' functionality are being progressed. Reduced capacity and frequency of strategic intelligence products, control strategy and MoRiLE assessment.
Tackling Crime and ASB	organisation. Of CC	- Reputation / public confidence risk	independent assurance mechanisms such as the Police and Crime Survey			∢ ▶	Review date: Ongoing	

Appendix 3 – Mitigation for High Level Strategic Risks

	RISK		MITIGATION OF RISK		ASSESSMENT		
Dept./	Description and Owner	Impost	Strategy and Assurances	Unmitiç	gated / Curre	ent Risk	Commentary and
Objective	Description and Owner	Impact	Strategy and Assurances	Probability	Impact	Risk Score	Review date
			Treat	4	4	16	
SR AE 0016		Potential loss of evidence.	Audit report has been reviewed and a full and comprehensive Action Plan has been completed addressing all of the areas of risk identified. Each action has been			12	Ongoing oversight via Archives and Exhibits Projects Board chaired by Chief Superintendent Corporate Services. Quarterly reporting into Force Executive
Archives and Exhibits Create a service that works for local people	Internal Audit Report - Seized Property Owner: Supt. Wilson	and prosecutions. Inconsistency in seizuring, recording, handling and disposal of property	prioritised and has specific timelines for completion.Formalisation of Property Review Group, with Operation Eliminate been granted a further six-month extension. Recovery/Review and Disposal (RRD) policy has now been written and the new property RRD Working group has now been established with Information Management, a key internal partner.	4	3	*	Due to progressed action against recommendations that have been adddressed the current score has been reviewed and reduced. Review date: Ongoing

Internal Audit Report - Seized Property

An internal audit recently undertaken by Mazars resulted in a grading of 'No Assurance' (report published May 2021).

Running alongside this, the force instructed a review of Archives and Exhibits (A&E). The outcomes of these reviews resulted in several recommendations, which the force has converted into a detailed action plan and is being delivered by Head of Archives and Exhibits. It is scrutinised at the quarterly project board, where all work streams are held to account. Quarterly updates are also fed into Force Executive Board which allows Chief Officer oversight. Improvements continue to be made, which are captured on the Action Plan.

The key improvements are:

- Formalisation of Property Review Group, with Operation Eliminate granted a further six-month extension.
- Recovery/Review and Disposal (RRD) policy has been written and the new property RRD Working Group has now been established with Information Management, a key internal partner.
- Policies and procedures staff are working to standard operating procedures in line with the force's policy and procedures. The intranet is currently under construction to hold all this information in a more accessible form.
- Training of officers/Police staff training providers are reviewing the current programme with the focus on extending NICHE training for property issues.
- Drug storage issues identified in the report have been addressed and actioned across
 the force with the new C17 form and rationale around the seizure of exhibits coming
 into A&E. This been communicated via the intranet and with clear visible signage
 around the cash and drugs safes.
- Temporary store access all overnight stores now have swipe card access. This monitors digitally who enters the stores on specific dates and times giving a clear audit trail.
- Safe reconciliation this has been implemented with the department doing daily reconciliations of the cash and drugs safes in the North and South of the County.
- This improvement/mitigation has been reflected in the new lowered risk current score.

RISK			MITIGATION OF RISK	ASSESSMENT			
Dept./	Dept. / Description and Owner Impact		Cturtum and Assessment	Unmitigated / Current Risk			Commentary and
Objective	Description and Owner	impact	Strategy and Assurances	Probability	Impact	Risk Score	Review date
SR F0003 F0003			Treat	4	4	16	Ongoing oversight via MFSS Management Board and
Replacement of MFSS System Create a service that works for local people	Delivery of Replacement MFSS System Owner: Deputy Chief Constable	Workforce confidence / morale Service delivery Reputation / public confidence risk	Ongoing oversight via MFSS Management Board and Strategic Oversight Board	4	4	16	Strategic Oversight Board. Individual Project Risks are managed within the Project. Full Project update produced October 2021. Review date: Ongoing

Replacement of MFSS System

The Joint Oversight Committee (JOC) on 27/07/20 took the decision to transition away from a shared service to an individual force model with a go live date of April 2022.

This decision has impacted on some ability of MFSS to deliver services during the transition period due to the premature departure of staff. However, Nottinghamshire Police are working with Multi-Force Shared Services (MFSS) forming a disaggregation plan to bring services back in house.

Continued progress is being made with Midland HR FAT (Functional Accepting Testing) and DMS (Duty Management System) build and integration. Data migration load 2 is substantially completed for MHR and ABSS 1^{st} extract is due on 22^{nd} October. Progress is being made towards meeting this date. The programme remains on amber and to ensure this can move to green it will need to be proven that the MHR Payroll system is substantially fit for purpose. This will be known during the continuation of FAT testing from 18/10/21 - 22/10/21.

MHR are to continue with their focus on resolving the initial build issues experienced. In addition, whilst there has been a much-improved data extract for load 2 there needs to be a continued focus on the data migration work stream to ensure fully reconciled and accurate data is available for go live. Data archiving of eBS is being progressed and there will need to be a future decision regarding Fusion data archiving.

Longer Term Activity:

Future Priorities

- Resolution of Payroll and data load issues
- Completion of FAT testing
- Reconciliation of Data Migration load 2
- Integration for DMS Payroll extract
- Onboarding of further Oracle Developer
- Data extract and load for Finance transactional data by 22/10
- Continued development of eBS archiving with sign off by SMEs for data views
- Onboarding of Communications Manager for Regain Programme to be complete by 01/11

Risks

- There is a risk that the data extracted by MFSS using Data Sync might not be sufficiently reliable for cutover purposes.
- There is a risk that the defects with the MHR Payroll system result in significant delays to the testing. The outcome of remediation work is currently unknown.
- There is a risk that following the decision at the Joint Operating Committee 06/12 to not extend MFSS contract could result in staff prematurely leaving.
- There is a risk that the data quality held within oracle cloud apps is poor and will be Migrated to the new in-house solutions.
- There is a risk that the wholesale change of cost codes and activity codes in eFin will
 cause unwanted consequences to historic overtime, including creating credits and
 debits in payroll for overtime claimed in the previous 2 years.

	RISK		MITIGATION OF RISK	ASSESSMENT			SSESSMENT
Dept./	Description and Owner	Impact	Strategy and Assurances	Unmitigated / Current Risk			Commentary and
Objective	Description and Owner	impact	Strategy and Assurances	Probability	Impact	Risk Score	Review date
SR FSR0004			Treat	3	4	12	Risk still remains and is currently an intermittent fault. SAAB continue to investgate to find the nature of the
CM0016 Contact Management Create a service that works for local people	and control software and telephony network, including performance information.	Potential lack of capability to receive and hence respond to calls. Lack of capability to make changes to Command & Control system and effectively record all outbound calls	Faults investigated by telephony manager together with IS Fault raised with SAAB (Service provider) to further investigate	3	4	12	SAMB continue to investigate to find the nature of the fault. The software does not allow a recording of full 2-way outbound call traffic, there is some traffic there but only half of the conversation. Contact Management is engaged with Network manager and solutions team to try to identify options and resolve this issue. Review date: Ongoing

Issues in Relation to New Command and Control Software -Telephony aspect - the new NICE call recording solution has not been fully configured and at this time it does not record all outbound telephony calls from the control room.

This aspect was part of several outstanding deliverables contained within the original SAAB, Safe contract and formed part of a combined Force Strategic Risk. All aspects are being addressed as part of a SAAB Safe upgrade, which commenced in May 2021.

This was supported by Corporate Development undertaking a Post Implementation Review (PIR) of SAAB, Safe and reporting to the Strategic Futures Board for consideration.

Despite other aspects of the strategic risk being mitigated this aspect is still ongoing.

The main issue is that the software does not allow a recording of full 2-way outbound call traffic, there is some traffic there but only half of the conversation is recorded. Contact Management is engaged with the Network Manager and solutions team, within the SAFE upgrade to try to identify options and resolve this issue.

For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	30 th November 2021
Report of:	Deputy Chief Constable
Report Author:	Laura Spinks, Force Assurance Lead
	Amanda Froggatt, Head of Corporate Development
E-mail:	Laura.spinks@notts.police.uk
	Amanda.froggatt@notts.police.uk
Other Contacts:	
Agenda Item:	10

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 3, 2021/22.
- 1.2 To inform the Board of the schedule of planned audits and inspections.

2. Recommendations

- 2.1 It is recommended that the Panel notes the status of audits and inspections carried out over the last quarter.
- 2.2 It is recommended that the Panel reviews Appendices 1 and 2 and, if required, requests 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 regarding Nottinghamshire Police and its response to audits and inspections.
- 3.2 To provide the Panel with greater scrutiny opportunities and to reach more informed decisions.
- 3.3 To provide the Panel with the opportunity to shape the focus and data inputs for future HMICFRS inspections.

4. Summary of Key Points

Audit and Inspection Action Updates

- 4.1 The actions referred to in this report are the result of recommendations made by Nottinghamshire Police's internal auditors and external inspectorates, including HMICFRS.
- 4.2 With regards to HMICFRS inspections (Appendix A) there are 71 open recommendations across the various HMICFRS reports. There are 2 closed recommendations. These closed recommendations have been reviewed by HMICFRS and they have assessed the Force's evidence as suitable to close and show it as complete.
- 4.3 Of the remaining 66 open recommendations, 10 are still being worked on by the force leads, 16 have been assessed by the HMICFRS as requiring reality testing. This will be undertaken during the Integrated PEEL Inspection. HMICFRS will then confirm whether they are happy to close them. The remaining 51 recommendations have been forwarded to HMICFRS for assessment. We await feedback. Of the remaining 1, we are unable, at this point in time, to progress as we are awaiting direction from the College of Policing.
- 4.4 In relation to internal audits, which have been undertaken by Mazars, there are 74 open recommendations.
- 4.5 There are currently 0 actions which have exceeded their target date.

Recent Inspection Activity

Date of Inspection	Inspection Area	Date Report Received	Final Grading	Status
July 2021	Integrated PEEL Inspection – Serious and Organised Crime	-	N/A	Will form part of the final Integrated PEEL Inspection Report. Report expected March 2022
September 2021	Integrated PEEL Inspection – Armed Policing Inspection	-	N/A	Will form part of the final Integrated PEEL Inspection Report. Report

				expected March 2022
September 2021	Integrated PEEL Inspection – Victim Service Agreement	-	N/A	Will form part of the final Integrated PEEL Inspection Report. Report expected March 2022
September 2021	Integrated PEEL Inspection - Protecting Our Most Vulnerable	-	N/A	Will form part of the final Integrated PEEL Inspection Report. Report expected March 2022

Forthcoming HMICFRS Inspections

Date of Inspection	Inspection Area	Status
November 2021	Integrated PEEL Inspection – Counter Corruption	Data and documents submitted. Inspection will take place w/c 8 th November 2021
February 2022	Serious Youth Violence	Confirmation received force will be inspected in w/c 14th February 2022.

Publications

Date of Publication	Inspection Area	Status
June 2021	Review of Domestic Abuse during the Pandemic	Report received. Recommendations entered onto 4Action
July 2021	Joint Thematic Inspection of Police and Crown Prosecution Services Response to Rape	Report received. Recommendations entered onto 4Action

August 2021	A Review of Fraud – Time	Report received.
	to Choose	Recommendations
		entered onto 4Action

4.6 Recent and Forthcoming Audits

Recent Audit Activity

Date of Audit	Auditable Area	Date Report Received	Final Grading	Status
February 2021	Risk Management	February 2021	Limited Assurance	Circulated for management comments, report not agreed
April 2021	Wellbeing	July 2021	Satisfactory Assurance	Report agreed. Recommendations entered onto 4Action
June 2021	Performance Management	July 2021	Substantial Assurance	Report agreed. Recommendations entered onto 4Action
June 2021	Firearms Licensing	September 2021	Satisfactory Assurance	Report agreed. Recommendations entered onto 4Action
August 2021	MFSS Transfer	Draft report received Sept 2021	N/A	Report agreed. No recommendations for the Force

Forthcoming Audits

Date of Audit	Auditable Area	Status
October 2021	Core Financials	Audit currently being undertaken
January 2022	Business Change	N/A

January 2022	Health and Safety	N/A
January 2022	Workforce Planning	N/A
March 2022	Seized Property	N/A
March 2022	Procurement	N/A
March 2022	Partnerships	N/A

5. Financial Implications and Budget Provision

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

6. Human Resources Implications

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

7. Equality Implications

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

8. Risk Management

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

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

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

10. Changes in Legislation or other Legal Considerations

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

11. Details of outcome of consultation

11.1 Following receipt of a final audit or inspection report a member of the Governance and Planning team consults with the appropriate Lead Officer and other stakeholders to plan appropriate actions in response to each relevant recommendation, or to agree a suitable closing comment where no action is deemed necessary.

11.2 All planned actions are added to the action planning system, 4Action, for management and review until completion.

12. Appendices

- 12.1 Appendix A Overview of HMICFRS inspection recommendations.
- 12.2 Appendix B Overview of Mazars internal audit recommendations.

HMICFRS INSPECTIONS CURRENT OVERVIEW

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

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

27 Sep 2019	Shining a light on betrayal: Abuse of position for a sexual purpose STATUS – Evidence submitted to HMICFRS for review. The force will undergo a Counter Corruption and Vetting Inspection in November 2021. The 2 recommendations listed below will be reality tested to ensure compliance.		
	By April 2020, all forces that haven't yet done so should make sure they have enough people with the right skills to look proactively for intelligence about those abusing their position for a sexual purpose, and to successfully complete their investigations into those identified.	2	0
	By April 2020, all forces that haven't yet done so should: record corruption using the national corruption categories; produce a comprehensive annual counter-corruption strategic threat assessment, in line with the authorised professional practice; and		
	establish regular links between their counter-corruption units and those agencies and organisations who support vulnerable people.		
	Where forces are yet to implement an effective ICT monitoring system that allows them to monitor desktop and handheld devices, they should do so as soon as reasonably practicable.		
	By September 2020, all forces should have completed a review of their use of encrypted apps on police ICT systems to understand the risk they pose and to take any necessary steps to mitigate that risk.		

28 Feb 2020	A joint thematic inspection of Integrated Offender Management STATUS – Evidence submitted to HMICFRS for review. The reason three recommendations remain open is that HMICFRS will reality test these when they undertake their Integrated PEEL Inspection in September 2021.					
		Ensure that service users are kept informed, as much as possible, about the benefits of inclusion in IOM, the support available and the monitoring and information-sharing ramifications of IOM supervision.	3	1		
		Analyse training needs and ensure that all staff receive sufficient training to enable them to fulfil their duties. Training in public protection, safeguarding children and working with vulnerable adults should be prioritised.				
		Improve the quality and accuracy of recording in IOM cases, in particular, the activity relating to public protection.				
		Define their IOM operating model and produce practice guidance that sets out clearly what is required by each agency at every stage of the IOM supervision process.				

9 Mar 2020	Counter-terrorism policing - An inspection of the police's contribution to the government's Prevent programme STATUS – Evidence submitted to HMICFRS for review. Awaiting feedback.					
	With immediate effect, the NPCC national Prevent lead and each force Prevent lead should review the attendance of force representatives at Channel panels so that police are correctly represented by decision makers who can contribution to managing risk.	1	0			
9 July 2020	A call for help - Police contact management through call handling and control rooms in 2018/19 STATUS – Evidence submitted to HMICFRS for review. All recommendations will be reality tested when HMICFRS undertake their Integrated PEEL Inspection in September 2021.					
	Each force where there is a vulnerability desk should make sure it makes a positive contribution to initial safeguarding	7	0			
	We expect forces to invest in technology and work with each other to use it to form and improve their risk assessments, their responses, and their investigations to keep the public safe					
	Each force must be sure it effectively assesses risk at all points of contact with the public and the community. It should use the assessment to provide the best response to vulnerability					
	Each force should make sure its staff are trained, supervised, and supported to be effective in their control room roles; this should include assessing the effect of better terms and conditions and career development for control room staff					
	We expect all forces to make sure the service they provide to their communities meets the new national contact management strategy. We will assess how well forces adopt the contact management principles and practise as well as the learning standards during PEEL 2020/21					

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

With immediate effect, chief constables should satisfy themselves that the resources allocated to policing the strategic road network within their force areas are sufficient. As part of that process they should make sure that their force has effective partnership arrangements including appropriate intelligence sharing agreements with relevant highways agencies.	
With immediate effect, chief constables should make sure that their force (or where applicable road safety partnerships of which their force is a member), comply with (the current version of) Department for Transport Circular 1/2007 in relation to the use of speed and red-light cameras.	
 With immediate effect, chief constables should make sure: their force has enough analytical capability (including that provided by road safety partnerships) to identify risks and threats on the road network within their force area. that information shared by partners relating to road safety is used effectively to reduce those risks and threats; and There is evaluation of road safety initiatives to establish their effectiveness. 	
With immediate effect, chief constables should make sure that roads policing is included in their forces strategic threat and risk assessments, which should identify the areas of highest harm and risk and the appropriate responses.	
The awareness and understanding of the changes in the Professionalising Investigation Programme within police forces is an area for improvement.	
The efficient and effective exchange of all collision data with other relevant bodies is an area for improvement.	

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

Notes to recommendation 1 This recommendation to stop information sharing only applies to victims of domestic abuse. The College of Policing guidance will also clarify the difference between insecure and uncertain status and immigration offending. Any sharing of information should be done in compliance with Information Commissioners Office (ICO) guidance. Third party could include a local or national specialist victim support organisation or another individual/organisation that can act as an intermediary and advocate on the victim's behalf in communications with Immigration Enforcement as required.	
To chief constables: With reference to recommendation 1, and in consultation/collaboration with local or national specialist organisations, chief constables should take steps to ensure that all migrant victims and witnesses of crime are effectively supported through safe reporting pathways to the police and other statutory agencies. They should: • ensure there is a proper policy and practice framework in place for officers to work within; • develop victim and witness support policies that reflect the characteristics of the safeguarding protocol set out in recommendation 3, and: draw on all relevant national guidance with particular reference to the Code of Practice for Victims of Crime and data protection legislation; are developed in partnership with and include pathways to the relevant specialist organisations for supporting victims and witnesses with insecure immigration status; are clear about the circumstances in which information will be shared by police with immigration enforcement; provide clarity about the purpose of sharing information at different points of the pathway; and explicitly recognise the importance of telling victims, witnesses and supporting agencies whether information will be shared with Immigration Enforcement, and if so, when and in what circumstances.	

 promote understanding among police officers and staff to differentiate between responses to victims of modern slavery/human trafficking and victims of domestic abuse; promote awareness within their forces of any existing pathways to specialist organisations for supporting victims with insecure immigration status; ensure the policy and practice framework is adopted by all officers and staff who come into contact with victims of crime who have insecure immigration status; and promote police engagement in regular outreach community work, as highlighted as good practice in this report. 	
To chief constables and police and crime commissioners (or equivalents): With reference to recommendation 1, pending the developments outlined in other recommendations and in consultation/collaboration with local or national specialist organisations, chief constables and police and crime commissioners should take steps, through the appropriate channels, to promote migrant victims and witnesses confidence in reporting crimes to the police through safe reporting pathways, without fear of prioritised immigration control.	
To all recipients of recommendations from this investigation: Provide an update to Her Majesty's Chief Inspector of Constabulary on progress in implementing these recommendations within six months of the date of publication of this report.	

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

By July 2021, forces should ensure they have effective internal monitoring processes on the use of force, to help them to identify and understand disproportionate use, explain the reasons, and implement any necessary improvement action.	
 ensure that officers record on body-worn video (when this is available) the entirety of all stop and search encounters, including traffic stops and use of force incidents. have a structured process for regularly reviewing and monitoring internally a sufficient sample of body-worn video footage to identify and disseminate learning and hold officers to account when behaviour falls below acceptable standards; and provide external scrutiny panel members with access to samples of body- worn video footage showing stop and search encounters and use of force incidents, taking account of the safeguards in the College of Policing's Authorised Professional Practice. 	
By July 2021, forces should ensure that communication skills are reinforced as part of the programme of continuing professional development for officers and staff, and that supervisors are supported to routinely and frequently debrief officers on these skills using bodyworn video footage.	
By July 2022, forces should ensure that officers and staff have effective communication skills, in line with the National Policing Guidelines on Conflict Management. This should be in addition to existing training on conflict Management and de-escalation.	

11 March 2021	Getting the balance right? An inspection of how effectively the police deal with protests STATUS – Evidence submitted to HMICFRS for review. Awaiting feedback.				
		By 31 December 2021, chief constables should ensure that their forces have sufficiently robust governance arrangements in place to secure consistent, effective debrief processes for protest policing. Such arrangements should ensure that:	5	0	
		 forces give adequate consideration to debriefing all protest-related policing operations; the extent of any debrief is proportionate to the scale of the operation; a national post-event learning review form is prepared after every debrief; and the form is signed off by a gold commander prior to submission to the National Police Co-ordination Centre. 			
		By 31 December 2021, chief constables should make sure that their legal services teams subscribe to the College of Policing Knowledge Hub's Association of Police Lawyers Group.			
		On a national, regional and local basis, the police should develop a stronger rationale for determining the number of commanders, specialist officers and staff needed to police protests.			
		The police's protest-related community impact assessments are an area for improvement, particularly those that need to be completed after the event. These assessments should assist the police to understand fully the impact of protests on communities. They should include assessments of the impact of protest on local residents, visitors to an area, businesses, and the critical infrastructure including transport networks and hospitals.			

Forces should improve the quality of the protest-related intelligence they provide to the National Police Coordination Centre's Strategic Intelligence and Briefing team. And this team should ensure that its intelligence collection process is fit for purpose.		
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20 April 2021	Policing the pandemic – The police response to the coronavirus pandemic during 2020 STATUS – Evidence submitted to HMICFRS for review. Awaiting feedback.					
	Overall scale and impact of changes Within 6 months, forces must assess the sustainability of any temporary measures introduced during the pandemic that change the way they work. They must understand positive, negative and unintended consequences of the scale and impact of the changes before determining if any of these new ways of working should continue.	4	0			
	Custody records Forces must immediately make sure that they clearly and consistently record on custody records information about how/when/if detainees are informed of the temporary changes to how they can exercise their rights to legal advice and representation. The record must make clear how any consents are obtained about the way in which legal advice and representation are provided.					
	Test, track and trace Forces must immediately put in place a policy to make sure that they follow the guidance and self-isolation directions when members of the workforce come into contact with someone with coronavirus symptoms.					

Legislation and guidance Forces must immediately make sure they can manage their responses to changes in coronavirus-related legislation. They must ensure frontline officers and staff are clear about the difference between legislation and guidance.		
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20 April 2021	Custody Services in a Covid-19 Environment STATUS – Evidence being collected by force.			
	Record and monitor the way in which detainees receive their legal rights, and how many receive them by virtual means rather than a solicitor attending in person	5	0	
	Record and monitor the length of time detainees remain in police custody, and any additional detention times due to waits for virtual remand hearings			
	Track the numbers of detainees with, or suspected of having, COVID-			
	Record the use of bail and released under investigation, and assess any increases in pre-charge bail			
	The police service should evaluate the advantages and disadvantages of using virtual remand hearings. It should use this information to help the wider Criminal Justice System learn from its experience and develop better working arrangements that meet the needs of justice and make best use of public money			

23 June 2021	Nottinghamshire Police – Review of Policing Domestic Abuse During the Pandemic STATUS – Evidence submitted to HMICFRS for review. Awaiting feedback.			
	 We recommend that if forces continue to adopt online contact methods in respect of victims of domestic abuse, they should immediately introduce an effective supervision and monitoring framework. The framework should assess the suitability of such contact methods, ensuring that victim needs are at the forefront of decisions around their use and appropriate onward action is taken in all cases. We recommend that forces immediately review their use of a telephone-based initial response to any domestic abuse incidents and crimes and ensure that it is in accordance with the strict parameters set out by the College of Policing. 	3	0	
	We recommend that if forces continue to adopt online contact methods in We recommend that forces immediately review their capacity to provide ongoing support and safeguarding to victims of domestic abuse whose case is awaiting trial at court. This should: • ensure there are sufficient resources available to maintain contact with victims to keep them up to date with the progress of their case; and • enable the offer of access to specialist support services as well as opportunities to address concerns victims may have regarding continuing to support a prosecution through the delays.			

 respect of victims of domestic abuse, they should immediately introduce an effective supervision and monitoring framework. The framework should assess the suitability of such contact methods, ensuring that victim needs are at the forefront of decisions around their use and appropriate onward action is taken in all cases. We recommend that forces immediately review their use of a telephone-based initial response to any domestic abuse incidents and crimes and ensure that it is in accordance with the strict parameters set out by the College of Policing. 	
 We recommend that all forces immediately review their use of outcome 15, outcome 16 and evidence-led prosecutions. This is to ensure that: domestic abuse investigations guarantee all attempts to engage victims are explored, and that all possible lines of evidence are considered so that in all cases the best possible outcomes for victims are achieved; there is regular and effective supervision of investigations that supports the above point to be achieved; and the use of outcomes 15 and 16 is appropriate, and the reasons for using them, including auditable evidence of victim engagement, are clearly recorded. 	

16 July 2021	HMICFRS Joint Thematic Inspection of Police and Crown Prosecution Services Response to Rape				
	STATUS – Evidence submitted to HMICFRS for review. Awaiting feedback.				
	Immediately, police forces should ensure information on the protected characteristics of rape victims is accurately and consistently recorded.	7	0		
	Police forces and support services should work together at a local level to better understand each other's roles. A co-ordinated approach will help make sure that all available and bespoke wrap-around support is offered to the victim throughout every stage of the case. The input of victims and their experiences should play a central role in shaping the support offered.				
	Police forces should collect data to record the different stages when, and reasons why, a victim may withdraw support for a case. The Home Office should review the available outcome codes so that the data gathered can help target necessary remedial action and improve victim care.				

Immediately, police forces and Crown Prosecution Service Areas should work together at a local level to prioritise action to improve the effectiveness of case strategies and action plans, with rigorous target and review dates and a clear escalation and performance management process. The National Police Chiefs Council lead for adult sexual offences and the Crown Prosecution Service lead should provide a national framework to help embed this activity.	
Police forces and the Crown Prosecution Service should work together at a local level to introduce appropriate ways to build a cohesive and seamless approach. This should improve relationships, communication and understanding of the roles of each organisation. As a minimum, the following should be included: • considering early investigative advice in every case and recording reasons for not seeking it; • the investigator and the reviewing prosecutor including their direct telephone and email contact details in all written communication; • in cases referred to the Crown Prosecution Service, a face-to-face meeting (virtual or in person) between the investigator and prosecutor before deciding to take no further action; and • a clear escalation pathway available to both the police and the Crown Prosecution Service in cases where the parties don't agree with decisions, subject to regular reviews to check effectiveness, and local results.	

The police and the Crown Prosecution Service, in consultation with commissioned and non-commissioned services and advocates, and victims, should review the current process for communicating to victims the fact that a decision to take no further action has been made. They should implement any changes needed so that these difficult messages are conveyed in a timely way that best suits the victims' needs.	
Police forces should ensure investigators understand that victims are entitled to have police decisions not to charge reviewed under the Victims' Right to Review scheme and should periodically review levels of take-up.	

5 Aug 2021	A Review of Fraud – Time to Choose				
	STATUS – Evidence submitted to HMICFRS for review. Awaiting feedback.				
	By 30 September 2021, chief constables should make sure that their forces are following the guidance issued by the National Police Chiefs' Council Coordinator for Economic Crime about fraud-related calls for service.	2	0		
	By 31 October 2021, chief constables should adopt the guidance issued in September 2019 by the National Police Chiefs' Council Coordinator for Economic Crime that was aimed at improving the information given to victims when reporting fraud.				

17 Sept 2021	Police Response to Violence against Women and Girls STATUS – Evidence being collected by force.			
		There should be an immediate and unequivocal commitment that the response to VAWG offences is an absolute priority for government, policing, the criminal justice system, and public-sector partnerships. This needs to be supported at a minimum by a relentless focus on these crimes; mandated responsibilities; and sufficient funding so that all partner agencies can work effectively as part of a whole-system approach to reduce and prevent the harms these offences are causing.	5	0
		The relentless pursuit and disruption of adult perpetrators should be a national priority for the police, and their capability and capacity to do this should be enhanced.		
		Structures and funding should be put in place to make sure victims receive tailored and consistent support.		
		All Chief Constables should immediately review and ensure that there are consistently high standards in their forces' responses to violence against women and girls and should be supported in doing so by national standards and data.		
		Immediate review of use of outcomes 15 and 16 in violence against women and girls offences.		

INTERNAL Audits 2020/21

Title	Recommendations	Total Number Outstanding	Total Number Closed
Balance Transfers 2	020		
	The Force should ensure that reconciliations are carried out on balances that they transfer to provide assurance that this has been correctly completed. The Force should ensure that a reconciliation is carried out over all balances following the final transfer to provide assurance that the transfer has been correctly completed and agrees to closing balances and signed accounts.	1	0
Health and Safety Fo	ollow-up 2020		
	The Force should ensure that for all incidents where an investigation has been completed, that full and complete records are maintained.	6	0
	The Force should formalise what mandatory H&S training is required by staff, including any additional training for Supervisors, Managers and the Chief Officer team and whether annual refresher training is required. The Force should investigate whether the "Required" mark within NCALT allows for the ability to set deadlines for training courses and automatically send emails to the relevant individual and their line manager if deadlines are missed. The Force needs to designate whose responsibility it is to have overall oversight of training, including monitoring of completion and production of performance information around training. It then needs to be ensured that this individual has the resources in place to		
	Balance Transfers 20	Balance Transfers 2020 The Force should ensure that reconciliations are carried out on balances that they transfer to provide assurance that this has been correctly completed. The Force should ensure that a reconciliation is carried out over all balances following the final transfer to provide assurance that the transfer has been correctly completed and agrees to closing balances and signed accounts. Health and Safety Follow-up 2020 The Force should ensure that for all incidents where an investigation has been completed, that full and complete records are maintained. The Force should formalise what mandatory H&S training is required by staff, including any additional training for Supervisors, Managers and the Chief Officer team and whether annual refresher training is required. The Force should investigate whether the "Required" mark within NCALT allows for the ability to set deadlines for training courses and automatically send emails to the relevant individual and their line manager if deadlines are missed. The Force needs to designate whose responsibility it is to have overall oversight of training, including monitoring of completion and production of performance information around training. It then needs	Balance Transfers 2020 The Force should ensure that reconciliations are carried out on balances that they transfer to provide assurance that this has been correctly completed. The Force should ensure that a reconciliation is carried out over all balances following the final transfer to provide assurance that the transfer has been correctly completed and agrees to closing balances and signed accounts. Health and Safety Follow-up 2020 The Force should ensure that for all incidents where an investigation has been completed, that full and complete records are maintained. The Force should formalise what mandatory H&S training is required by staff, including any additional training for Supervisors, Managers and the Chief Officer team and whether annual refresher training is required. The Force should investigate whether the "Required" mark within NCALT allows for the ability to set deadlines for training courses and automatically send emails to the relevant individual and their line manager if deadlines are missed. The Force needs to designate whose responsibility it is to have overall oversight of training, including monitoring of completion and production of performance information around training. It then needs to be ensured that this individual has the resources in place to

The Force should update the Health and Safety Policy, ensuring that all information contained within is accurate. The Policy should also be amended to include the additional information not currently included as detailed. The Policy should be reviewed on a regular basis or when there are significant changes to operations or legislation.	
The Force should produce a formal Accident/Incident reporting procedure. The procedure should provide guidance on what should be reported and how this should be reported by staff. The procedure should be clearly communicated to staff via the intranet.	
The Force should develop an appropriate Performance Information Framework that provides the Departmental Health & Safety Committees with the relevant detailed information. An overall summary of performance across each Department should be available for the main Health & Safety Committee to have an overall view of key data. Key data that should be available for review should include, but not be limited to: - No. of accidents and incidents; - No. of accident and incident investigations and no. of outstanding investigations; - Timeliness of accidents and incidents reported; - No. of accidents and incidents reported to HSE under RIDDOR; - No. of days lost due to Health & Safety accidents; - Trend analysis of the above over a time period; - Any available benchmarking data (to indicate any under reporting etc.); - Current levels of Health & Safety training.	
The Force should investigate whether it is possible to automatically notify the Health and Safety advisors when a new accident or near miss is reported using Oracle.	

April 2020	Programme Management 2020			
		Force should ensure that all individuals are identified for roles in PMO process on most recent version of Business Case. Force should ensure that documents produced as part of PMO process adhere to the guidance provided.	2	1
		Force should clarify the roles within the two functions to ensure that there is no duplication of roles between Corporate Development and Information Services in relation to Project Management. Force should consider formally providing time in Futures Board agendas to discuss Programme Board activity, to ensure that all Business Change Activity is captured, reviewed and monitored regularly		
Sep 2020	Victims' Code of Practice September 2020			
		The Force should produce a condensed guide to the Victims' Code of Practice, following the introduction of the currently proposed changes.	16	0
		The proposed changes to the Victims' Code of Practice should be included within the action plan that is monitored by the Victim and Witness Assurance Group.		
		For the Force to better understand the satisfaction levels of the true population of victims, stratified sampling should be adopted for the surveys undertaken.		
		The results of the surveys can then be analysed to a greater degree by the Force, including: the level of satisfaction dependent on whether a positive / negative outcome was achieved for the victim; and the trends in satisfaction for different crime types.		

Officers should be reminded when inputting victims records directly onto Niche that they complete all required information including the preferred method.	
All victims should be offered the Victim Information Pack and / or referred to the information available on the Nottinghamshire Police Victim website.	
In the instance that the victims have refused, the reason should be recorded on the Niche system.	
A regime should be established as to how non-completion of the training module will be escalated by the Force.	
This could entail the Force sending regular updates to line managers details of any Staff or Officers with training that is overdue for completion.	
A VCOP working sheet should be maintained for each crime involving a victim. Officers should be reminded of the importance of creating and maintaining this working sheet which should be evidenced within the CRMS system.	
Needs assessments should be carried out with all victims of crime and results recorded on the VCOP working sheet within the CRMS system. This should then be used based on support provision for the victim going forward.	
Preferred method and frequency of contact should be established with each victim of crime to enable them to be updated on the progress of any ongoing investigation. This should be recorded on the VCOP working sheet and evidence maintained that updates have been provided in line with this request.	

	1	
All victims should be provided with the Victim Information Pack and/ or referred to the information available on the Nottinghamshire Police Victim website. Confirmation that this information has been communicated should be recorded on the VCOP working sheet within the CRMS.		
The VIP should be reviewed and updated to incorporate the Right to Review procedure and information in respect of participation of the Restorative Justice scheme. (It is noted that a further update to the Victims Code of Practice is due later in 2015 and therefore it is practical to await this publication prior to review and update of the VIP to establish whether any additional areas require review).		
Officer should be reminded that when updates are provided to victims, acknowledgement should be made within the 'aggrieved updated' box on CRMS to support the update and prevent this being escalated via performance management information.		
The offer/ availability of a VPS to the victim should be clearly communicated and acknowledged within the VCOP working sheet.		
All victims should be considered for referral to specialist agencies in addition to Victim Support Services. These referrals and proactive support provided should be evidenced within the CRMS system.		
The reports detailing officers who are still to complete the Victims Code training should be located and the system for following up non-compliance established to provide assurance that all officers are adequately trained to ensure compliance with the Code.		
Consideration should be given to documenting guidance for officers in respect of a list of available specialist organisations/ agencies to which victims can be referred to.		

Oct 2020	Estates Management Oct 2020			
	The Force should ensure that where SR's are cancelled that these SR's do not feature in the KPI calculation and instead these are reported as a separate figure to identify the number of SR's cancelled each month.	3	0	
	The Force should report non-compliance with the SLA in the month in which the SR falls non-compliant, as opposed to amending historical data. This will ensure that the Force maintain the integrity of the reported KPI figure.			
	The Force should consider introducing a suite of KPI's to effectively monitor the performance of the Estates and Facilities department. Furthermore, this will enable the Force to demonstrate value for money from the expenditure incurred in fulfilling the Capital and Planned Maintenance Programme. This suite of KPI's could include but not be limited to: • Monitoring the number of repairs completed right the first time by contractors fulfilling SR's. • Recording and reporting on the results of customer satisfaction surveys for newly built and recently refurbished projects and; Monitoring the number of SR's received for newly built or recently refurbished projects in the first 12 months following completion.			
Dec 2020	Workforce Planning December 2020			
	The Force should review and update the People Strategy to include reporting arrangements and decision making processes in place at the Force; a defined individual responsible for the People Strategy; and version control of the document.	2	0	

	The Force should complete a mapping exercise and produce a centralised log of all key roles across the organisation, including non-leadership roles which are critical or specialised. Alongside this exercise, individuals who are able to assume these positions in a short / medium / long term capacity should be highlighted.		
Jan 2021	Information Assurance Follow up January 2021		
	As intended, the organisation must continue to liaise with NPRIMT in relation to the GIRR accreditation process.	2	0
	Now the force has more resource in place to manage the process the force should look in the longer term to return to an annual cycle of compliance rather than an ongoing pattern of late submissions for the variety of frameworks it is required to comply with.		
Feb 2021	Core Financial Systems Assurance Feb 2021		
	OPCC should ensure that the most up-to-date version of the Financial Regulations is published on their website.	7	0
	The Force should request that MFSS update sales invoice credit notes and adjustments process maps to include version control and approval processes.		
	Force should update sales invoice process documentation and guidance notes in respect of changes in working practices.		
	The Force should request that MFSS ensure that all reconciliations are completed and reviewed in a timely manner, i.e. within 1 month of the period end.		

The Force should liaise with MFSS to ensure that historic balances are investigated and cleared down.		
The Force should request that MFSS seek authorisation from the Force when looking to perform reconciliations more than one month after the period end and provide notice to the Force when this is unarranged.		
The Force should liaise with MFSS to ensure that appropriate performance data is provided with regards payroll processing. This could include, but not be limited to, the following: No. of overpayments & underpayments. Value of overpayments & underpayments. Reasons for overpayment i.e. late notification by Force, MFSS missed SLA for Payroll Date etc.		
Debt Management Feb 2021		
The Force should ensure that Debt Recovery processes are documented in a policy/procedure document. This requires the Force to liaise with MFSS to ensure that processes are aligned.	2	0
The Force should ensure that MFSS issue invoices with the correct payment terms, therefore ensuring that recovery actions are being carried out at the correct timings.		
GDPR Follow Up February 2021		
The Force should continue to address the issues identified in the ICO Controllers Checklist, all of which are currently in some level of implementation.	2	0
	are investigated and cleared down. The Force should request that MFSS seek authorisation from the Force when looking to perform reconciliations more than one month after the period end and provide notice to the Force when this is unarranged. The Force should liaise with MFSS to ensure that appropriate performance data is provided with regards payroll processing. This could include, but not be limited to, the following: No. of overpayments & underpayments. Value of overpayments & underpayments. Reasons for overpayment i.e. late notification by Force, MFSS missed SLA for Payroll Date etc. Debt Management Feb 2021 The Force should ensure that Debt Recovery processes are documented in a policy/procedure document. This requires the Force to liaise with MFSS to ensure that processes are aligned. The Force should ensure that MFSS issue invoices with the correct payment terms, therefore ensuring that recovery actions are being carried out at the correct timings. GDPR Follow Up February 2021 The Force should continue to address the issues identified in the ICO Controllers Checklist, all of which are currently in some level of	are investigated and cleared down. The Force should request that MFSS seek authorisation from the Force when looking to perform reconciliations more than one month after the period end and provide notice to the Force when this is unarranged. The Force should liaise with MFSS to ensure that appropriate performance data is provided with regards payroll processing. This could include, but not be limited to, the following: No. of overpayments & underpayments. Reasons for overpayment i.e. late notification by Force, MFSS missed SLA for Payroll Date etc. Debt Management Feb 2021 The Force should ensure that Debt Recovery processes are documented in a policy/procedure document. This requires the Force to liaise with MFSS to ensure that MFSS issue invoices with the correct payment terms, therefore ensuring that recovery actions are being carried out at the correct timings. GDPR Follow Up February 2021 The Force should continue to address the issues identified in the ICO Controllers Checklist, all of which are currently in some level of

F-1- 0004	We continue to support the approach being taken to complete the Information Asset Register and this should look to be completed as soon as is practical and how the National Enabling Programme progresses.		
Feb 2021	Risk Management February 2021		
	The Force should ensure that a thorough review is undertaken of the Force's departmental risk registers, so that risks that are inherent to the respective departments are identified and scored, as stated in the Risk Management Strategy.	6	0
	The Force should ensure that all risk registers are complete and that appropriate controls are recorded for each risk. Where risk controls are being reviewed, the Force should ensure that interim controls are in place to effectively monitor risks.		
	The Force should ensure that further training is provided to users of the JCAD system to ensure that appropriate controls are recorded to mitigate the risks identified.		
	Furthermore, the Force should ensure that where controls and other risk mitigation activities are inserted that these are reviewed to ensure their appropriateness.		
	The Force could consider introducing guidance for users of the JCAD system, which outlines a criterion for controls and risk mitigation activities.		

Feb 2021	The Force should ensure the meeting minutes for the Organisational Risk, Learning, Standards, and Integrity Board are well documented, which demonstrate at the very least: • The registers presented; • The risks discussed; and The decisions reached / action plans devised. Seized Property February 2021		
	Policies and Procedures in relation to seized property should be updated to reflect the current adopted process since implementation of Niche in February 2016.	9	0
	Policies and Procedures should be made available for Staff and Officers to view on the intranet.		
	Officers within the Force should be provided with Niche training in relation to the continuity of property management, including the checking in and out of property from temporary storage.		
	Consideration should be made as to how to record the training attendance for all Officers.		
	The Archives and Exhibits team at stores should reject acceptance of any items which do not have a property reference attached.		
	A log should be maintained of instances where property has not been correctly labelled. Through use of this log, individuals responsible for the failures should be held accountable.		
	The Force should regularly perform reconciliations of locations for property that is held against records maintained on the Niche system.		

		Where it is identified that property is not in the location stated on Niche, Niche should be updated to reflect that it is in the Officers' possession.		
		The Force should review and streamline the C17 form. Where a C17 form has not been completed correctly, this should be		
		Where a C17 form has not been completed correctly, this should be recorded and referred to the Officer responsible.		
		Access to the Temporary Stores should be restricted to only police officers or the Archive & Exhibit Team who require access. Those who do not have a job-related purpose should have their access to these areas removed.		
		In the interim period, the Force should consider if audit trail access for individuals entering the stores is available. This data could be analysed to show an inappropriate access.		
April 2021	Wellbeing April 2021			
		The Force should ensure that policies, procedures, and guidance notes are reviewed regularly; and, that this is noted in the document control sections even if no updates are made.	4	0
		The Force should ensure that the review of policies, procedures and guidance notes is monitored regularly, either by the Strategic Wellbeing Board or within the HR function.		
		The Force should ensure that data is included in the decision-making process for wellbeing, which will ensure that the need for initiatives		
		can be clearly evidenced.		

	ir p	Management information should be produced to demonstrate the mpact and delivery of third-party services and internal projects and/or programmes, with this being presented to the relevant governance poards.		
April 2021	Complaints Manageme	ent April 2021		
		The OPCC should remind staff of the importance of issuing terms of eferences to complainants.	7	0
		The fix for the system issue should be sought, so that closed complaints can be accurately updated on the Centurion system.		
		OPCC staff should ensure that records are closed on Centurion in a imely manner.		
		The sample testing performed should include review of whether a erm of reference was issued to the complainant.		
		The OPCC should ensure that all communication made with complainants are logged and recorded on the Centurion system.		
	ir	The PSD team should communicate to complaint handlers the mportance of maintaining complete records for complaints on the Centurion system. This can be approached by both circulating bulletins and informing the team of issues through presentations.		
		The PSD team should perform regular reviews over cases managed outside of schedule 3 to ensure that they are correctly administered.		

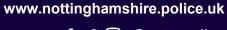
September 2021	er Firearms Licensing September 2021			
		 The Firearms Licensing Process Maps should be updated to include: It should be clearly noted on the enquiry form whether a home visit, police station interview or digital interview has taken place. Where a home visit does not take place, it should be ensured that supporting evidence received, such as photographs, are noted as having been received on the enquiry form prior to authorisation. Where an applicant may be considered as higher risk, the Force should consider delaying the application until a date where home visits can be undertaken. 	5	0
		To ensure each firearms license application has the required documentation that has been signed and dated, a quality review should be undertaken on a sample of records on a periodic basis in order to determine the completeness of applicant records. Finding of the quality reviews should be analysed and fed back to relevant staff to ensure lessons are learned from any common or frequent errors.		
		The Force should remind officers that all enquiry forms are to be signed and dated by an authorised signatory. In addition, this should be checked in the data quality review.		
		All current procedural guidance documents should be reviewed on an annual basis, and then updated if necessary. A document attributes section should be added to all process documents, detailing the staff member responsible for the content of the document, the date of the last review and the review cycle period.		

Additional key indicators should be implemented. KPIs could include: • Average turnaround times • FEO visits per month • Percentage of renewals completed prior to expiry Targets should be set for KPIs and performance indicator progress against targets should be reported on a monthly or quarterly basis.	
against targets should be reported on a morning or quarterly basis.	

MFSS **Lessons Learned**

DCC Rachel Barber





Overview

- Reason for Change
- Business Case
- Programme Management & Oversight & Accountability
- Procurement & Contracts & Governance
- Budgeting & Scrutiny
- Consultation & internal engagement
- Training
- Early life support
- On-going relationship management



Reason for change & the Business Case

- Reason for Change
 - Current system
 - Why MFSS?
- Business Case
 - Closed business case
 - Financial/business benefits
 - What else had been considered?



Programme Management & Oversight

- Programme Management
 - Project Team & resourcing
 - Programme Reporting
- Oversight & Accountability
 - Chief Officer & Senior Management
 - Willingness to listen



Procurement & Contracts & Governance

- Procurement
 - Market testing
- Contracts
 - What were we signing up to?
 - Contracts held by Cheshire
 - Exit Strategy?
- Governance
 - Section 22A
 - Responsibilities & oversight arrangements



Budgeting & Scrutiny

- Budgeting
 - Understanding of true costs
 - Transparency
- Scrutiny
 - Reporting & challenge
 - Audit



Consultation & Internal Engagement

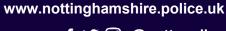
- Consultation & internal engagement
 - Users & departments
 - Benefits
 - Challenge
 - Testing & development
 - Processes/procedures
 - Resourcing
 - Communications Strategy



Training

- Training
 - Formal Training Plan?
 - Timescales to deliver training
 - Resources





Post Go Live

- Early life support planning
 - Resourcing
 - Leadership
 - Contingency plans
- On- going Relationship Management
 - Senior responsibility
 - Scrutiny
 - Triggers



So What's changed?

Programme Regain

- Reason for Change
- Business Case
- Programme Management & Oversight & Accountability
- **Procurement & Contracts & Governance**
- **Budgeting & Scrutiny**
- Consultation & Internal engagement
- **Training**
- Early life support
- On-going Relationship Management
- Control



For Consideration	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	30 November 2021
Report of:	Commissioner Henry (PCC)
Report Author:	Dan Howitt
E-mail:	Daniel.howitt13452@nottinghamshire.pnn.police.uk
Other Contacts:	None
Agenda Item:	13

POLICE AND CRIME COMMISSIONER'S UPDATE REPORT

1. PURPOSE OF THE REPORT

- 1.1 This report provides the Police and Crime Panel with an update on the Police and Crime Commissioner's (Commissioner) activity in fulfilling her statutory duties¹ since September 2021 and progress in developing and delivering her Police and Crime Plan for 2021-24.
- 1.2 The report also includes an overview of delivery against the Police and Crime Plan performance framework (appendix A), latest revenue and capital forecast outturn positions for 2021/22 (appendices B and C) and a summary of key OPCC and force decisions made over the latest planning period (Appendix D).

2. RECOMMENDATIONS

- 2.1 The Police and Crime Panel is invited to scrutinise the contents of this report and seek assurance on any specific areas of concern. The Panel is also invited to request further information where required and make relevant observations and recommendations within the scope of their role².
- 2.2 The Police and Crime Panel has a statutory duty³ to scrutinise performance and delivery against the ambitions of the Police and Crime Plan and of the Commissioner in fulfilling her statutory duties (Section 14 of the Policing Protocol 2011). This update report is designed to assist the Police and Crime Panel in fulfilling these responsibilities.

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

² Police and Crime Panels: A Guide to Scrutiny, Local Government Association (Updated 2016)

³ Police Reform and Social Responsibility Act 2011

3. Activities of the Commissioner

- 3.1 The Commissioner's extensive programme of consultation and engagement has continued throughout September and October 2021, with feedback and insight being used to inform the development of the draft Police and Crime Plan for Nottinghamshire. Community and stakeholder engagement undertaken during this period are detailed in the accompanying Police and Crime Plan covering report and have included:-
 - County and City Health and Wellbeing Boards (1, 29 September 2021)
 - HM Courts Service (3 September 2021)
 - Violence Reduction stakeholder event (8 September 2021)
 - Ashfield 'Have Your Say' (14 September 2021)
 - Nottingham 'Have Your Say' (16 September 2021)
 - University of Nottingham Fresher's event (20 September 2021)
 - Rushcliffe 'Have Your Say' (29 September 2021)
 - Newark and Sherwood 'Have Your Say' (30 September 2021)
 - Gedling 'Have Your Say' (7 October 2021)
 - Mansfield 'Have Your Say' (14 October 2021)
 - Victims of Crime stakeholder event (19 October 2021)
 - Broxtowe 'Have Your Say' (21 October 2021)
 - Nottinghamshire Chiefs and Chairs Meeting (2 November 2021)
- 3.2 Other notable engagements undertaken by the PCC during this period have included: the North Nottinghamshire Business Crime Reduction Partnership (15 September), Nottingham CDP Board (20 September), #StopViolence social media launch (20 September), National Crime Agency open day (22 September), Violence Reduction Unit Strategic Board (23 September), Nottinghamshire Fire Authority (24 September), Local Criminal Justice Board Chairs (30 September), Police Bravery Awards (12 October) and the APCC General Meeting (13-14 October), Operation Guardian visit to observe police response to drug dealing and violence in the night time economy (23 October).
- 3.3 The Commissioner confirmed her intention to halt the proposed relocation of Newark Police station on 22 September 2021, after reviewing the proposal and listening to the views of local residents. A range of alternative options are now being considered to maximise use of the existing Queens Road site.
- 3.4 The Commissioner and Violence Reduction Unit launched 'Our Youth Charter' on 3 November 2021 at the National Youth Agency Summit at Parliament, which was been produced by young people from the City and County, setting out their vision and expectations for high quality youth work provision.

- 3.5 The Commissioner is now finalising her draft plan and intends to launch a formal consultation on the document following its consideration by the Police and Crime Panel on 15 November 2021. An annual delivery plan is now being developed for 2022/23 in line with the Commissioner's budget setting and commissioning cycle. This will be published in February 2022 and set out specific planned activity for the financial year that will support delivery of the statutory plan.
- 3.6 The Office of the Police and Crime Commissioner is making arrangement to relocate to the joint Police and Fire and Rescue Service headquarters in early 2022 as part of plans which will drive efficiencies and improve ways of working. An independent review of the OPCC structure, functions and capabilities shortly due to report its conclusions.

4. POLICE AND CRIME PLAN PERFORMANCE (2021-24)

4.1 A performance framework to underpin the 2021-24 Nottinghamshire Police and Crime Plan is currently in development. The Commissioner has, however, continued to track performance trends and outcomes via weekly briefings and the quarterly Performance and Insight report (Appendix B). These are used as a basis for scrutiny and holding the Chief Constable to account via the Commissioner's Strategic Resources and Performance meetings and weekly 1:1 meetings. Notable headlines from the latest Performance and Insight report include:-

4.2 Preventing crime and protecting people from harm

- An 8% reduction in victim based crime over the last year, largely driven by significant reductions in serious acquisitive crimes such as residential burglary (-28%, -1,312), vehicle crime (-26%, -1,681) and robbery (-23%, -210). These reductions have been largely sustained following the easing of Coronavirus lockdown restrictions. The Commissioner has committed to supporting targeted crime prevention activity in hotspot localities and an ongoing focus on integrated offender management during her term in office with a view to sustaining these positive reductions.
- Levels of violent knife crime have fallen by a further 9% (-71) over the last year, continuing the downward trend seen since March 2018. The number of first time entrants into the youth justice system in the city (126) has increased over the last year, but saw a marginal reduction in the latest quarter and remains significantly lower than levels recorded in the year to June 2019

- (160). The overall level of crime severity / crime harm recorded in Nottinghamshire⁴ has remained relatively stable over the last year.
- Average reductions in re-offending risk among those subject to Integrated
 Offender Management (IOM) arrangements have seen significant
 improvements over the last year, rising from -56% to -69%. The IOM
 scheme is now focussed primarily on a cohort of serious acquisitive offenders
 following recommendations from the National IOM Review.

4.3 Responding to local need

- Nottinghamshire Police are maintaining strong call handling performance, with abandonment rates for the 999 service remaining low and falling (-0.6% pts), despite increasing demand (+11,522 calls). Grade 1 and Grade 2 response times have also increased steadily over the last year.
- The proportion of residents reporting that the police are effective in dealing with the issues that matter most to communities has risen steadily throughout the year, which is likely to have been impacted in part by the roll out of Operation Reacher to all neighbourhoods. In particular, the force has seen reductions in the proportion of residents citing drug use and dealing as an issue that they would like to see the police do more to tackle in their area (down from 50% to 29% since March 2019). The proportion of residents reporting experience of drug use and dealing in their area has fallen from 24.6% to 22.1% over the last year, alongside reductions in the frequency of this occurring with the proportion stating that this happens most weeks having fallen from 71% to 65%.
- The proportion of recorded crimes resulting in a positive outcome⁵ has reduced steadily during 2021, including reductions in the positive outcome rate for domestic abuse. Furthermore, the proportion of crimes in which a suspect is identified has also fallen from 39.9% to 36.1% since December 2020. Trends in these areas will continue to be monitored over the coming quarter.

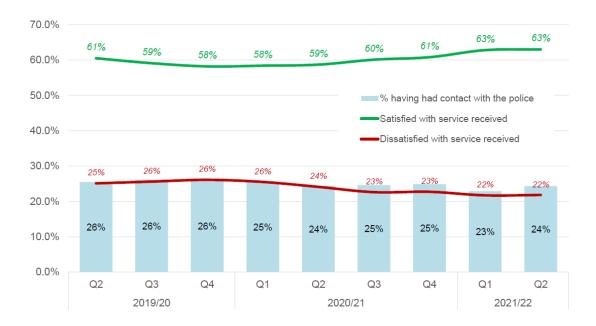
⁴ As calculated using the ONS Crime Harm Index

Positive crime outcomes include a Charge or Summons, Caution, Fixed Penalty Notice, Cannabis Warning, Community Resolution or offence Taken into Consideration (Crime outcomes 1-4 and 6-8)

4.4 Supporting victims, survivors and communities

- Force compliance with the Victims' Code of Practice has increased from 91.8% to 95.1% over the last year, providing assurance that the care needs of victims are being routinely considered and that victims are being offered support and referral to available victim service providers.
- The proportion of respondents to the Nottinghamshire Police and Crime Survey that feel that they 'have confidence in the police in their area' and that the police 'do a good job' has risen by 2.5% pts and 3.5% pts respectively over the last year. Levels of satisfaction with the police, meanwhile, has increased by 4.4% pts. Whilst this marks a positive trajectory, it should be noted that the latest quarter saw no change in overall confidence and satisfaction rates, indicating that the rise may now be plateauing.

Figure 1. Service satisfaction among respondents having had contact with the police Nottinghamshire Police and Crime Survey, Base 4,167 to 4,251 per year



• The Police and Crime Survey indicates that the proportion of self-reported experience that went on to be reported to the police has fallen from 49.7% to 46.9% over the last year. Further analysis is underway to explore the changing profile of crime reporting and the reasons respondents chose not to report their victimisation. The Police and Crime Survey also identified a reduction in the level of anti-social behaviour going on to be reported to local authorities over the last year – falling from 17.4% to 15.2%.

5. Grants and Commissioning

- 5.1 The Commissioner continued to identify and secure opportunities for investment in the delivery of her Police and Crime Plan priorities for 2021-24.
- 5.2 **Make Notts Safe Fund:** The Commissioner made over £131k available to third sector community based organisations in October 2021 to enable the delivery of projects which support the priorities of the Police and Crime Plan. Successful project receiving a share of the funding have included:-
 - £95k to support youth outreach, diversion, mentoring across Nottinghamshire through projects such as 'Growing Young Leaders' (Dunkirk, Lenton Abbey), 'Be the Change' (Top Valley / Bestwood), 'Community Kickboxing' (St Ann's / Sneinton), 'Bulwell Outreach' (Bulwell Town Centre), 'Life Skills' (Stapleford), 'Think Forward' (Stonebridge City Farm), 'Redthread' (Kingsmill Hospital knife crime intervention), 'Support Through Sport' (Mansfield, Sutton in Ashfield and Stapleford), 'Warsop Youth Club' (Warsop), 'Support and Outreach for NEET young people' (Newark).
 - £28k to support women's projects, which include the 'Not on our watch'
 project in Broxtowe to explore survivor experience of abuse (Broxtowe
 Women's Project), 'Outreach and Support' offering support and signposting
 for women involved in street prostitution (Jericho Road), 'Engage, Inform,
 Empower' which provides awareness raising and advice for women on health
 relationships, abuse and exploitation (Nottingham Muslim Women's Network)
 - The fund is also supporting the 'Let's Talk' project which provides workshops in secondary schools which explore difficult conversations around disability and hate crime and the 'Second Chance' project which will provide insight into the relationship between addiction, stigma and criminality in BAME communities.
- 5.3 Home Office Safer Streets Fund: The Commissioner was successful in securing an additional £1.1m funding to improve safety and feelings of safety for women and girls in Worksop South (£550k) and Sutton in Ashfield (£550k) as part of round 3 of the Home Office Safer Streets Fund in October 2021. The Commissioner is also awaiting confirmation of a further bid to the 'Safety of Women at Night' (SWaN) fund to improve safety and feelings of safety in Nottingham City Centre. If successful, this would bring the total amount of Home Office funding secured for Nottinghamshire as part of the Safer Streets programme to £2.8m during the 2021/22 financial year and represents a significant investment in prevention, security and safety improvements for the area.

- Youth Endowment Fund: The Commissioner and Violence Reduction Unit received confirmation of new funding from the Youth Endowment Fund (YEF) in October 2021. This will be used to support targeted custody diversion activity that will help to reduce first time entrants into the youth justice system and youth recidivism rates. The grant takes the total awarded for custody diversion in Nottinghamshire to more than £1.6m over the next three years.
- 5.5 The Commissioner's draft Police and Crime Plan highlights a number of new funding streams for 2021-24, which includes:-
 - An annual £250,000 Make Notts Safe Fund for community-led organisations to take action to address the community safety issues they face;
 - A dedicated £100,000 crime prevention fund to increase neighbourhood safety in vulnerable and hotspot locations across Nottinghamshire and;
 - Investing £400,000 from the Late Night Levy to sustain 'Operation Guardian' in the city and bolster other crime prevention activity, with a particular focus on improving safety and feelings of safety among women and girls
 - Invest a further £80,000 to bolster our rural crime offer through the provision of additional resources and equipment

6. National Developments

- 6.1 The PCC submitted a response to the government's consultation on part two of the **review into the role of Police and Crime Commissioners** in September 2021. The review will focus on Local Criminal Justice Boards, Community Safety Partnerships and Violence Reduction Units, and the PCC role in implementing an effective community trigger process. The review team are due to report to the Home Secretary on part 2 by November 2021, allowing the government to plan for any legislative changes which will need to be made to embed recommendations from part 1 and 2 of the review.
- 6.2 HMICFRS report⁶ on the **police response to violence against women and girls** (VAWG) was published on 17 September 2021. The report found that the police had made vast improvements in the response to VAWG over the last decade, including better identification of repeat victims and improved safeguarding measures. The does, however, make an number of key recommendations which include:-

⁶ <u>Police response to violence against women and girls – Final inspection report - HMICFRS</u> (justiceinspectorates.gov.uk)

- Government should legislate to create a new statutory duty for all partner agencies to work together to protect women and girls.
- Implementation of a national policing strategy to coordinate the response to VAWG, aligned to the '4Ps' of Prepare, Prevent, Protect and Pursue
- Further work by forces to address the number of VAWG cases closed without charge, with the 'relentless pursuit and disruption of adult perpetrators' being a national priority for the police
- Structures and funding should be put in place to make sure victims receive tailored and consistent support.
- Chief constables should immediately review and ensure that there are consistently high standards in their forces' responses to VAWG and should be supported in doing so by national standards and data
- There should be an immediate review of use of outcomes 15 (evidential difficulties) and outcome 16 (victim does not support further action) in VAWG offences
- 6.3 The Home Office has published its response⁷ to the consultation on **pre-charge bail** on 6 September, setting out key legislative aims to redress the balance between the rights and freedoms of suspects and the need to best protect victims and witnesses. The Government recognises that the existing timescales and authorisation levels do not properly reflect the operational realities faced by the police and other law enforcement bodies, and will therefore legislate to place a new model of operation on statutory footing. Police use of 'Release Under Investigation' is expected to reduce significantly following these reforms. The government is also considering options on how to better share information relating to victims and vulnerable people across police and partner agencies.

7. Decisions

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

⁷ https://www.gov.uk/government/consultations/police-powers-pre-charge-bail

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

8. Financial Implications and Budget Provision

- 8.1 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.
- 8.2 The 2021/22 forecasted outturn position for revenue expenditure currently shows a forecasted £31k underspend for the Nottinghamshire Police and an on budget position for the OPCC.

Nottinghamshire Police - Forecasted 2021/22 Revenue Outturn as at Q2 21/22

Expenditure Type	Total Base £'000	Virements £'000	Revised Budget £'000	Q2 Outturn £'000	Variance Over/(Under) £'000
Employee	151,995	855	152,849	154,132	1,282
Premises	6,986	354	7,340	7,647	307
Transport	6,728	(2,046)	4,682	4,315	(367)
Comms & Computing	8,836	184	9,019	10,187	1,168
Supplies & Services	10,483	(635)	9,848	10,845	997
Agency & Contract Services	22,075	1,369	23,444	23,071	(373)
Pension	37,177	141	37,318	37,058	(259)
Capital Financing	10,258	(2,043)	8,215	7,862	(353)
Income	(21,238)	1,821	(19,417)	(21,848)	(2,431)
Grand Total	233,299	-	233,299	233,268	(31)

Overspends shown as positive numbers, under-spends shown as () numbers.

- 8.3 The most significant forecast overspend is in relation to employee costs (£1,282k), of which £2,072k relates to officer overtime which has been offset with mutual aid, seconded and grant income. There are indications that overtime has been increasing as lockdown restrictions have eased, with an expectation that this trend is likely to continue. The force is expecting to see an increase in transferees to meet the uplift forecast, which in turn, will help to ensure that more experienced officers are available as new recruits become fully operational.
- 8.4 Communications and computing costs are currently forecast an overspend of £1,047k on account of various contract renewals being higher than anticipated (£552k) and the increase in demand for mobile phone services and data storage as a result of the increase in officer numbers (£212k).
- 8.5 Income, however, is forecast to increase by £2,431k, largely on account of additional grant income secured for knife crime, armed response and cybercrime in addition to income generation for training courses and the secondment of officers to other organisations. This year also sees the first full financial year of in-house vehicle management as the force moved away from

- the PFI (Private Finance Initiative) contractor. This change has already generated savings in excess of (£400k).
- 8.6 A capital expenditure budget of £17,793k was set for 2021/22 which has since seen variance on account of an increase in planned expenditure on the Sexual Assault Referral Centre (+£342k) and a reduction in planned expenditure on the Custody New Build (-£600k). Slippage of £8,636k from 2020/21 has also been to the Capital budget (£26,471). Three estates projects, namely the Nottingham Custody Suite, new Joint HQ Build and the Sexual Adult Referral Centre, account for a combined budget of £15,556k.
- 8.7 The review of capital expenditure shows a forecasted outturn position of £21,913k representing a forecast underspend of £2,825k and anticipated slippage of £1,733k. The forecasted underspend is largely a result of the £1,360k budget allocated for the replacement of IT systems via the Multi-Force Shared Service Centre no longer being required with the costs now being met from the revenue budget. Further slippage of around £800k is expected in relation to the national Emergency Services Network (ESN) programme to replace the current airwave service. It is expected that the budget for this programme will slip into 2023/24 or beyond.

Forecasted 2021/22 Capital Projects Outturn as at Q2 2021/22

Project	2021/22 Budget + Virement £000's	Outturn £000's	Underspend £000's	Slippage £000's
Joint FHQ New Build	11,368	11,368	-	-
Nottm Custody Suite	2,432	1,949	(483)	-
Building Condition & Capital Mtn works	2,253	1,912	(71)	(270)
SARC New Build	1,757	1,393	-	(363)
Custody Improvements	989	709	(280)	-
Newark Castle House Extension	600	-	(600)	-
Estates Improvements	537	537	-	-
Nothern Control Room	393	93	-	(300)
Operation Uplift	142	112	(30)	=
	20,469	18,072	(1,464)	(933)
Replacement Vehicle Management process	1,600	1,600	-	-
Vehicle & Equipment Replacement Programme	661	661	-	-
Operation Uplift Fleet	400	400	=	-
	2,661	2,661		-
New Systems	1,360	-	(1,360)	-
ESN	800	-	-	(800)
Tech. Refresh and Upgrades	582	581	(1)	-
Operation Uplift	500	500	-	-
ANPR Replacements	99	99	-	-
	3,341	1,180	(1,361)	(800)
	26,471	21,913	(2,825)	(1,733)

- 8.8 The custody project is a multiyear project to deliver a new Nottingham Custody Suite at a new location within the City, the site became operational at the end of September 2021. Final costs are expected to be completed within the next quarter with early indications of a £483k underspend being realised.
- 8.9 The multi-year FHQ build is providing a new headquarters for Nottinghamshire Police and Nottinghamshire Fire and Rescue and is expected to be completed in early 2022. Works on the new Sexual Assault Referral Centre commenced in summer 2021.
- 8.10 **Appendices B and C** contain the full finance revenue and capital reports to September 2021.

9. Human Resources Implications

9.1 None - this is an information report.

10. Equality Implications

10.1 None

11. Risk Management

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

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

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

13. Changes in Legislation or other Legal Considerations

13.1 The Commissioner undertakes routine horizon scanning of 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.

- 13.2 The <u>Elected Local Policing Bodies (Specified Information) (Amendment) Order</u>

 2021 came into force on 31 May 2021 requiring Police and Crime
 Commissioners to publish on their websites:
 - A statement on how their force is performing in relation to key national priorities for policing;
 - Copies of HMICFRS PEEL inspection reports, and a summary assessment of the force's performance; and
 - Copies of IOPC data on force complaints, and a statement on how the PCC (or Mayor's Office) is exercising its complaints-handling functions under the Police Reform Act 2002.
- 13.3 The Commissioner has taken steps to ensure compliance with the amended legislation and will be publishing a statement on how the force is performing in relation to the national police outcomes framework when publishing her statutory Police and Crime Plan.

14. Details of outcome of consultation

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

15. Appendices

- A. Nottinghamshire Performance and Insight report to September 2021
- B. Quarter 2 2021/22 Revenue forecast financial outturn position
- C. Quarter 2 2021/22 Capital forecast financial outturn position
- D. Forward Plan of Key Decisions for the OPCC and the Force to October 2021

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

Police and Crime Plan 2018-2021

For any enquiries about this report please contact:

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Consideration	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	30 November 2021
Report of:	Police and Crime Commissioner
Report Author:	Lisa Gilmour
E-mail:	Lisa.Gilmour@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	14

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

COMPLAINTS & REVIEWS ASSURANCE REPORT

1. Purpose of the Report

- 1.1 To provide the Police and Crime Commissioner (Commissioner) and Joint Audit and Scrutiny Panel (JASP) with assurance that Nottinghamshire Police Complaints are being managed in accordance with Legislation and Statutory Guidance.
- 1.2 This report has also been considered by the Nottinghamshire Police Organisational Risk, Learning, Standards & Integrity Board on 15 September 2021.

2. Recommendations

2.1 Note the learning identified and agree to consider a future report from the Head of Professional Standards Directorate (PSD) in response to this report's findings.

3. Reasons for Recommendations

- 3.1 The Commissioner has an oversight responsibility to ensure that Nottinghamshire Police Complaints are managed in accordance with:
 - Police (Conduct) Regulations 2020
 - Police and Complaint and Misconduct Regulations 2020
 - Independent Office for Police Conduct (IOPC) Statutory Guidance 2020

4. Summary of Key Points

4.1 What is a complaint?

A complaint is any expression of dissatisfaction with a police force that is expressed by or on behalf of a member of the public.

4.2 Complaint Files Dip Sampling Overview

To establish if Nottinghamshire Police complaints are being handled in accordance with the above-mentioned guidance and legislation, the Office of the Police and Crime Commissioner (OPCC) dip sampled 25 complaints relating to use of force complaints closed between 01 February 2021 – 31 July 2021.

4.3 Complaints handled otherwise than by Investigation

Complaints handled otherwise than by investigation are lower level complaints where it is likely that, if proven, the allegation would not result in further proceedings.

Complaints that can be quickly resolved to the satisfaction of the complainant can be logged outside of schedule 3.

Complaints should be recorded inside schedule 3 if the complaint requires further investigation or if the complainant requests that the complaint is recorded.

The OPCC is the relevant review body for complaints handled otherwise than by investigation.

There is no right of review for complaints handled outside of schedule 3.

Please see below outcome of complaint cases dip sampled:

4.4 Professional Standards Directorate Investigations

Professional Standards Directorate Investigations are where it is likely that, if proven, the allegation of criminality or conduct would justify disciplinary proceedings.

- 4.4.1 The allegation in the complaint that was not handled reasonably and proportionately was proven and the officer was dismissed. The other was handled by way of Reflective Practice Review Process (RPRP). RPRP is a structured, non-disciplinary process which encourages officers to identify mistakes, consider the impact of their actions and reflect on how they can learn and improve.
- 4.4.2 There was evidence that a public interest test had been completed and the outcome of all 6 was that it was not in the public interest to proceed with the complaint.

4.5 Dip Sample Findings

For all complaints sampled there was sufficient detail of the complaint and an initial assessment had taken place.

The average time taken for PSD (Professional Standards Directorate) to acknowledge a complaint in writing was 4.6 days.

An acknowledgement could not be located for one complaint.

The average time taken for PSD (Professional Standards Directorate) to resolve a complaint otherwise than by investigation is 49 days.

The average time taken for PSD (Professional Standards Directorate) to resolve a complaint handled by investigation is 73 days.

25 (100%) of the complaints sampled were concerning complaint category B4 – use of force.

4.6 Observations

The average complaint acknowledgement time has decreased by 5.4 days.

The last dip sample identified that 58% of Use of Force complaints were handled by PSD Investigation. This dip sample has shown that there is a significant increase in Use of Force complaints for PSD Investigation of 88%.

4.7 Dip Sampling Recommendations

For the Professional Standards Directorate to:

- a) Advise what action has been taken to reduce the acknowledgement time.
- b) Advise if there is a reason for the increase in PSD investigations for Use of Force complaints.

4.8 Complaint Reviews Breakdown

For the six months (1/2/21 - 31/7/21) the Office of the Police and Crime Commissioner received 44 requests for a complaint review:

- 40 complaint reviews have been undertaken
- 4 are outstanding

30 (68%) complaint reviews were not upheld and the Police's complaint response was reasonable and proportionate.

10 (23%) complaint reviews were upheld; in each case recommendations were made to the force. The force have provided a response to recommendations to the Commissioner and the complainant.

4.8 Complaint and Review Learning

The Professional Standards Directorate have been asked to provide the Commissioner with an overview of how learning is identified, how it is monitored and actioned and where it is reviewed.

5 Financial Implications and Budget Provision

5.1 There are no financial implications or budget provision.

6 Human Resources Implications

6.1 There are no human resource implications.

7.1 There are no human resource implications.

8 Risk Management

8.1 There may be a risk to the public's confidence in Nottinghamshire Police.

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

9.1 The report links to the Police and Crime Plan Governance and assurance priorities.

10 Changes in Legislation or other Legal Considerations

10.1 None

11 Details of outcome of consultation

11.1 The Head of the Professional Standards Directorate has been consulted on this report.

12. Appendices

12.1 N/A

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

13. N/A

For Information	
Public	
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	30 th November 2021
Report of:	Deputy Chief Constable Barber
Report Author:	Superintendent Donna Lawton
E-mail:	Donna.lawton@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	15

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

Complaint and Misconduct Investigations (including organisation learning)

1. Purpose of the Report

- 1.1 To inform the Joint Audit and Scrutiny Panel (JASP) that reform to the police complaints and misconduct legislation commenced on 1st February 2020. The data supplied within this report is from 23rd April 2021- 10th November 2021.
- 1.2 To provide a final report, using data under the former legislation, of how the force compared nationally when dealing with complaints and misconduct matters.

2. Recommendations

- 2.1 It is recommended that the title / purpose of this report be revised by the Head of Professional Standards Directorate (PSD) and the OPCC Chief Executive to include organisational learning and practice requiring improvement.
- 2.2 This will ensure effective and governance regarding two key areas. First, governance surrounding investigations and allegations where the misconduct threshold is met. Second, oversight for investigations where discipline recommendation are not found or progressed, in favour of learning and development. This is consistent with key aspects of the complaints and misconduct system implemented by the 2020 Police Conduct Legislation.

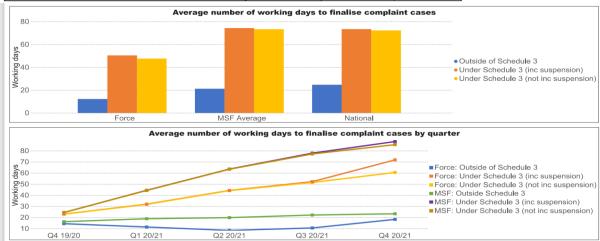
3. Reasons for Recommendations

- 3.1 To ensure that the JASP ensures the force and OPCC are compliant in their duty to record and investigate complaints and misconduct matters in accordance with the:
 - Police (Conduct) Regulations 2020
 - Police and Complaint and Misconduct Regulations 2020
 - Independent Office for Police Conduct (IOPC) Statutory Guidance 2020

4. Summary of Key Points

4.1 It important to note our position nationally in how we finalise complaints.

Average number of working days to finalise complaint cases	Force	MSF Average	National
Outside of Schedule 3	12	21	25
Under Schedule 3 (inc suspension)	50	74	73
Under Schedule 3 (not inc suspension)	48	73	72



- 4.2 There are no officers/staff currently suspended.
- 4.3 There are currently 10 officers with restrictions upon them and 4 staff members.

4.4 <u>Initial complaint handling:</u>

- In the reporting period the number of complaints received by the force was 617 in total. This has remained on average at 88 per month.
- 98.7% of complaints are recorded within 10 working days. This continues to improve and has been an area of focus for PSD.
- It is clear that a quick and professional conversation early is pivotal in resolving dissatisfaction with the service. Further training has been given to staff to ensure an early resolution to dissatisfaction.

Inside Schedule 3 Complaints	Outside Schedule 3 Complaints
339	278

The above shows an average of 46% of complaints are dealt with outside of Schedule 3. These are reviewed by a supervisor to ensure consistency and the correct application of the regulations.

• Staff skills and knowledge-

There will be three Reasonable Proportionate Handler (RPH) Sergeants from 15th November 2021. This will see the timeliness improve further and provide opportunities to deliver any learning from investigations in an appropriate manner.

Organisational learning-

This is a key area for PSD. The emphasis will be on learning. The meetings and hearing officer is responsible for collating organisational learning. There is learning from all matters dealt with at meetings and hearings and as such it is now captured and dealt with appropriately to maximise all opportunities for learning.

A monthly PSD bulletin is underway. It will share appropriate cases and the learning identified. The staff associations and Police Federation have all been consulted and have agreed this. This will ensure officers/staff do not make mistakes that could have been avoided.

A new element to the PSD performance pack has highlighted time served within the force and age group to try and identify officers/staff who may be more at risk of complaints. Further work can then be undertaken with the group to explore why this may be the case.

Inter Departmental links-

HR are now intrinsically linked into PSD. A monthly meeting is held to ensure HR are aware of individuals. There are multiple benefits to this including support for the officer/staff member and the investigation. Student officers from Operation Uplift continue to come to the attention of PSD. DCI Sanders meets with the Police Federation to discuss this and identify and trends and or patterns in an attempt to try and prevent further officers facing misconduct.

Reflective Practice-

Home Office Guidance states 'PRI means underperformance or conduct not amounting to Gross Misconduct or Misconduct, which falls short of the expectations of the public and the police service as set out in the Code Of Ethics'.

The purpose behind the reformed system is to develop an approach to the handling of matters which fall short of the expectations set out in the Code of Ethics and are considered low-level conduct and mistakes.

Since the inception of the new PMR 2020 regulations 56 officers have been subject to PRI. Nottinghamshire continue to lead the way in the use of PRI.

- 4.5 The following areas of organisational level learning have been addressed in the reporting period:
 - A review of Body Worn Video. All officers have been reminded about the activation of BWV whilst at domestic incidents.
 - HR have been made aware of incidents whereby officers sickness has at times been found not have been managed which has resulted in referrals into PSD.
- 4.6 A comparison of performance data was taken from 23rd April 2021- 10th November 2021 in comparison to the same period last year. The headlines are documented below:
 - Complaint cases recorded are up 44.5%. An increase of 190 cases.
 - Conduct cases recorded have remained at the same level as the previous reporting period (50 cases each).
 - Regulation notices have risen by 19.0% An increase of 8. A slight increase but at similar reporting levels to the previous reporting period.
 - Local investigations (RPH) have shown a small rise in the average number of days to finalise. Previously 63.3 days it is now at 68.6 days. The existing six legacy cases have been removed from this calculation and are being monitored separately. This is an area for focus within PSD.
 - Conduct cases that have been finalised has risen by 50.0%. An increase of 20.
 - The average number of working days to complete a conduct case has dropped by 2.8%. From 60.2 days to 58.5 days. This again is well under the MSF and national position for finalisation.

5. Financial Implications and Budget Provision

5.1 There are no financial implications arising from this report.

6. Human Resources Implications

6.1 PSD continues to be an exceptionally busy area of policing. Additional staff in the form of two further Constables have been approved at the 2021 ADA and are to be appointed.

7. Equality Implications

7.1 Equality data is recorded in relation to recording, compliance and monitoring of complaints and misconduct matters. The Head of professional Standards provides a quarterly report to the Equality Diversity and Human Rights Board chaired by the Chief Constable.

8. Risk Management

8.1 Any risks associated with the recording and compliance of complaints and misconduct are reported on an exception basis to the Force Organisational, Risk, and Learning Board chaired by the Deputy Chief Constable.

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

9.1 The recording and monitoring of complaints and misconduct matters is linked with the Police and Crime Plan Priority, Transforming Services and Delivering Quality Policing.

10. Changes in Legislation or other Legal Considerations

10.1 There are no changes in legislation in relation to this report.

11. Details of outcome of consultation

11.1 There has been no consultation in relation to this report as it is an update for the JASP.

12. Appendices

12.1 None

For Information:	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	30 th November 2021
Report of:	Deputy Chief Constable Barber
Report Author:	Superintendent Donna Lawton
E-mail:	Donna.lawton@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	16

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

IOPC Investigations, Recommendations & Actions

1. Purpose of the Report

1.1 To inform the PCC in respect of the complaint and conduct matters which have been referred by Nottinghamshire Police to the Independent Office for Police Conduct (IOPC) during the relevant period 23rd April 2021- 9th November 2021, together with relevant recommendations and actions

2. Recommendations

- 2.1 That the panel receive assurance that Nottinghamshire Police is transparent in referring itself to the IOPC in relation to all instances which meet the criteria defined at 4.1 and 4.2 of this report.
- 2.2 That the panel receive reassurance that Nottinghamshire Police consider and respond to IOPC recommendations.

3. Reasons for Recommendations

- 3.1 The data summary in 4.2 outlines those DSI matters referred to the IOPC during the period 23rd April 2021- 9th November 2021. In total 34 referrals were made compared to 14 in the last reporting period. Further detail is shown in section 4.2 below. Of the referrals made in this reporting period the IOPC have taken 1 as an independent investigation. This has resulted in two officers receiving Gross Misconduct notices.
- 3.2 A total of 66 DSI incidents were assessed in the reporting period to establish whether they met the criteria for referring to the IOPC. Where cases are not referred, the rationale is recorded and the matter reviewed to identify any personal or organisational learning. During this reporting period there were 34 DSI incidents referred out of the 66 assessed.
- 3.3 No formal IOPC recommendations have been made in the reporting period for Nottinghamshire Police.
- 3.4 Regardless, monthly oversight bulletins circulated by the IOPC to all forces are received by PSD, with general recommendations reviewed and disseminated

where appropriate. Recent IOPC recommendations have focussed on the use of Taser and APSP (Abuse of Position for Sexual Purpose).

- 3.5 During October 2021 Nottinghamshire Police reinforced the message surrounding an 'abuse of position' to all employees in the wake of the Sarah Everard Murder. The CC and a video prepared by the College of Policing has been distributed to every employee within Nottinghamshire Police for mandatory viewing.
- 4. Summary of Key Points (this should include background information and options appraisal if applicable)
- 4.1 Death or serious injury matters (DSI) are not necessarily linked to a public complaint or any identified misconduct. The full definition of a DSI can be found in section 29 Police Reform Act 2002; in brief it is where there is/may be a causal link between a member of the public having contact with the police and death or serious injury occurring to that person. On receipt of a DSI referral the IOPC will determine the mode of investigation; usually an independent IOPC investigation or referred back to Force to investigate.
- 4.2 The data summary below outlines those DSI matters referred to the IOPC during the period 23rd April 2021- 9th November 2021.

Suicide following arrest	1
Injury following a collision during police pursuit	1
Suicide following investigation for sexual offence	3
Injury during arrest	2
Self – inflicted injury during arrest	0
Injury / death following police contact-other	18
Suicide while classified missing from home	3
Dog bite	4
Illness in custody	2

- 4.3 In addition to DSI's the Police must refer to the IOPC complaints and recordable conduct matters that include allegations of conduct which constitute:
- Serious assaults
- Serious sexual offences
- Serious corruption (includes Abuse of Position Trust for Sexual Gain)
- Criminal offence or behaviour aggravated by discrimination
- Relevant offence (where the sentence is fixed by law or 7yrs on first conviction)

The table below shows the number in each category recorded by Nottinghamshire Police in the reporting period 23rd April 2021- 9th November 2021. Serious assault is classed as actual bodily harm or above.

Type of conduct	Total
Serious assault	1
Serious sexual offences	0

Serious corruption (includes Abuse of Position Trust for Sexual Gain)	0
Criminal offence or behaviour aggravated by discrimination	0
Relevant offence (Where the sentence is fixed by law or 7 years upon	0
first conviction)	

5. Financial Implications and Budget Provision

5.1 There are no specific financial implications in respect of this report.

6. Human Resources Implications

6.1 PSD resources are under constant review, ensuring that the department has both the capacity and capability to meet demand. This reporting period has been exceptionally busy.

7. Equality Implications

7.1 No specific implications

8. Risk Management

- 8.1 It is essential the public have confidence in the service Nottinghamshire Police provide. Any risk identified is raised to the Organisational Risk and learning board. The Head of Department attends this meeting. Anything of a sensitive nature is discussed separately with DCC Barber.
- 8.2 Organisational learning is a whole organisation responsibility which helps to mitigate risk. Professional Standards Directorate contributes to risk management through the sharing of learning and encouragement of change across the organisation where appropriate. A new PSD section has been added to the force 'In The Know' document which is cascaded to the workforce in the form of updates for officers/staff to encourage reflection and learning from previous incidents and any changes in practice.

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

- 9.1 IOPC investigations ensure that the public can have confidence in the independence, accountability and integrity, of the most serious of cases, most notably Death or Serious Injury.
- 9.2 It is the responsibility of the force to ensure mandatory and voluntary referrals are made in a timely fashion and that appropriate support is given to IOPC investigators.

10. Changes in Legislation or other Legal Considerations

10.1 None

- 11. Details of outcome of consultation
- 11.1 None
- 12. Appendices
- 12.1 None

For Information	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	10 th November 2021
Report of:	Deputy Chief Constable Barber
Report Author:	Superintendent Donna Lawton
E-mail:	Donna.Lawton@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	17

PROFESSIONAL STANDARDS CONFIDENTIAL REPORTING PROCEDURE (Whistle Blowing)

1. Purpose of the Report

- 1.1 The purpose of this report is to update the Joint Audit and Scrutiny Panel (JASP) regarding the above area of business.
- 1.2 Specifically, the update will outline how the organisation and the Professional Standards Directorate (PSD) identifies and deals with those members of the organisation who make reports concerning breaches of professional standards. In particular, how they can be provided with support and confidentiality, when appropriate and necessary.

2. Recommendations

- 2.1 It is recommended that the Panel receive assurance from the processes in place relating to confidential reporting as detailed within the report.
- 2.2 It is recommended that the panel receive assurance that Nottinghamshire Police Professional Standards Directorate actively seeks information and intelligence from a variety of sources in order to prevent corruption.

3. Reasons for Recommendations

- 3.1 The number of confidential referrals has reduced year-on-year from 2018 to 2021. This is a trend experienced across all five regional forces. There has however, been an increase in overt reporting as measured by the increase in PSD reports received (Oct 20 Sept 21 an increase in conduct cases recorded of + 111.3%). This measure may be an indicator of increased confidence within the PSD department.
- 3.2 Equally, there has been a marked increase in confidential reporting within the last quarter (see below). In December 2020 Nottinghamshire Police identified the counter corruption strategic priorities for the following 12 months; these are still to be subject to review in December 2021:
 - Disclosure of Information
 - Controlled Drug Use and Supply
 - Theft and Fraud

4. Summary of Key Points

- 4.1 Police officers, staff and volunteers, must be honest and act with integrity at all times. This is a principal and absolute standard of professional behaviour from which there can never be any departure. Without personnel possessing such attributes, public trust and confidence would be eroded, the Police would lack legitimacy and the service provided would become ineffective.
- 4.2 The reporting procedure for referring potential breaches in standards of professional behaviour, aims to create a climate where staff feel a genuine commitment to openness and transparency when reporting breaches of Professional Standards. Police personnel should be motivated with a desire to maintain the integrity of the Police service and feel assured that reporting misconduct and criminal transgression will be universally acknowledged as 'doing the right thing.'
- 4.3 The Force's 'Professional Standards Reporting Procedure' defines how Nottinghamshire Police will protect and support its officers, staff and volunteers, by both (a) providing a broad range of options for reporting breaches and (b) providing consistent and meaningful support to colleagues who report concerns.
- 4.4 The Code of Ethics as set by the College of Policing places a positive obligation on Police personnel to report suspected breaches in the standards of professional behaviour by their colleagues. Officers, staff and volunteers must be able to report such breaches openly, with the support of their peers and line managers and have the utmost confidence that in doing so, they will never be subject of victimisation, discrimination or disadvantage.
- 4.5 The reporting procedure identifies guiding principles and some examples of what activity or conduct should be reported, before outlining the different mechanisms and gateways for making such reports, which can be done anonymously, confidentially or in an open report.
- 4.6 The PSD have a key part to play in this procedure once a referral is made to the Directorate. Where open reports have been made, appropriate support will be given to the informant from the outset and proactive central and / or local management support and action will continue throughout the lifetime of the investigation and where necessary beyond that.
- 4.7 Confidentiality, when requested, will be given the highest priority. Nevertheless, relevant information will be subject of statutory rules governing disclosure. For misconduct cases that fall outside the scope of a criminal investigation, confidential information will be handled in a similar way to criminal intelligence. Where there can be no adverse effect on the person accused and a fair hearing can be guaranteed, immunity as to the disclosure of confidential information will always be sought.
- 4.8 For any officers, staff or volunteers who are concerned in coming forward to report any suspicion of corruption or misconduct the Force provides an

anonymous and confidential digital reporting platform called 'Integrity Messenger.' This system allows two-way communication with the PSD Counter Corruption Unit (CCU) whilst still preserving the anonymity of the person reporting for as long as they feel the need. Two way digital dialogue allows for rapport and confidence building, which in turn can lead to the person reporting providing their personal details. This affords any linked investigation with an opportunity to pursue further lines of enquiry.

- 4.9 Work has recently been undertaken within the organisation to remind officers and staff of the location of the reporting tool and how to use it. It is easily accessible via the PSD intranet page.
- 4.10 A confidential telephone reporting system, maintained by the CCU, is also available to all Officers and Staff. Telephone calls are taken in person between the hours of 8am and 4pm and outside of these times, there is a voicemail facility. This facility operates on both an external and internal telephone number.

In the reporting period of 27th November 2020 to 22nd April 2021 a total of 21 confidential referrals were received by the CCU. All of these referrals fell outside of the National Counter Corruption categories as set by the NCA:

Non-counter corruption categories:

Bullying / Grievance	6
Line Management Issue	5
Conduct Issue	8
Information Security	1
Other	1

In the current reporting period of 23rd April to 9th November 2021 this has increased to a total of 50 confidential referrals received by the CCU.

In contrast to the previous reporting period, 14 fell within the National Counter Corruption categories as set by the NCA:

National Counter Corruption categories:

Infiltration	1
Disclosure of Information	2
Sexual Misconduct	1
Controlled Drug Use and Supply	1

Theft and Fraud	1
Misuse of Force Systems	3
Abuse of Authority (Not Sexual Misconduct)	3
Inappropriate Association	1
Vulnerability	1

The remaining 36 fell outside of the National Corruption categories as set by the NCA:

Non-counter corruption categories:

Vetting – Information / Issue	1
Bullying / Grievance	8
Line Management Issue	6
Conduct Issue	21

As can be seen, there has been a large increase during the most recent recording period, potentially due to increased communications within the workforce around the reporting methods available. There has also been an emphasis placed on abuse of position in line with the national narrative. PSD and the Chief Officer team have placed recent emphasis and messages to the workforce on an abuse of position of position for sexual purpose. This has been augmented by PSD attendance at the multi-agency Domestic Violence and Sexual Abuse Executive Boards. Regular contact is made with partners, for example Women's Aid, Prostitute Outreach Workers, NHS etc who can raise any concerns they may have surrounding service provision and ethical concerns.

The CCU has also continued its monthly features surrounding "Ethical Dilemmas", which seeks to raise awareness around corruption risks and the confidential reporting methods available. As noted, the department still receives overt queries and provides regular advice on how to deal with unsatisfactory performance.

Concerningly, conduct issues features heavily during this reporting period. This category provides scope for various potential conduct issues investigated by the CCU which fall outside of one of the NCA corruption categories.

The CCU Department has seen an increase in workload due to the Covid 19 pandemic and this continues to date. The reporting mechanism has been by integrity messenger, phone call or in person to the CCU, often by supervisors or colleagues of the individual concerned.

The CCU proactive work has increased over recent months and in turn, so has the number of corruption investigations. This focus however, should be seen as a strength not a negative.

The force-wide application by the Senior Leadership team, and in particular the Detective Inspector of the 'Ethos of Learning' following the introduction of the new 2020 Police Conduct Regulations has enabled the Counter Corruption Unit (and the Complaints and Misconduct Unit) to increase its focus on proactive CCU investigations and issues of misconduct that actually require attention (not performance issues masquerading as misconduct). Seven longer-term investigations have been instigated in this reporting period following proactive work, which includes theft, conduct issues and APSP. This is in addition to numerous welfare referrals and concerning behaviours identified and dealt with through interventions and ethical interviews to prevent escalation.

PSD figures as a whole between Oct 20 – Sept 21 have seen an increase in the number of regulatory notices served on officers by 88% (from 50 – 94). So in addition to the application of PRI (practice requiring improvement), there has been a corresponding increase in officers subject to misconduct investigations.

The DCI within PSD (PIP 3 qualified) has regular quarterly meetings with the IOPC covert liaison officer. This ensures that covert, sensitive investigations have transparent independent oversight, are rigorously investigated and utilise all investigative tactics available to law enforcement to ensure positive outcomes.

The department maintains operation security by recording confidential reports on a standalone system within the Counter Corruption Unit (CCU). Records and decision making rationale are maintained for any subsequent audit and scrutiny.

The Head of department has visited all Senior Management Team meetings and discussed PSD and the CCU, identifying warning signs and what leaders should look for within their teams. Monthly meetings take place with all divisional heads of departments to discuss on going cases and learning that has been identified. Additionally, the CCU Sergeant has completed virtual briefings with all supervisors from the Response and Neighbourhood Policing Teams across the force, particularly aimed at APSP behaviours but including the reporting mechanisms available. All of this should build towards a healthier and more professional workforce.

The Force achieved 'good' for its HMICFRS (Her Majesty's Inspectorate of Constabulary and Fire and Rescue Service) inspection rating in relation to how well it maintains an ethical culture and lawful workforce behaviour.

4.11 The Force has an effective counter-corruption strategic threat assessment and control strategy. The Force makes good use of the integrity registers regarding notifiable associations and business interests. It has good relationships with both regional and national CCU leads. The PSD head / deputy head also chair the regional heads of CCU meeting, representing the East Midlands regional at the national Counter Corruption NPCC meeting.

- 5. Financial Implications and Budget Provision
- 5.1 No specific financial implications are noted.
- 6. Human Resources Implications
- 6.1 The 2021 ADA process has seen an uplift of a Detective Constable to CCU, yet to be appointed.

7. Equality Implications

- 7.1 This document has been drafted to comply with the general and specific duties in the Equality Act 2010; Data Protection Act; Freedom of Information Act; ECHR; Employment Act 2002; Employment Relations Act 1999 and other legislation relevant to policing.
- 7.2 This procedure is robust and the evidence shows there is no potential for discrimination and that all opportunities to promote equality have been taken.

8. Risk Management

- 8.1 It is essential the public have confidence in the service that Nottinghamshire Police provide.
- 8.2 The overwhelming majority of individual members of Police personnel including police officers, staff and volunteers within Nottinghamshire Police are dedicated, hard working, compassionate, and deliver policing services with a high degree of integrity. Regrettably, there are a small number of Police personnel that are guilty of and vulnerable to, unethical behaviour, dishonesty and corruption. The harm they do far outweighs the numbers they represent.
- 8.3 We all have a part to play in enhancing the integrity and reputation of the Force. This process starts with recognition that we are all individually accountable for our actions and responsible for our behaviour.
- 8.4 Both locally and nationally, the force PSD has good performance (independent IOPC data).
- 9. Policy Implications and links to the Police and Crime Plan Priorities
- 9.1 By having a Professional Standards Reporting Procedure we are able to set out ways that staff can make reports concerning breaches of Professional Standards and ensure we support the Force vision and values.
- 10. Changes in Legislation or other Legal Considerations
- 10.1 There are no changes in legislation or other legal considerations relating to this report.
- 11. Details of outcome of consultation

11.1 No consultation has been undertaken in relation to this report as the purpose is to provide an update to JASP only.

12. Appendices

12.1 There are no appendices attached to this report.

For Information			
Public/Non Public	Public		
Report to:	Joint Audit and Scrutiny Panel (JASP)		
Date of Meeting:	30 th November 2021		
Report of:	DCC Barber		
	Charlie Radford, Chief Finance Officer OPCC		
Report Author:	Laura Spinks, Force Assurance Lead		
-	Amanda Froggatt, Head of Corporate Development		
E-mail:	Laura.spinks@notts.police.uk		
	Amanda.froggatt@notts.police.uk		
Other Contacts:			
Agenda Item:	18		

Joint Audit and Scrutiny Panel Proposed Work Plan 2022

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 2022.

2. Recommendations

- 2.1 It is recommended that Joint Audit and Scrutiny Panel members note the report and attached appendix and agree the contents.
- 2.2 It is also recommended 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 work plan has been discussed with members and prepared based on the business planning cycle for both the Office of the Police and Crime Commissioner (OPCC) and Nottinghamshire Police.
- 4.3 The proposed Joint Audit and Scrutiny work plan has been prepared in consultation with the Chief Finance Officer 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 Panel Work Plan 2022.

DRAFT JOINT AUDIT AND SCRUTINY PANEL WORK PLAN 2022

Force Assurance Mapping Report	Annually	Force – Laura Spinks
New Internal Audit Plan 2022/23	Annually	Mazars, Mark Lunn
DRAFT Statement of Accounts Group and CC	Annually	OPCC – Charlie Radford
OPCC Update Report	Each Meeting	OPCC – Dan Howitt
Budget Reports (for information) Treasury Management Strategy Reserves Strategy Capital Report MTFS Budget Report	Annually	OPCC – Charlie Radford an Maria Fox
Final External Audit Plan	Annually	Ernst and Young
nternal Audit Progress Report	Each Meeting	Mazars – Mark Lunn
Jpdate on actions from audits, inspections and reviews Includes Internal audit, External Audit, HMICFRS, AGS improvements) Key theme for Force Audit Report – Summary of completed and future ADA proposals	Each meeting	OPCC - where appropriate Force – Laura Spinks
OPCC Report on Compliance with Freedom of Information Requests and the Specified Information Order	6-Monthly	OPCC – Ruth Rolling
Force Assurance Report on Compliance with Freedom of Information and Data Protection Requests	6-Monthly	OPCC – Pat Stocker
Force Report on Monitoring, Review and Assurance of the Publication Scheme	6-Monthly	Force – Pat Stocker

d of April 2022 (Date TBC) - YEAR END MEETING			
Internal Audit Progress Report	Each Meeting	Mazars, Mark Lunn	
Annual Internal Audit Assurance Report (including review of past year and audit schedule for 2020/21)	Annually	Mazars, Mark Lunn	
Final Statement of Accounts 2020/2021	Annually	OPCC – Charlie Radfor	
Draft Annual OPCC Governance Statement 2020/21	Annually	OPCC – Charlie Radfor	
Draft Annual Force Governance Statement 2020/21		Force – Laura Spinks	
External Audit ISA 260 for 2020/21 Accounts	Annually	Ernst and Young	
External Audit Plan	Annually	Ernst and Young	
Review of OPCC Risk Management arrangements	6-Monthly	OPCC – Kevin Dennis	
Review of Force Risk Management arrangements		Force – Laura Spinks	
Key Theme for Risk – Project Regain			
Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMICFRS, AGS improvements)	Each meeting	OPCC - as required	
Key theme for Force Audit Report – Integrated PEEL Inspection		Force – Laura Spinks	
OPCC Update Report	Each Meeting	OPCC – Dan Howitt	
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	

OPCC Report on Complaints, Investigations, New and Open Cases	6-Monthly	OPCC – Lisa Gilmour
Force Report on Business Continuity Compliance and Assurance Testing and Exercising	Annually	Force – Laura Spinks/ Andy Burton
Force Treasury Update Report to show compliance with Treasury Management Strategy	Annually	OPCC – Charlie Radford
Revenue & Capital Outturn Reports		Force

d of July 2022 (Date TBC) - DRAFT STATEMENT OF ACCOUNTS		
Draft Force Statement of Accounts 2021/2022	Annually	OPCC – Charlie Radford
Draft Group Statement of Accounts 2021/2022		Force – Mark Kimberley
Internal Audit Progress Report	Each Meeting	Mazars, Mark Lunn
Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMICFRS, AGS improvements) Key theme for Force Audit Report – Serious Youth Violence	Each meeting	OPCC - as required Force - Laura Spinks
Review Working Together Agreement incorporating SoD, Fin Regs and SOs	Annually	OPCC – Kevin Dennis
OPCC Report on Compliance with Freedom of Information Requests and the Specified Information Order	6-Monthly	OPCC – Ruth Rolling
Force Assurance Report on Compliance with Freedom of Information and Data Protection Requests	6-Monthly	Force – Pat Stocker
Force Report on Monitoring, Review and Assurance of the Publication Scheme	6-Monthly	Force – Pat Stocker
PCC Update Report	Each Meeting	OPCC – Dan Howitt

SE	SEPTEMBER 2022 – Date TBC FINAL ACCOUNTS MEETING			
	Final Force Statement of Accounts 2021/2022	Force	Force – Mark Kimberley	
	Final Group Statement of Accounts 2021/2022 (OPCC and Force AGS to be incorporated)	OPCC	OPCC - Charlie	
	External Audit ISA260 Report	Annually	Ernst & Young	
	Internal Audit Progress Report	Each Meeting	Mazars, Mark Lunn	

Internal Audit Progress Report	Each Meeting	Mazars, Mark Lunn
Summary set of Accounts for Publication	Annually	OPCC – Charlie Radford
Review of OPCC Risk Management arrangements	6-Monthly	OPCC – Kevin Dennis
Review of Force Risk Management arrangements		Force – Laura Spinks
Key Theme for Risk – To be confirmed		
Update on actions from audits, inspections and reviews (Includes Internal audit, External Audit, HMICFRS, AGS improvements)	Each meeting	OPCC - Where appropriate
Key theme for Force Audit Report – To be confirmed		
Annual Audit Letter – External Audit	Annually	Ernst and Young
PCC Update Report	Each Meeting	OPCC – Dan Howitt
PCC Report on Complaints, Investigations, New and Open Cases	6-Monthly	Force – Lisa Gilmour
Force Report on Complaints and Misconduct, Investigations, New and Open Cases	6-Monthly	Force – Supt PSD
Force Report on IOPC Investigations, Recommendations and Actions	6-Monthly	Force – Supt PSD

	Force Report of Whistle Blowing and Anti-Fraud and Corruption Policies and Review of Compliance.	6-Monthly	Force – Supt PSD
	Draft JASP Work Plan for 2023/24	Annual	Force – Laura Spinks

Review of key areas to support Corporate Governance arrangements: (review of requirements to be finalised and then prioritised. Areas to be identified for reports or internal audits and will be informed by assurance mapping)

Sources of assurance to include:

- Effectiveness of partnerships
- Monitor the application of the pension schemes
- Review of delegated powers
- Review Register of Interests
- Financial Management/Financial Systems
- Legislative change
- Scheme of delegation
- Annual report from PSD on their activity i.e. no of dismissals final letters and nature of the event
- By exception report on Insurance Claims covering Public Liability, Employer's Liability, Motor Liabilities including Costing and Lessons Learned
- By exception report on Outcomes of Public Finance Initiative Contracts