

JOINT AUDIT AND SCRUTINY PANEL

THURSDAY 10 DECEMBER 2015 at 2.00 PM

**County Hall
West Bridgford
Nottingham NG2 7QP**

Membership

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

A G E N D A

1. Apologies for absence
2. Declarations of interest by Panel Members and Officers (see notes below)
3. To agree the minutes of the previous meeting held on 24 September 2015
4. IPCC investigations, recommendations and actions
5. Force improvement activity - lessons learned monitoring
6. Professional Standards confidential reporting procedure
7. Anti-fraud and corruption policy – review of compliance update (April – September 2015)
8. External audit Annual audit letter
9. External audit progress report

10. Verbal update on regional assurance work
11. Police and Crime Commissioner update report – to August 2015
12. Internal audit progress report
13. Audit and inspection report
14. Appointment of external auditors for 2018-19
15. Work plan and meeting schedule

NOTES

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

NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER
County Hall, West Bridgford, Nottingham, NG2 7QP

MINUTES
OF THE MEETING OF THE
NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER
JOINT AUDIT & SCRUTINY PANEL
HELD ON THURSDAY 24 SEPTEMBER 2015
AT GEDLING BOROUGH COUNCIL,
NOTTINGHAM
COMMENCING AT 10.00 AM

MEMBERSHIP

(A - denotes absent)

Mr Stephen Charnock (Chair)
Mr Leslie Ayoola
Mr John Brooks
Dr Phil Hodgson
Mr Peter McKay

OFFICERS PRESENT

Paddy Tipping	Police and Crime Commissioner
Phil Gilbert	Head of Strategy and Assurance, OPCC
Charlotte Radford	Chief Finance Officer, OPCC
Chris Eyre	Chief Constable, Notts. Police
Mike Clarkson	Mazaars
Simon Lacey	KPMG (External Audit)
Gary Jones	T/Head of Finance
Alison Fawley	Democratic Services, Notts. County Council

1. APOLOGIES FOR ABSENCE

Apologies were received from Andrew Cordoza, KPMG and Brian Welch, Mazars

2) DECLARATIONS OF INTERESTS BY MEMBERS AND OFFICERS

None.

The Chair reminded Panel members of their duty to ensure their declarations of interests on the website were up to date.

3) MINUTES OF THE PREVIOUS MEETING

The minutes of the last meeting held on 12 February 2015, having been circulated to all Members, were taken as read and were confirmed and were signed by the Chair.

4) EXTERNAL AUDIT OF THE ACCOUNTS 2014-15 (ISA260)

Andrew Cordoza introduced the report which provided Members with the results of the review of the Statement of Accounts and supporting documentation for the financial year 2014-15. He confirmed that he intended to issue an unqualified opinion in relation to the accounts, governance arrangements and value for money.

During discussions the following points were raised:

- Although there had been an improvement in the quality and availability of working papers, there had been some difficulties due to staff absence and with electronic files and links to supporting notes which had caused increased audit input. An increase in the scale fee would be necessary and would be discussed when the audit was completed.
- Work was ongoing to refine the processes for future audits which may include dry runs and a soft close at P10. Staffing issues would be addressed by the collaboration with Northants which enabled sharing of expertise.

RESOLVED 2015/026

- 1) That the report of the External Auditor be noted and its findings be recommended to the Police and Crime Commissioner.
- 2) That the letter of representation be recommended to the Police and Crime Commissioner for signing and sending to the external auditors.

5) STATEMENT OF ACCOUNTS AND ANNUAL GOVERNANCE STATEMENTS

Charlie Radford introduced a report which provided Members with a copy of the audited statement of accounts and annual governance statements for

2014-15 which provided a fair view of the financial position of the Chief Constable, Police and Crime Commissioner and the group as a whole. During discussion the following points were raised:

- There were a number of presentational issues to be addressed in the group report.
- A major piece of work would be undertaken regarding capital expenditure to look at what was essential, provided challenge and identified how potential cashable efficiencies would be delivered.
- The group accounts would include a statement that there had been no carry forward of items.
- The reported increase in crime and ASB were attributed to different recording criteria.

RESOLVED 2015/027

- 1) That the accounts and annual governance statements be recommended to the Police and Crime Commissioner for approval.
- 2) That the accounts and annual governance statements be recommended to the Police and Crime Commissioner and Chief Constable for signing.

6) STRATEGIC RISK MANAGEMENT REPORT (2015-16 QUARTER 2)

The Chief Constable introduced a report which provided Panel Members with an up to date picture of strategic risk management (to the end of 2015-16 Quarter 2) across Nottinghamshire Police (the Force) and the Nottinghamshire office of the Police and Crime Commissioner (OPCC).

The risk management policy had been under review and was in the final stages of consultation. A risk management process guide which provided an overview of risk management techniques and their application in practice had also been produced. Changes included ways in which the Force and NOPCC would use risk management in their decision making in the future, for example, each portfolio lead would set a risk management strategy for their area of responsibility.

During discussion the following points were raised:

- Risk was not reducing and the Force had to reengineer/redesign how services would be delivered with reduced resources.
- The Panel appreciated the changes that had been made to the format of the report.

RESOLVED 2015/028

- 1) That the current level of strategic risk be noted.
- 2) That the Panel had received assurance as to the effectiveness of strategic risk management within Nottinghamshire Police and the Nottinghamshire Office of the Police and Crime Commissioner.

7) REGIONAL COLLABORATION UPDATE

The Chief Constable introduced a report which provided Panel Members with an update on the progress made in relation to regional collaboration. A summary of collaborative projects being undertaken in the East Midlands was discussed.

During discussion the following point was raised:

- The different approaches to collaborations/partnerships in the East Midlands were discussed.
- It was noted that policies from Whitehall do not give a framework for working which was a cause of concern for future resilience.

RESOLVED 2015/029

That the report be noted

8) MYSTERY SHOPPER REPORT JULY 2014-APRIL 2015

Paddy Tipping introduced a report which provided Panel Members with the PCC's mystery shopper report for the period July 2014- April 2015.

During discussion the following points were noted:

- A number of meetings that had been advertised did not take place which was considered untenable and required a review of the schedule of meetings. It was not good PR to have the public turn up at a building that was closed.
- The Panel were pleased to note the positive feedback regarding the handling of 101 calls.

RESOLVED 2015/030

That the report be noted

9) POLICE AND CRIME COMMISSIONER'S UPDATE REPORT

Paddy Tipping introduced the report which provided panel members with an overview of current performance, key decisions made and the activities of the Police & Crime Commissioner.

- Efficiency savings were not on target and work was ongoing to close the gap. Control measures had been put in place which included a recruitment freeze, a freeze on capital expenditure and a review of temporary/agency staff. Assurance was given that rigorous procedures were in place to ensure accuracy and confidence in predicted budget savings.
- There was the expectation of maximising resources to deliver frontline services. The process had started for next year where difficult decisions would have to be made to make the service work within a reduced budget.

RESOLVED 2015/031

- 1) That the report be noted.
- 2) That the Panel had received assurance from the Commissioner on areas of concern

10. UPDATE ON HMIC REPORTS AND RECOMMENDATIONS

Phil Gilbert introduced a report which provided Panel Members with an update on the outcome of each HMIC inspection and recommendations including the PCC's response. The report also provided assurance to the Panel that there was a robust process in place in relation to scrutiny of the action of the Force in response to HMIC recommendations

During discussions the following points were made:

- The report was to address an identified gap in information presented to the Panel.
- The use of the Tracker was discussed and Panel members were invited to Force HQ to see how the Tracker works.

RESOLVED 2015/032

- 1) That the progress made against HMIC inspection recommendations be noted.

11. INTERNAL AUDIT PROGRESS REPORT

Charlie Radford introduced a report which provided Panel Members with an update on progress against the Internal Audit Annual Plan and the findings from audits completed to date.

RESOLVED 2015/033

That the report be noted

12. AUDIT AND INSPECTION REPORT

The Force introduced the report which provided the Panel with an update on the progress against recommendations arising from audits and inspections that had taken place within the Force. The Panel were also informed of the schedule of planned audits and inspections.

RESOLVED 2015/034

- 1) That the progress made against audit and inspection recommendations be noted.
- 2) That the forthcoming audits and inspections be noted.

13. WORK PLAN AND MEETING SCHEDULE

RESOLVED 2015/035

The work programme would be revised to include an update on the outcomes of the survey of Police Audit Committee Chairs.

14. EXCLUSION OF THE PUBLIC

RESOLVED: 2015/036

That the public be excluded from the remainder of the meeting on the grounds that discussions are likely to involve the disclosure of exempt information described in paragraph 3 of the Local Government (Access to Information) (Variation) Order 2006 and the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

EXEMPT INFORMATION ITEMS

15. ATTEMPTED FRAUD INVESTIGATION

RESOLVED: 2015/037

That the report be noted

The meeting closed at 12.10pm

CHAIR

For Information	
Public/Non Public*	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	10 December 2015
Report of:	IPCC Investigations, recommendations and actions
Report Author:	DCI Murphy
E-mail:	paul.murphy@nottinghamshire.pnn.police.uk
Other Contacts:	nicola.thomas@nottinghamshire.pnn.police.uk
Agenda Item:	4

IPCC INVESTIGATIONS, RECOMMENDATIONS & ACTIONS

1. Purpose of the Report

- 1.1 To inform the Audit and Scrutiny Panel in respect of complaint and conduct matters, which have been referred by Nottinghamshire Police to the IPCC during the relevant period 1st April 2015 to 30th September 2015, together with relevant recommendations and actions.

2. Recommendations

- 2.1 That the Panel receive assurance from the processes in place relating to IPCC investigations as detailed within the report.

3. Reasons for Recommendations

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

4. Referral Volume and Demand

- 4.1 The data summary below outlines:

- Cases referred to the IPCC during the relevant period.
- All cases finalised by during the relevant period

It includes a breakdown of how the IPCC determined primacy of investigations referred. Details of referred cases are attached at Appendix A.

Referred	Total	Complaint	Conduct	Miscellaneous
Cases referred	31	8	6	17
Compared to previous period	-25% (41previous)			

Type of referrals and how they were managed				
Mandatory referral	29			
Voluntary referral	2			
Supervised Investigation	0			
Independent Investigation	3			3
Local Investigation	28	8	6	14

All Cases Finalised During The Relevant Period	
All cases finalised	44
Finalised "No Action"	11
Finalised "Upheld"	7
Finalised "Not Upheld"	26

4.2 The following is a description of those cases finalised outlining the nature of the complaint or conduct and the outcome.

	Circumstance	Outcome
1	Allegations that Nottinghamshire Police are intuitionally racist.	Local Resolution without consent. No evidence of racial motivation
2	Detained person self-harming whilst in custody.	Review of circumstances carried out. Satisfied that all procedures followed were correct.
3	Suicide by hanging whilst on Police bail.	The IPCC do not consider that the complaint needs to be investigated because having reviewed the information provided there does not seem to be a causal link between the actions the officers in this case and the subsequent death of the individual.
4	Complaint about only being arrested because the complainant was black.	Local investigation leading to a Misconduct Meeting being held: no further action taken.
5	Stopped vehicle due to being racially motivated.	Local investigation conducted leading to management action.
6	Allegation received that a Special Constable had none-consensual sexual intercourse	Local investigation conducted. Not enough evidence to refer to CPS. SC resigned from organisation.
7	Allegation of racial motivation; following a Section 18 search states that his keys were not given back to him until the following day which caused him to sleep outside his property.	Local Resolution without consent. No evidence of racial motivation
8	Dealt with an incident where a diabetic driver had lost control of his vehicle. Officers failed to inform the DVLA of his medical condition. Driver subsequently lost his life in a similar incident a few months later.	Local investigation conducted – officers received management action.
9	Allegation received alleging that a signature in the officers pocket book and on the caution report was not the complainant's.	Local investigation conducted – following receipt of expert evidence no further action was taken.
10	Allegation of assault and the belief by the complainant that he was treated differently due to the colour of his skin.	Local investigation conducted. No evidence of racial motivation.
11	Complainant alleged the officer displayed religious discrimination	Local investigation commenced – complainant withdrew complaint.
12	Conspired with others to supply controlled drugs; alleged theft; sexual misconduct.	Supervised investigation conducted – no charges were brought by CPS. Officer resigned during investigation.
13	Allegation of racial discrimination following the officer placing a hand on her shoulder and alleging that she was being aggressive	Local investigation conducted. No evidence of racial motivation.

	which she believes was due to her colour.	
14	A driver failed to stop for a police van patrol and made off from the police before disappearing from view and colliding with trees on a roundabout.	Local investigation conducted. No evidence of Misconduct or Unsatisfactory Performance identified.
15	Man arrested under S.136 Mental Health and taken for assessment at Hospital who deemed him not mentally unwell and released him. Later that day police were called as the man had set himself alight. Police put out the flames and escorted him to hospital where injuries were not life threatening.	Local investigation conducted. No evidence of Misconduct or Unsatisfactory Performance identified.
16	Allegation by complainant that racial attitudes underpin the conduct of the officers	Local investigation commenced. Complainant withdrew the complaint.
17	Complainant alleges he was injuries whilst in custody requiring stitches to his ear.	Local investigation conducted. The allegation was not upheld.
18	Sexual conduct by the officer	Supervised investigation conducted. Officer resigned during investigation. Officer dealt with through the Court.
19	Allegation of domestic assault	Local investigation conducted leading to management action.
20	Allegation of sexual assault.	Local investigation conducted leading to management action.
21	Allegation of discriminatory behaviour	Local Resolution without consent. No evidence of racial motivation
22	Sexual conduct by member of police staff	Local investigation conducted leading to dismissal without notice.
23	Officer breached Equality & Diversity policies on Facebook by sharing & viewing an image & video alleged to be racist in nature	Local investigation conducted leading to a Misconduct Meeting being held. Allegations not proven and the outcome was Management Action.
24	Allegation of excessive force used by officers whilst arresting the complainant & assault to one year old son	Local investigation to be conducted after finalisation of court proceedings. Complainant did not proceed and the complaint was Withdrawn. Complainant was given details of how to make a claim for compensation in relation to the damage.
25	Suicide by hanging whilst on Police bail	Local Investigation has been conducted. No evidence of Misconduct or Unsatisfactory Performance identified.
26	Suicide following anonymous phone call to Notts Police Force Control Room	The IPCC do not consider that an investigation needs to be carried out because having reviewed the information provided there does not seem to be a link between the police and the subsequent death of the individual.
27	Misconduct in a public office & Rape	Local investigation leading to a Crown Court sentencing – Dismissed without

		notice
28	Allegation of property not being returned in a timely manner and the officer using racist language towards the complainant	Local investigation to be conducted. Complainant would not cooperate with the IO resulting in the IPCC granting the decision to Discontinue the complaint.
29	Allegation that a criminal investigation leading to the conviction of the individual was not investigated in a diligent and impartial manner.	Independent investigation conducted. Not evidence of misconduct found. Management Action given.
30	Allegation that a significant statement recorded to have been made by the complainant has been fabricated by the custody officer, further allegation that the officer failed to investigate a threat to his life	Local investigation to be conducted – matter discontinued by Force due to complainant refusing to co-operate to the extent that it is not practical to continue with the investigation.
31	Allegation of mental and physical abuse and excessive force whilst in custody	Local investigation to be conducted – allegations Not Upheld by PSD and the appeal Not upheld by IPCC
32	Allegation that officers failed to act in a diligent manner with regard to the concern for safety of the complainants partner after he was found deceased at his address	Local investigation completed – allegation Not upheld by PSD, no appeal made.
33	Sexual conduct by a police officer involving a vulnerable victim	Supervised investigation by IPCC. Allegations Upheld as Gross Misconduct but owing to resignation prior to court it was not possible to for the case to be answered by way of Hearing.
34	Allegation of unnecessary and excessive force during arrest resulting in severe bruising and fracture to elbow	Local investigation conducted. Allegations Not upheld and no appeal received.
35	Allegation that no action was taken when a detained person was in custody with a broken foot.	Local investigation conducted. Management action given to officers.
36	Member of staff reported that an officer was having sex with victims of crime	Local investigation to be conducted. Allegations Not upheld but officer received Management Action in respect of using personal phone on duty and Organisational Learning around the officers and the use of social media dating sites.
37	Threat to kill made by an officer	Local investigation, allegations found to be Upheld leading to a Misconduct Hearing resulting in Dismissal without Notice.
38	Person arrested for spitting in the face of a street warden, whilst in custody CDO finds her with sock around her neck. CDO conducts further check and female found to have clothing around her neck which has to	Local investigation to be conducted – Immediate Management Action was delivered.

	be cut away	
39	Suicide following possible Police contact	Local Investigation required, allegations Not upheld by PSD and IPCC appeal Not Upheld.
40	Allegations regarding ethnicity and discrimination when he attended the Police station and was left standing outside	Local investigation – allegations found to be Not Upheld by PSD, no appeal made to the IPCC.
41	Death following Police contact following a non-stop RTC	Independent investigation – currently Live.
42	Uploading and possessing indecent images of children	Local investigation leading to Special Case Hearing – Dismissal without Notice.
43	Alleged that officer stole items of Police uniform and equipment and subsequently advertised and sold them on an auction site	Local investigation leading to a Court sentencing. Officer resigned during investigation.
44	Allegation that the officer investigated a criminal allegation against the complainant and did so only because of the colour of the complainants skin	Local investigation, allegations found to be Not Upheld by PSD & no appeal received.
45	Allegation of perverting the course of justice after an offence was reported to Notts Police, this was considered by the complainant to be discrimination	Local investigation – investigation completed resulting in a Local Resolution with Consent, no appeal made.

4.2 Nottinghamshire Police continues to apply good practice with decisions on whether and when to refer a matter to the IPCC. Voluntary referrals are a particular focus to ensure a proportionate and justified basis on which to report a matter.

4.3 IPCC advice on when to make a voluntary referral states:

- *The IPCC encourages appropriate authorities to refer complaints or recordable conduct matters that do not have to be referred but where the gravity of the subject matter or exceptional circumstances justifies referral.⁸ This may be, for example, because the complaint or recordable conduct matter could have a significant impact on public confidence, or it is felt there is a need for independent involvement in the investigation*

4.4 At a recent engagement visit with PSD, Mr Derrick Campbell, Commissioner at the IPCC expressed his general satisfaction with the timeliness and quality of work received from Nottinghamshire

4.5 Emerging themes of cases referred to the IPCC are recognised as areas of opportunity for organisational learning (see Audit Scrutiny Report: Organisational Learning). Current themes include:

- Communication leading to perceptions of discrimination
- Use of social media by police officers and staff
- Initial response to safeguarding vulnerable people
- Racial and other discrimination combined with miscommunication

- Inappropriate police officer conduct, failing to recognise professional boundaries
- 4.5 Investigations connected to these themes often result in findings which satisfy the police conduct and regulation standard. Aspects of police legitimacy are also routinely examined, as factors of fairness and proportionality are applied alongside the legal basis for police action.
- 4.6 Nottinghamshire Police, Professional Standards Directorate (PSD) is presently developing its strategy on the investigation of matters relating to discrimination. Following national recommendations by the IPCC, Nottinghamshire has reviewed its approach and, in collaboration with the Deputy PCC Chris Cutland, is formalising plans to convene a governance group to review closed cases involving discrimination. The intention is to involve key stakeholders who represent the characteristics of discrimination on particular cases.

5 Financial Implications and Budget Provision

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

5 Human Resources Implications

- 5.1 PSD resources are under constant review, ensuring that the department has both the capacity and capability to meet demand. Where additional resources have been required these have been authorised and temporary staff recruited where necessary.

6 Equality Implications

- 6.1 No specific implications.

7 Risk Management

- 7.1 It is essential the public have confidence in the service Nottinghamshire Police provide.
- 7.1 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.

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

- 8.1 IPCC 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.
- 8.2 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 IPCC investigators. This delivers professional services in support of the organisations PROUD values.

9 Changes in Legislation or other Legal Considerations

- 9.1 None

10 Details of outcome of consultation

10.1 None

11. Appendices

11.1 Appendix 1 - Cases referred to the IPCC 1st April 2015 to 30th September 2015.

APPENDIX 1		September 2015			
	Referred To IPCC	Reason Referred	Mode of referral	IPCC Decision	Investigation Status
1	8-Apr-2015	Detained Person under observations seen to self harm whilst in custody by using a razor blade.	Mandatory	Local	Finalised
2	10-Apr-2015	Indecent images of children	Mandatory	Local	Finalised
3	12-Apr-2015	Death	Mandatory	Local	Finalised
4	12-Apr-2015	Speeding offence	Mandatory	Local	Finalised
5	15-Apr-2015	Serious Corruption - during trial a fabricated unsolicited statement was attributed to the complainant	Mandatory	Local	Finalised
6	24-Apr-2015	Serious Sexual historical offence with sibling	Mandatory	Local	Sub Judice
7	25-Apr-2015	Death or Serious Injury - Injury to forehead as a result of RTC	Mandatory	Local	Finalised
8	25-Apr-2015	Relevant Offence - report of officer having sex with victims of crime	Mandatory	Local	Finalised
9	12-May-2015	Criminal offence or discriminatory behaviour likely to lead to discipline - racial bias and injury from assault	Mandatory	Local	Live
10	15-May-2015	Death or Serious matter for an apparent suicide	Mandatory	Local	Finalised
11	21-May-2015	Voluntary - computer seizure connected to sexual offending investigation	Voluntary	Local	Sub Judice
12	5-Jun-2015	Death or Serious Injury - referral in relation to a missing person	Mandatory	Independent	Live
13	8-Jun-2015	Relevant Offence - officer having relationship with a solicitor	Mandatory	Local	Live
14	10-Jun-2015	Relevant Offence - excessive force used during a traffic stop - racial bias	Mandatory	Local	Live
15	12-Jun-2015	Criminal offence or discriminatory behaviour likely to lead to discipline disclosed sensitive info related to a murder enquiry	Mandatory	Local	Live
16	14-Jun-2015	Referral due to self inflicted burn injuries from pouring petrol over lower limbs	Mandatory	Local	Finalised
17	24-Jun-2015	Death or Serious Injury - Suicide	Mandatory	Local	Finalised
18	1-Jul-2015	False accounting - transferring charity funds to a personal account	Mandatory	Local	Live
19	1-Jul-2015	Death or serious injury - Suicide	Mandatory	Local	Finalised
20	3-Jul-2015	Perverting the course of justice - disclosed sensitive personal data linked to criminal investigations	Mandatory	Local	Live
21	7-Jul-2015	Allegation of discriminatory behaviour	Mandatory	Local	Live

22	9-Jul-2015	Death or Serious injury - Suicide	Mandatory	Local	Finalised
23	16-Jul-2015	Death or Serious injury - Suicide	Mandatory	Local	Finalised
24	27-Jul-2015	DP slipped on a bar of soap in the shower room whilst in police custody injuring lower back and head	Voluntary	Local	Finalised
25	28-Jul-2015	Fraud by false representation	Mandatory	Local	Live
26	9-Aug-2015	Injury sustained following police contact	Mandatory	Local	Finalised
27	19-Aug-2015	Serious sexual offence - Allegation of historical child sexual abuse	Mandatory	Local	Live
28	20-Aug-2015	Allegation of excessive force during arrest	Mandatory	Local	Live
29	27-Aug-2015	Serious Injury - Referral following silent call to FCR and CSA classing as hoax call resulting in no officers attending - GBH to victim	Voluntary	Independent	Finalised
30	1-Sep-2015	Injury following police contact - ankle injury from jumping a fence prior to arrest	Mandatory	Local	Live
31	18-Sep-2015	Death following police contact involving non stop RTC	Mandatory	Independent	Finalised

For Information	
Public/Non Public*	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	10 December 2015
Report of:	FORCE IMPROVEMENT ACTIVITY, LESSONS LEARNED MONITORING, IPCC LESSONS LEARNED REPORT
Report Author:	T/Det Supt MURPHY
E-mail:	paul.murphy@nottinghamshire.pnn.police.uk
Other Contacts:	nicola.thomas@nottinghamshire.pnn.police.uk
Agenda Item:	5

FORCE IMPROVEMENT ACTIVITY - LESSONS LEARNED MONITORING

1. Purpose of the Report

- 2.1 To inform the PCC in respect of force improvement activity, lessons learned monitoring, and the implementation of learning from the IPCC 'lessons learned' bulletins during the relevant period April - September 2015.

2. Recommendations

- 2.1 That the Audit and Scrutiny Panel notes the report.

3. Reasons for Recommendations

- 3.1 To provide the PCC with relevant information and oversight of Nottinghamshire Police response to lessons learned as a result of public complaints and internal conduct matters.

4. Context

- 4.1 The identification of organisational learning within the context of Professional Standards is sourced through assessment of three key business areas:
- Complaints from members of the public
 - Police conduct
 - Independent Police Complaints Commission (IPCC)
- 4.2 The strategic aim is to ensure best practice across the organisation by sharing knowledge and learning with relevant business areas.
- 4.3 In addition to organisational learning, individual accountability is expected of specific officers through "management action", which is managed as a performance matter at a local level.
- 4.4 Monitoring and evaluation of this approach is organised through the national police complaints recording system, "Centurion".
- 4.5 Where learning is considered relevant to the wider organisation it is shared with respective discipline heads including for example Learning & Development, Custody or Contact Management. Learning is also shared through the Police Intranet

and “Keeping You Informed” bulletins. Discipline heads are invited to review current practice against specific learning and if appropriate, deliver changes to policy and practice.

- 4.6 Governance and oversight of PSD organisational is secured at the ‘*Professional Standards, Integrity and Ethics Board*’ Chaired by Deputy Chief Constable Fish.
- 4.7 Monitoring, evaluation and reporting mechanisms have recently been developed, which will enhance the governance of learning and development at the *Professional Standards, Integrity and Ethics Board*. This scheme improves clarity of ownership for learning across a range of business disciplines as appropriate.

5. Learning from Complaints, Conduct, IPCC

- 5.1 Listed below are thematic examples of current learning during the reporting period. As described at 4.5, where appropriate, these topics will have been shared with discipline heads for consideration.

- 5.2 **Theme: Reducing dissatisfaction by improving appropriate communication.**
(Source: Centurion Lessons 377, 357, 372, 360, 391, 386).

Examples:

- Use of the public/private intercom from Custody Suites can have a detrimental impact on perception by clients and professionals receiving certain information from the public side. One event resulted in a complaint from a Solicitor. On reflection, a personal contact with a person may have resulted in a more appropriate contact given the nature of the matter in issue; personal contact would have saved time and avoided a complaint. **Shared with CJ Management Team.**
- Appointment booking systems for Managed Incidents can sometimes fail due to capacity or operational incidents taking priority. Delay or failure to meet appointments should be communicated directly with the relevant person. **Shared with Contact Management Leadership Team.**
- Timely and meaningful updates from the ‘Officer in the Case’ to the relevant person remain an important part of securing victim confidence and satisfaction. **Shared globally on ‘Keeping You informed’**

- 5.3 **Managing Seized Property.**
(Source: Centurion Lessons 365, 356, 361)

Examples of poor management of seized property lead to complaints and dissatisfaction. This tends to be experienced by persons who had been treated as a suspect, but no longer. Their entitlement to the return of items classed as exhibits is not treated as a priority and can result in complaints about the timeliness of property returned. Care and attention must be given equally to items seized but subsequently discounted as an exhibit. **Shared with Head of Archives & Exhibits**

5.4 **Managing Public Expectations** (Source: Centurion Lessons 378,)

Aligned to the above examples; communicating expectations is an increasing aspect to ensure public understanding of the limitations in which police operate. Further example is the operational capacity to maintain performance through the attendance criteria. Following the strategic direction to increase the number of calls for service without attendance; strong and positive communication is required both generally and at the point of contact.

Without a consistent and positive communication plan, an increase in complaints can be anticipated. **To be shared at next 'Professional Standards, Integrity and Ethics Board'**

5.5 **IPCC Learning**

One Learning the Lessons Bulletins has been released by the IPCC since April 2015 (see Appendix 1). This bulletin has been shared with Departmental and BCU leads inviting consideration as to how the evidence can be used to inform business locally.

5.6 Bulletin 22, was a general topic circulation with the following areas of interest.

Theme	Key question for policy makers
Threats to personal safety	How do you make sure officers involved in handling incidents of subjects served a safety warning share information effectively?
Dealing with abandoned calls	What advice do you give to control room operators dealing with calls where the caller is not talking with the operator or where the call is abandoned?
Classifying an incident as a concern for welfare	Do you provide call handlers with any prompts about information to collect from callers of missing persons? Do you advise them to ask about any relevant health conditions and any out of character behaviour?
Abuse of position	Is your force able to monitor how officers are using computer systems?

5.8 Protocols within Nottinghamshire Police have been reviewed against the challenge questions from the above bulletins. The organisation has satisfied itself that the aspect of learning are already fulfilled and no change is necessary.

6. Financial Implications and Budget Provision

6.1 No specific financial implications have been identified.

7. Human Resources Implications

7.1 No specific implications.

8. Equality Implications

- 8.1 No specific internal equality implications are identified. Learning around improving services to the vulnerable, the young and in respect of mental health services will enhance equality of service across the local communities.

8 Risk Management

- 9.1 The process as described ensures that learning is embedded in a way that mitigates against risk.

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

- 10.1. Strategic Priority Theme 1: Protect, support and respond to victims, witnesses and vulnerable people.

11. Changes in Legislation or other Legal Considerations

- 11.1 None.

12. Details of outcome of consultation

- 12.1 None

13. Appendices

- 13.1 Appendix 1: Copy of IPCC BULLETIN 24

LEARNING THE LESSONS

ASK YOURSELF:

Could it happen here?

www.ipcc.gov.uk/learning-the-lessons

Learning the Lessons bulletins summarise investigations conducted by the Independent Police Complaints Commission (IPCC) or police forces where learning opportunities are identified. Police forces facing similar situations to those described can use the experience of other forces to improve their policies and practices. The bulletin challenges forces to ask "Could it happen here?"

Bulletin 24

October 2015

General

Issues covered in this bulletin:

Managing intelligence

Personal safety warnings (case 1)
Linking intelligence (cases 1, 2, 5)
Abandoned calls (case 2)

Concerns for welfare

Definition of missing persons (cases 3, 4)
Carrying out physical welfare checks (case 5)
Shift handovers (cases 4, 5)
Cross-border enquiries (case 4)

Dealing with vulnerable adults

Use of computer systems (case 6)
Risk assessment (case 7)
Monitoring officer activity (case 7)



Call
handling

Cases
2, 3, 4



Crime and
investigation

Cases
1, 5



Information
management

Cases
1, 2, 3, 4, 5, 6



Neighbourhood
policing

Cases
2, 3, 5, 7



Professional
standards

Cases
6, 7



Public
protection

Cases
2, 3, 4, 5, 6, 7



Roads
policing

Case
4

Contacting us

Please email learning@ipcc.gsi.gov.uk with any queries or to join our mailing list.

Case summaries

Managing intelligence

1 Threat to personal safety



A man was given a personal safety warning after he was arrested on suspicion of supplying a noxious substance to his partner, which resulted in her hospitalisation and a dispute with her family.

As part of this warning the man was told not to return home, visit his partner in hospital, meet any of her friends, or tell anyone his whereabouts.

The woman died in hospital a few days later. After her death, an arson attack was carried out on the property she had shared with the man.

The officers investigating the arson attack spoke to the officers dealing with the investigation into the events leading to the woman's hospital stay because the two incidents involved some of the same people. However, no attempt was made to link or oversee the two investigations.

The officer dealing with the arson attack was not told about the personal safety warning given to the man by any of the people he spoke to, nor was it recorded on any force systems.

The officer asked the force's intelligence unit to find out whether there was any available intelligence to identify the offenders. They later found out that the woman's son had made a threat to kill the man. Unfortunately, the officer was on leave when this information was sent to him.

The man was discovered dead a few days later. The woman's son and another man were later charged with his murder.

Key questions for policy makers/managers:

- How do you make sure that all of the officers involved in handling incidents involving a person served with a personal safety warning share information effectively, to help them deal with incidents in a joined-up way?
- What steps has your force taken to make sure that force systems are updated and contain

the latest information about people who have been served with personal safety warnings, and the level of current threat to them?

- How do you make sure that important intelligence that could lead to finding an offender does not go un-actioned because a member of staff is on leave?
- Where new intelligence is received while a member of staff is on leave and this intelligence alters a risk, what guidance do you give to officers to make sure that this information is taken forward in their absence?
- What guidance do you give to officers on reviewing personal safety warnings or risk assessments to make sure that the response remains appropriate to the level of risk identified?
- How is information about personal safety warnings stored so that it is easily accessible to relevant staff when needed?

Key questions for police officers/staff:

- Are you aware of all the systems you can use to find out more about the risk posed to people involved in ongoing investigations?
- Do you use out-of-office messages to direct people to your line manager or another colleague when you are un-contactable, or where information may be time critical?

Action taken by this police force:

- The force director of intelligence reviewed the personal safety warning policies and protocols. All personal safety warning/personal conduct notices must now be accompanied by a completed threat assessment document which must be entered on to the force data management system without delay.
- All parties subject to either a personal safety warning or personal conduct notice must now have an information marker attached to their Police National Computer (PNC) nominal record. The information marker must identify the nature of the threat, the threat assessment database reference, and the name of the senior investigating officer who owns the warning.
- Intelligence unit detective inspectors must now make sure that as part of the daily scanning process in divisional and force intelligence units,

all intelligence about persons or addresses with existing threat assessment documents, personal safety warnings, or personal conduct notices is immediately brought to the attention of the senior investigating officer with responsibility for that warning, or in their absence another person with responsibility for the warning. A review should be made of the threat assessment database, personal safety warning or personal conduct notice in light of the further intelligence received.

- Appropriate de-briefing and additional awareness training was held around risk and threat and personal safety warnings for officers and staff.

Outcomes for the officers/staff involved:

- Two sergeants and an inspector involved in the case received management action.

 Click [here](#) for a link to the full learning report

Concerns for welfare

2 Dealing with abandoned calls



Around midnight police received a call from a member of the public who was concerned about a neighbour. The caller said that their neighbour was playing loud music and that he had suffered from fits in the past, and may be having a fit. Police and ambulance crews were sent. The ambulance arrived first but the crew could not get into the property and were unable to confirm the status of the man. A police control room operator phoned the man, spoke to him, and asked him to go and speak to the ambulance crew, which he agreed to do. After examining him the ambulance service called the police to say that they were no longer needed. The police log was then closed.

About an hour later the man called 999. While on the line, the operator could hear him apparently talking to himself and saying that he “was sick of people telling him how to live his life”. The operator was concerned and discussed this with the police call handler who was unable to get any response from him. The call handler cleared the line and tried to call him back without success. A log was created and then sent to dispatch.

The log was accepted and linked with the log about the earlier call from the man’s neighbour. The status of the call was changed from priority to resolved –

requiring no one to be sent as an ambulance had just attended and stood the police down. The log was then closed. No one from the police spoke to the man about this call and no attempt was made to get an update from the ambulance service.

Roughly an hour later the man again called 999, but this time said that he was going to hang himself. A log was created and police officers were sent to his home address. They forced entry and found the man hanging. He was taken to hospital but died a few days later.

Key questions for policy makers/managers:


- What advice does your force give to control room operators or dispatchers on dealing with calls where the caller is not talking with the operator, or where the call is abandoned? Is clear guidance available on when concerns about no response or a caller talking to themselves become a warning sign for mental health or distress?
- Does your force give advice to control room operators and dispatchers on dealing with repeat contacts from members of the public, and how to make sure that circumstances are not changing between contacts?
- Where you receive a call about an incident that has already been responded to by other agencies, for example the ambulance service, what guidance do you give to control room operators and dispatchers about finding out from these agencies what action has already been taken before deciding how to respond to the call or sending officers?

Action taken by this police force:

- The force accepted that it did not have a policy on how staff should deal with silent/abandoned 999 calls. This was taken forward as a priority and a force ‘abandoned calls’ procedure was developed.

Outcomes for the officers/staff involved:

- The police control room operator who downgraded the incident following the second call received management action.

 Click [here](#) for a link to the full learning report

3 Classifying an incident as a concern for welfare



In the early hours of the morning staff from a hostel for the homeless called the police to report that a resident had failed to return before the 11pm curfew. Hostel staff told police that this was out of character and that the man was an alcoholic.

An incident log was opened and classified as concern for welfare, and graded for response within 24 hours. The incident was passed to a control room operator who checked the Police National Computer (PNC) and found a warning marker dating back four years about suicidal threats.

Officers on patrol were asked to keep a look out for the man, but over the next few hours there were no reported sightings.

Police called the hostel around 7am and were told that the man had still not returned. The incident log was updated with new information that the man was depressed. After this call, the control room operator requested via the duty inspector that the man be dealt with as a missing person.

Enquiries were made into the man's whereabouts and a risk assessment was completed which led to the man being assessed as a high-risk missing person due to his alcoholism and suicidal threats. The incident log was updated with this information.

Shortly after 11am a member of the public discovered the body of a man in a river. The man had fallen into the river while drunk.

Definition: missing person

At the time of the incident the Association of Chief Police Officers (ACPO) defined a missing person as "anyone whose whereabouts is unknown whatever the circumstances of disappearance. They will be considered missing until located and their well being otherwise established".

In 2013 this definition was updated to state that: "anyone whose whereabouts cannot be established and where the circumstances are out of character or the context suggests the person may be subject of crime or at risk of harm to themselves or another."

Current guidance is available on the College of Policing website:

- The Management, Recording and Investigation of Missing Persons (2010)
- Interim Guidance on the Management, Recording and Investigation of Missing Persons (2013)

Key questions for policy makers/managers:

- What steps has your force taken to make sure that staff understand the national definition of a missing person?
- What action are operators working in the control room advised to take when they receive calls from members of the public expressing concern about someone's welfare? Would your force have treated the situation described in case 3 as a missing person case from the start?
- Do you provide call handlers with any prompts about information to collect from callers when they call to report someone is missing? Do you advise them to ask about any relevant health conditions and any out of character behaviour?
- Does your force have agreements with local hostels setting out how you will respond to incidents involving residents?

Action taken by this police force:

- Improvements have been made to the incident recording system. Selecting 'concern for welfare' now prompts the call handler to complete a further risk assessment matrix.
- The policy on recording incidents as a 'concern for welfare' has been updated.
- An ongoing training programme for control room staff has been put in place, focusing on the national definition of a missing person and what initial action should be taken when a missing person is reported.

Outcomes for the officers/staff involved:

- There were no misconduct or criminal outcomes for any of the police officers or police staff involved in the handling of this incident.



Click [here](#) for a link to the full learning report

4 Missing delivery driver



Around 6pm on a Friday a lorry driver was reported missing by his employer after he did not complete his deliveries. The police were told that the man had made a delivery at 8am but had not been seen

since. His employer told police that this behaviour was very out of character for the man.

The man lived in France but worked in the UK.

The employer telephoned the police force in the area where his depot was based, but the man's last delivery was made in a different force area.

The call handler requested checks on the whereabouts of the man's vehicle and completed a risk assessment. Only one area of concern was found at that time – that this was out of character for the man. She then passed the incident onto the duty control room inspector. The duty control room inspector closed the incident, saying that the man was probably caught up in traffic.

The call handler was concerned that the incident had been closed, and told her supervisor. Her supervisor spoke with the duty inspector, but the case remained closed.

Just after 11pm the employer called again, asking for an update. The call handler left a voicemail and text message for the missing man, and placed a marker against his vehicle.

The employer called again at 9am and then 3.30pm the next day. By this time the shifts in the control room had changed. After the employer's second call that day the new duty inspector in the control room told an officer to visit the employer to get more information, and asked that the incident be passed to the police force where the missing man made his last delivery.

When questioned as part of the investigation into the police handling of this incident, the new duty inspector said he asked the officer to complete a missing person enquiry form, but the officer said he was not given this instruction. The result was that a missing person enquiry form was not completed when it should have been.

Shifts had now changed again in the control room and the duty inspector who initially handled the incident was now back on duty. The officer who visited the employer updated a radio operator with details of his visit. He then updated the incident log and called the duty inspector in the control room. The radio operator asked if the incident should be forwarded to the other police force, but the duty inspector said that he did not think anything more should be done as he did not think the man was missing. This inspector closed the incident log again.

Around noon on Sunday the employer called for an update; it was now 42 hours since the man had been

reported missing. The employer spoke to the station desk officer, who telephoned the other police force and found out that they were not aware of the incident. The station desk officer passed the incident log back to the control room, and at around 3.30pm the incident was forwarded to the other police force.

At 1.30pm on Monday a sergeant from the other force phoned and said he did not think this was a missing person incident for his police force, but should remain with the force who received the report.

An hour later a sergeant at the original police force agreed that his police force would take ownership of the enquiry. A risk assessment was carried out on the missing man, and the incident was appropriately graded as high risk.

In the mean time the employer had asked a friend to re-trace the route the man would have taken. At 9.30pm the same day, over three days after he was reported missing, the man was found dead in his vehicle at a service station, five miles away from the location of his last known delivery. The man had died of natural causes. The post mortem suggested that even an immediate police response would probably not have prevented his death.

Key questions for policy makers/managers:

- What guidance or training has your police force given to officers to make sure that key information is passed over when shifts change?
- Does your missing person policy give clear direction on where ownership lies in cross-border incidents?
- Have your systems been set up to prompt officers to review incidents involving missing persons after a certain amount of time?
- Where an incident is recorded as a missing person incident, do your systems offer any prompts to complete a missing person enquiry form?
- What steps are taken to make sure that instructions given via radio are auditable if necessary, for example where it is disputed that instructions were given?

Key questions for police officers/staff:

- Are you confident in going to a manager for a second opinion about a decision?
- If you disagree with the decision taken by a colleague to close an incident, do you feel comfortable challenging this?

- Are you aware of when your force requires a senior manager to be involved in decision making around reports of missing persons or concerns for welfare?

Action taken by this police force:

- The force missing person policy was updated to reflect national guidance on dealing with cross-border incidents.
- All officers were reminded of the need to complete missing person enquiry forms, regardless of the level of risk.
- The decision to purchase recording equipment for radios is being kept under review.

Outcomes for the officers/staff involved:

- The duty inspector who repeatedly closed the log received a final written warning for failing to follow force policy and national guidance.

Guidance: cross-border missing person

Guidance issued by the Association of Chief Police Officers on *Management, Recording and Investigation of Missing Persons (Second Edition) (2010)* emphasises that the police area that receives a missing person report should record it and carry out all necessary initial actions before transferring the report to another police area for investigation.



Click [here](#) for a link to the full learning report

Dealing with vulnerable adults

5 Acting on risks already identified



In the early hours of the morning two officers were sent to a phone box after a woman called the police, a scuffle was heard in the background and the call ended. The woman, who had a history of domestic abuse, was calling to report that her former partner had stolen her mobile phone and keys.

Officers went there but could not find the woman and attempts to contact her were unsuccessful.

A witness suggested that she was likely to be with her former partner. Officers did not visit the man's property to check if the woman was there, but focused their search on the local area. The officers

did not raise the alarm for abduction with their supervisor or consider starting a missing persons' investigation. Also, despite being told the woman had a risk management plan, the officers did not ask for further details.

The woman contacted the force saying that her former partner had given back her mobile phone and keys, and that she was safe at another address. She would not give any details. She was advised to call back if she had any further problems. The matter was not correctly tagged as a domestic abuse matter by the call handler. However, details of the call were given to the officers looking for the woman. Because of their concerns, they asked for someone to visit the woman the next morning. Neither the control room supervisor nor the duty inspector were told about the action taken.

No further investigatory options were considered, in particular the use of automatic number plate recognition to trace the partner's vehicle. The action to follow up with the woman was passed to the next shift without a formal handover, and was not reviewed at the next day's daily management meeting. It was filed for further action.

During the next five days the incident continued to be passed between shifts. The incident was reviewed twice by divisional supervisors but was not allocated to an officer to follow up.

The force was then alerted by a Women's Aid worker that the woman had not attended a pre-arranged meeting. Following further investigation the man's property was searched and the woman was found. The man was later arrested and charged with 14 counts of rape and offences relating to the woman's abduction. He was convicted and sentenced to ten years in prison.

Key questions for policy makers/managers:

- How does your police force record that high risk management plans have been completed, and that relevant people can access them?
- How do you make sure that officers use high risk management plans as an intelligence source when dealing with relevant incidents?
- How do your control room staff/supervisors make sure that calls are not simply passed from shift to shift without positive intervention?
- Where a person could be at risk of harm, does your police force require officers to physically check on their welfare?

- Does your police force have a policy which details the length of time an incident log can be held without positive action?

Key questions for police officers/staff:

- What further action would you have taken in this situation to trace the woman?

Action taken by this police force:

- The force has reviewed their processes to make sure that where high risk management plans are created the risk is recorded on systems, visits are undertaken, and staff review any plans that are in place.
- Duty inspectors are now asked to provide written handovers which include specific reference to incidents where managing risk is a concern.
- A new post has been created to quality-check the response to reports of potential abuse.

Outcomes for the officers/staff involved:

- The two officers attending the original report received management action for missed lines of enquiry and failure to update their supervisor.



Click [here](#) for a link to the full learning report

6 Abuse of position



Police received a report that an officer had forced a woman to perform a sexual act. The officer came into contact with the woman after responding to a domestic abuse incident at her property.

The officer was a first response officer and a trained sexual offences liaison officer, and regularly came into contact with members of the public and victims of crime.

The allegations were first dealt with by a senior officer until the matter could be taken no further and the woman refused to pursue the allegation because of fears about how this might affect her family. The matter was referred to the professional standards department (PSD) for monitoring.

After a 12 month review the matter was referred to the force's anti-corruption unit. The unit used a variety of covert and conventional investigative techniques to gather evidence about the officer's alleged inappropriate behaviour.

Investigations found that the officer frequently used the police force's systems to access information about women aged 18 to 30 years, often making follow-up calls or visits to women without having any valid reason for doing so.

The officer claimed that his actions were driven by a desire to find intelligence about criminal activity in the area he was operating in.

The officer was suspended while enquiries were made to trace and interview ten women whose records the officer was shown to have viewed most frequently. Five of these women went on to make complaints against the officer about inappropriate sexual conduct. Another woman was identified as a result of a surveillance operation, and she later made a complaint about the officer.

The officer continued to deny the alleged offences and continued to claim that he had only checked records for valid purposes.

Key questions for policy makers/managers:

- If a complaint about inappropriate sexual conduct is made, would this automatically trigger a review of the individual's complaint history, IT use, timekeeping, and patterns of overall behaviour?
- Has your force chosen sensitive posts, such as those where officers come into contact with vulnerable victims, for enhanced vetting?
- Is your force able to monitor how officers are using computer systems?
- Are computer records (including the Police National Computer (PNC), the Police National Database (PND), and other systems) routinely dip-sampled to ensure proper use and to find any concerning patterns? For example, continuing to text or phone victims of crime, or offenders, following initial contact; being overly friendly and familiar; or displaying an unusual interest in, or preference for, attending a particular type of incident?
- If a concern was found, at what point would you consider using covert methods to gather supporting evidence?
- What information do you provide to victims to help them understand the service they should receive from the police or the support that is available from other agencies?

- How do you make sure that officers are aware of their obligations to report concerns about contact their colleagues have with victims, witnesses and suspects?


Action taken by this police force:

- The force is exploring whether different levels of access can be applied to computer and intelligence systems, only allowing individuals to access information that is relevant to their role and position.
- The force is also exploring the use of more intrusive auditing tools similar to those used on the PNC, which makes a random pop-up screen appear asking the user to provide their reasons for using the system.

Outcomes for the officers/staff involved:

- The officer was dismissed following a misconduct hearing. He was sentenced to 15 months imprisonment after being convicted on one count of misconduct in a public office. He also received a fine for offences under the Data Protection Act 1998.

In 2012 the IPCC published a joint report with the Association of Chief Police Officers (ACPO) looking at the abuse of police powers to perpetrate sexual violence. The report, available from the IPCC website at www.ipcc.gov.uk includes a number of recommendations and a checklist designed to help the police prevent, spot and respond to any similar incidents.

 Click [here](#) for a link to the full learning report

7 Contact with a vulnerable adult



A Police Community Support Officer (PCSO) was allocated as a single point of contact to a woman who was considered vulnerable due to alcoholism, following a referral from the local authority.

The PCSO made a number of visits to the woman when on duty and in uniform to see if he could help her with anything. Over time his visits became more regular and lasted longer, and on occasions they would embrace.

The PCSO shared his work mobile phone number with the woman and they exchanged text messages. Some of the text messages sent by the PCSO were sexual in nature.

After 18 months of the PCSO being the woman's point of contact, the woman told two neighbours that the PCSO had touched her inappropriately and that she thought he wanted a sexual relationship with her. The woman told her GP too, who raised a complaint about the PCSO on her behalf.

Key questions for policy makers/managers:

- How are contact arrangements with vulnerable adults made and agreed? To what extent does a supervisor oversee these agreements?
- What steps does your police force take to monitor the contact that officers and staff have with vulnerable people within the community?
- Do you have a policy in place around single crewed units carrying out welfare visits to vulnerable adults?
- Do you regularly review the appointment of single points of contact to vulnerable adults to check if arrangements remain appropriate?
- What steps have you taken to make sure that officers know how to report concerns about contact their colleagues have with victims of crime or vulnerable adults?

Key questions for police officers/staff:


- Do you give any consideration to how your actions could put you at risk of being seen as behaving inappropriately when interacting with vulnerable adults?
- Do you know where to go to report concerns over suspected inappropriate contact a colleague may be having with a victim of crime? Would you feel confident making such a report?

Action taken by this police force:

- Risk assessments are now undertaken before agreeing a contact plan with vulnerable adults in similar situations.
- Contact with vulnerable adults is now not carried out by single-crewed units, and visits are monitored by supervisors.

Outcomes for the officers/staff involved:

- A complaint of discreditable conduct against the PCSO was substantiated, and a file was passed to the human resources department to carry out a disciplinary investigation.
- The PCSO resigned before any disciplinary action could be taken.

 Click [here](#) for a link to the full learning report

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Related reading

The Learning the Lessons pages on our [website](#) contain links to a variety of research and other publications relating to the cases featured in this bulletin, as

well as previously published bulletins, and copies of the more detailed learning reports which accompany each case.

For Information	
Public/Non Public*	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	10th December 2015
Report of:	DCC Fish
Report Author:	DI Rob ALLISON
E-mail:	robert.allison@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	6

PROFESSIONAL STANDARDS CONFIDENTIAL REPORTING PROCEDURE

1. Purpose of the Report

- 1.1 To inform the Audit and Scrutiny Panel regarding the above procedure and to outline how the organisation, in general and the Professional Standards Directorate, manages and deals with those members of the organisation who make reports concerning breaches of Professional Standards.
- 1.2 In particular, how they can be provided with support and confidentiality, when appropriate and necessary.

2. Recommendations

- 2.1 That the Panel receive assurance from the processes in place relating to confidential reporting as detailed within the report.

3. Reasons for Recommendations

- 3.1 To provide the Panel with relevant information and oversight in respect of how Nottinghamshire Police ensures that appropriate systems are in place to both encourage and support officers and staff to report concerns regarding unethical behaviour or 'wrong doing'.

4. Summary of Key Points

- 4.1 There can be no more important qualities for members of the police service than that they are honest and act with integrity. Without these key attributes public trust and confidence will be eroded. The reputation of any organisation must always be considered as one of its most cherished assets.
- 4.2 The Procedure for Professional Standards Reporting aims to create a climate where staff feel a genuine commitment to openness and transparency when reporting breaches of Professional Standards, their motivation arising from a desire to maintain the integrity of the police service and in the knowledge that such action 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 staff by providing a broad

range of options for reporting breaches of Professional Standards and providing consistent and meaningful support to colleagues who report concerns.

- 4.4 Members of staff have a clear responsibility to report suspected breaches of Professional Standards by others in Nottinghamshire Police and should feel that they can report such breaches openly and with the support of their colleagues and managers in line with our PROUD Values and Code of Ethics.
- 4.5 The procedure identifies guiding principles and some examples of what activity or conduct should be reported, before outlining the different mechanisms for making such reports, which can be done anonymously, confidentially or in an open report.
- 4.6 Professional Standards Directorate have a key part to play in this procedure once information comes into the Directorate, including agreeing a 'Statement of Expectations' with the member of staff and including offering support from a group of trained 'Supporters'.
- 4.7 The 'Advocates' have been established as part of this procedure to offer support on a one to one basis. The volunteer police officers and police staff have been given training and an input from PSD as to the procedure and they do not work within PSD, but can be utilised where necessary as a conduit for the staff member in terms of the progression and updates of any enquiry. This is in addition to any welfare support.
- 4.8 The 'Advocates' are being developed to include officers/staff who are being investigated for gross misconduct, this will also be in addition to any welfare support they have, and will include additional support from CIC. The advocates identified are attending a training and development day involving Learning and Development and Professional Standards Directorate. Liaison with the Force Corporate Communications Department to promote and re-launch the refreshed approach to supporters is continuing.
- 4.9 For any officers and staff who are concerned coming forward to report any suspicion of 'wrong doing' or unethical behaviour, the force has provided an anonymous and confidential e-reporting system called 'Integrity Messenger'. This system allows two-way communication with the force counter-corruption unit while preserving the anonymity of the referee for as long as they feel the need. It also allows rapport and confidence to be built which may lead to the referee providing personal details in due course.
- 4.10 In the relevant period (April 1st 2015 to September 30th 2015) 30 referrals were made to the Counter Corruption Unit comprising of Integrity Messenger, Confidential Reporting Line & anonymous internal contact. This compares to 33 referrals in the previous six months.

5. Financial Implications and Budget Provision

5.1 No specific financial implications are noted

6. Human Resources Implications

6.1 No specific HR implications are noted

7. Equality Implications

7.1 This document has been drafted to comply with the general and specific duties in the Equality Act 2010; Data Protection Act; Freedom of Information Act; ECHR; Employment Act 2002; Employment Relations Act 1999 and other legislation relevant to policing.

7.2 This procedure is robust and the evidence shows there is no potential for discrimination and that all opportunities to promote equality have been taken.

8. Risk Management

8.1 It is essential the public have confidence in the service Nottinghamshire Police provide.

8.2 The overwhelming majority of individual members of police personnel including Police Officers, Police Staff and members of the Special Constabulary within the Nottinghamshire Police are dedicated, hard working, compassionate, and deliver policing services with a high degree of integrity. Regrettably, there are a small number of police personnel that are guilty of and vulnerable to, unethical behaviour, dishonesty and corruption. The harm they do far outweighs the numbers they represent

8.3 We all have a part to play in enhancing the integrity and reputation of the Force. This process starts with recognition that we are all individually accountable for our actions and responsible for our behaviour

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

9.1 By having a Professional Standards Reporting Procedure we are able to set out ways that staff can make reports concerning breaches of Professional Standards and ensure we support the organisations 'Vision', 'Values' (PROUD) and 'Plan' 'To cut crime and keep you safe', 'To spend your money wisely' and 'Earn your trust and confidence', ensure all relevant parts of the organisation are given help to improve our service and ultimately achieve the force priorities.

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	
Report to:	Audit and Scrutiny Panel
Date of Meeting:	10 December 2015
Report of:	R. Adams, Commercial Director, East Midlands Strategic Commercial Unit
Report Author:	R. Adams, Commercial Officer
E-mail:	Ronnie.adams@emscu.pnn.police.uk
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Agenda Item:	7

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

ANTI-FRAUD & CORRUPTION POLICY – REVIEW OF COMPLIANCE (April – September 2015)

1. Purpose of the Report

- 1.1 The East Midlands Strategic Commercial Unit (EMSCU) published their policy entitled Prevention of Fraud and Corruption in the Procurement Process (the Policy) on 16th May 2013 – see Appendix A. The policy is written for both partner Forces and whilst written to be applicable to procurement activity conducted by EMSCU for contracts with a total value of £25k and above, the principles are equally applicable to lower level procurements. The two partner Forces are Nottinghamshire Police and Northamptonshire Police.
- 1.2 The report informs the Audit and Scrutiny Panel of the level of compliance against the EMSCU Fraud and Corruption Policy for the period April 2015 – September 2015.

2. Recommendations

- 2.1 It is recommended that the Panel notes the following:
- 2.2 That EMSCU's Commercial Director has received no reports of any fraudulent activity following any audit of procurement activity undertaken by the Force.
- 2.3 That EMSCU's Head of Supplier Services (to which the Policy directs any individual wishing to report any suspicion of fraudulent activity) has advised that there have been no reports of any fraudulent activity in relation to procurement activity undertaken within Nottinghamshire Police.
- 2.4 That EMSCU's Head of Supplier Services has written to Suppliers to re-iterate the Force position in relation to Gifts, Gratuities and Hospitality. The relevant Force procedure states that Police Officers and Staff should not accept the offer of any gift, gratuity, favour or hospitality as to do so might compromise their impartiality or give rise to a perception of such compromise.

2.5 That EMSCU's Commercial Awareness training programme which was launched in December 2013 is being delivered on an on-going basis, includes content on the prevention of fraud and corruption in the procurement process.

2.6 In addition EMSCU have included reference and guidance to Conflicts of Interest and Gifts & Hospitality on procurement documents in relation to suppliers notifying us if they have any 'relationship' with any member of the Forces. We have also included links to the Code of Ethics.

PQQ – Conflict of Interest, Gifts & Hospitality

ITT - Conflict of Interest, Gifts & Hospitality

RFQ - Conflict of Interest, Gifts & Hospitality

Evaluation Code of Conduct - Conflict of Interest

Tender Evaluation Panelist Declaration – Conflict of Interest

3. Reasons for Recommendations

3.1 To give the Panel confidence that there is policy, guidance and training in place to mitigate the risk of fraudulent activity occurring during the procurement process.

4. Summary of Key Points

4.1 Nothing further to note.

5. Financial Implications and Budget Provision

5.1 Not applicable

6. Human Resources Implications

6.1 Not applicable

7. Equality Implications

7.1 Not applicable

8. Risk Management

8.1 EMSCU maintains its own Risk Register and manages and controls all identified commercial risks. Currently, there are no high risks recorded in relation to fraud and corruption.

8.2 If any risks of a significant nature are identified then these are escalated and picked up via the Force Strategic Risk Register and managed appropriately through this process.

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

9.1 Not applicable

10. Changes in Legislation or other Legal Considerations

10.1 None to note at present.

11. Details of outcome of consultation

11.1 Not applicable

12. Appendices

12.1 The Policy is attached to this report at APPENDIX A.

East Midlands Strategic Commercial Unit



TITLE OF DOCUMENT	PREVENTION OF FRAUD AND CORRUPTION IN THE PROCUREMENT PROCESS
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VERSION CONTROL

Version No	Published Date	Review Date	Document Owner	Document Author	Reason for issue
1.0	16 th May 2013	16 th May 2014	Graeme Unwin (Procurement Policy Manager)	Graeme Unwin (Procurement Policy Manager)	New process
1.1	18 th Nov 2013				New Form created
1.2	23 rd Jan 2014				Minor amendment
1.3	23 rd June 2014				Signposting how to report fraud

PROCUREMENT FRAUD

Procurement is a particularly high risk area in terms of fraud. It is important that EMCSU officers, Force officers and staff involved in the procurement process are aware of procurement fraud risks and able to recognise and report potentially fraudulent activity.

There are two basic types of procurement fraud:

- i) Collusion between procurer and supplier
- ii) Collusion between suppliers

Listed below are the specific fraud risks that fall under these two general headings (based on information provided by CIPFA), including controls for mitigating the risks. Whilst the Force(s) Contract Procedure Rules and Standing Orders embed these controls, Force officers and staff should be conscious of the risks and the reasons for the controls.

COLLUSION BETWEEN PROCURER AND SUPPLIER

The principle Risks that could exist in relation to fraud during the relationship between the procurer and the supplier are as follows -:

- A need / requirement is invented
- Matching a specification to favour a particular supplier
- Supplier introduced to selection / evaluation process by single officer
- Tender invitations only made to preferred supplier
- Provision of information is only provided to preferred supplier
- Tender documents disappear or are altered
- Inadequate records showing, for example, when tenders were received
- Undeclared interests of members of the evaluation panel or bidders
- Tender assessment criteria not established, allowing manipulation of the evaluation
- Use of non-standard contracts, including an overly complex / vague schedule of charges.
- Payment risks, e.g. payment for goods that were not received or were of lower quality, over ordering, duplicate invoices, suspicious invoices (no valid VAT no., mobile phone no. only, little / vague information, round sum amounts, sequential invoice nos. over extended period).

Controls:

- Specifications drafted wherever possible, as a result of the Force Procurement Business Partner consulting with users and the supply market (not just one provider), encouraging innovation by stating outcomes wherever possible, and stating 'or equivalent' wherever appropriate
- Documented policies and procedures. For example, how and in what circumstances shortlists are compiled (see Clause 7.6 and 7.14 of the Contract Procedure Rules)
- Authorisation and documentation of exceptions from policy and procedure (see Clause 8.4 of the Contract Procedure Rules and specifically Clause 7.5 – Exemptions to normal procedures/single tender action)
- Standing / Approved List membership being subject to authorisation, and adherence to submission, financial and technical criteria (see Clause 7.8 of the Contract Procedure Rules)
- Standing / Approved List / Framework Agreement usage monitored to track for example contract awards
- Equality of opportunity for all suppliers to submit tenders (see Clause 7.6 of the Contract Procedure Rules)
- Management trail – documented evidence of how suppliers were selected (see Clause 7.18 of the Contract Procedure Rules)
- Clear instructions in independently despatched tender invitation documents

- Any clarifications following the issuing of the Request for Quotation or Invitation to Tender are provided to all potential bidders
- Declaration of interests of evaluation panel members – completion of Tender Panellist Declaration form (Form Ref EMSCU 002) as per Appendix A (see Clause 2.3.2.1 of the Contract Procedure Rules)
- Declarations of interests of tenderers. The following question (or similar) should be asked in the Pre-Qualification Questionnaire or Invitation to Tender:
 - *To the best of your knowledge, does any director or senior officer of your organisation have any personal or financial connection with any member or senior officer of Nottinghamshire Police / Derbyshire Constabulary / Northamptonshire Police?*
- Procedures for tender receipt, e.g. fully auditable for every stage of the tender process using the Proactis e-tendering system, including recording, date/time stamping, opening, custody (see Clause 7.11 of the Contract Procedure Rules)
- Evaluation methodology and criteria formally established prior to issuing Request for Quotation or Invitation to Tender (see Clause 7.14 of the Contract Procedure Rules)
- Policy for post tender negotiation (see Clause 7.15 of the Contract Procedure Rules)
- Contract conditions approved by Legal Services
- Documentation of the recording, authorisation, acceptance (see Clause 7.11), notification to tenderers (see Clause 7.16) and retention of tender documents (see Clause 7.18)
- Ordering, receipt and invoicing in compliance with approved electronic system, whether National Police Procurement Hub (NPPH), Force(s) Financial System, Procurement Card

Valuation of works and services

Risks:

- Valuations are made at face value without checks and / or verification to supporting documentation
- Authorisation of payments is made without assurance that checks have taken place
- Inflated claims for payment
- Due damages and credits not being deducted

Controls:

- Checking and sign off of interim valuation certificate
- Full supporting documentation provides completeness, for example how the valuation was compiled, calculated, that deductions (such as for defective work) are included and mitigating actions taken on delays
- Adherence to Force(s) Financial Regulations and the necessary checks of the above prior to payment certification
- Documentation and approval of decisions to deduct damages/apply credits

Collusion between suppliers

Risks:

- Suppliers are part of a cartel and divide up contracts between them by sharing tender information
- Pressure on non-cartel members to not submit tenders

Controls:

- Suppliers appointed on the basis of quality as well as price – most economically advantageous tender
- Monitoring of tender activities and market awareness by Procurement Services – to identify suspicious behaviour, e.g.:
 - patterns of successful tenderers
 - high margins between tenders
 - same price, discounts, service, credit terms offered by tenderers
 - unexpected refusal to tender
- Maintain the confidentiality of tenderers

How do you report suspected collusion between procurer and supplier or between suppliers?

*Inform Ronnie Adams, Commercial Director, EMSCU
(Ronnie.adams@emscu.pnn.police.uk) Mobile: (07702 141531)*

Or

Employees should use their internal Force reporting system for incidents of suspected corruption. This is usually signposted on the Force Intranet or employees can contact their Professional Standards Department for further information.

EMSCU FORM 002

**TENDER EVALUATION PANELLIST
DECLARATION REGARDING ANY CONFLICT OF INTEREST
AND CONFIDENTIALITY UNDERTAKING**

I, (Title) (Name) (Surname)
(Job title) (Organisation/Department)
(Email address) (Contact phone number)

Conflict of Interest

Conflict of Interest refers to situations in which personal interests (which may include financial interests) may compromise, or have the appearance of, or potential for, compromising professional judgement and integrity and, in doing so, the best interests of Nottinghamshire Police and Northamptonshire Police.

Examples of conflicts of interest include: *(This is not an exhaustive list)*

- Having a financial interest (e.g. holding shares or options) in a potential tenderer or any entity involved in any tendering consortium
- Having a financial or any other personal interest in the outcome of the evaluation of any tender evaluation process
- Being employed by (as staff member or volunteer) or providing services to any potential tenderer
- Being a member of a potential tenderer's management/executive board
- Receiving any kind of monetary payment or non-monetary gift or incentive (including hospitality) from any tenderer or its representatives
- Canvassing, or negotiating with, any person with a view to entering into any of the arrangements outlined above
- Having a close member of your family (which term includes unmarried partners) or personal friends who falls into any of the categories outlined above

Having any other close relationship (current or historical) with any potential tenderer

It is the individual's responsibility to ensure that any and all potential conflicts are disclosed to the EMSCU (the Chair of the Tender Evaluation Panel) in writing prior to them becoming involved in any procurement process. Individuals will be excluded from the procurement process where the identified conflict is in the EMSCU's opinion material and cannot be mitigated. The decision as to whether the identified conflict is material, and whether any mitigating arrangements are required, is to be made by the line manager of the Chair of the Tender Evaluation Panel (with support from the respective Commercial Officer).

Option 1:

"I do not have any conflicts of interest that prevent my full and unprejudiced participation in any procurement process.

I also declare that I will inform the EMSCU immediately, should my circumstances change in any way that effects this declaration."

Signature

Date

Option 2:

"I **do have** a conflict of interest that may prevent my full and unprejudiced participation in a procurement process. The nature of this conflict of interest is described below:

I also declare that I will inform the EMSCU as soon as is practicable, should my circumstances change in any way that effects this declaration."

Signature

Date

Confidentiality Undertakings

"Procurement process" encompasses any formal and informal meetings, associated discussions, meeting preparation and follow up or any other related activity.

"Information" means all information, facts, data and other matters of which I acquire knowledge, either directly or indirectly, as a result of my activities as an evaluator of any supplier Pre-Qualification Questionnaire or Tender submissions or tender interviews/presentations etc.

"Documents" means all draft, preparatory information, documents and any other material in either paper or electronic form, together with any information contained therein, to which I have access, either directly or indirectly, as a result of my participation in any procurement process. Furthermore, any records or notes made by me relating to information or documents shall be treated as Confidential Documents.

I understand that I may be invited to participate either directly or indirectly in the procurement process and agree:

1. To treat all information and documents under conditions of strict confidentiality
2. Not to disclose, make copies of, or discuss any received information with any person who is not a member of the Tender Evaluation Panel (without the prior written approval of the Chair of the Tender Evaluation Panel)
3. Not to use (or authorise any other person to use) information and documents other than for the purpose of my work in connection with the procurement process
4. To return documents to the Chair of the Tender Evaluation Panel as soon as the evaluation process is complete

Unless otherwise agreed with the Chair of the Tender Evaluation Panel, and subject to relevant legislation, this undertaking applies until the end of the contract, including any contract extensions.

This undertaking shall not apply to any document or information that becomes public knowledge otherwise than as a result of a breach of any of the above undertakings.

Signature

Date

**PLEASE FORWARD THE COMPLETED AND SIGNED FORM
TO THE CHAIR OF THE EVALUATION PANEL**

For Information / Consideration	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	10th December 2015
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
E-mail:	
Other Contacts:	Andrew Cardoza
Agenda Item:	8

EXTERNAL AUDIT ANNUAL AUDIT LETTER

1. Purpose of the Report

- 1.1 To provide members with a copy of the Annual Audit Letter - the final stage in the Statement of Accounts 2014-15 process.

2. Recommendations

- 2.1 Members are requested to consider and forward to the PCC and CC for approval.

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 Annual Audit Letter is attached at **Appendix A** this is the final part of compliance with the Accounts and Audit Regulations for closure of the 2014-15 accounts.
- 4.2 The Letter itself is not dissimilar to the External Highlight report presented to this panel at the September meeting.

5. Financial Implications and Budget Provision

- 5.1 None as a direct result of this report.

6. Human Resources Implications

- 6.1 None as a direct result of this report.

7. Equality Implications

- 7.1 None as a direct result of this report.

8. Risk Management

8.1 None as a direct result of this report.

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

9.1 This report complies with good governance and financial regulations.

10. Changes in Legislation or other Legal Considerations

10.1 None – this complies with the Accounts & Audit Regulations.

11. Details of outcome of consultation

11.1 Not applicable

12. Appendices

12.1 Appendix A - External Audit – Annual Audit Letter.



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Annual Audit Letter 2014/15

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

October 2015



The contacts at KPMG in connection with this report are:

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Report sections

- Headlines

Appendices

1. Summary of reports issued
2. Audit fees

Page

2

5

6

This report is addressed to the Authority and has been prepared for the sole use of the Authority. We take no responsibility to any member of staff acting in their individual capacities, or to third parties. The Audit Commission issued a document entitled *Statement of Responsibilities of Auditors and Audited Bodies* summarising where the responsibilities of auditors begin and end and what is expected from audited bodies. We draw your attention to this document which is available on Public Sector Audit Appointment's website (www.psaa.co.uk).

External auditors do not act as a substitute for the audited body's own responsibility for putting in place proper arrangements to ensure that public business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively.

We are committed to providing you with a high quality service. If you have any concerns or are dissatisfied with any part of KPMG's work, in the first instance you should contact Andrew Cardoza, the engagement lead to the Authority, who will try to resolve your complaint. If you are dissatisfied with your response please contact the national lead partner for all of KPMG's work under our contract with Public Sector Audit Appointments Limited, Trevor Rees (on 0161 246 4000, or by email to trevor.rees@kpmg.co.uk). After this, if you are still dissatisfied with how your complaint has been handled you can access PSAA's complaints procedure by emailing generalenquiries@psaa.co.uk, by telephoning 020 7072 7445 or by writing to Public Sector Audit Appointments Limited, 3rd Floor, Local Government House, Smith Square, London, SW1P 3HZ.

This report summarises the key findings from our 2014/15 audit of the Nottinghamshire Police and Crime Commissioner (PCC) and Nottinghamshire Chief Constable (CC).

Although this letter is addressed to the Police and Crime Commissioner and Nottinghamshire Chief Constable, it is also intended to communicate these issues to key external stakeholders, including members of the public.

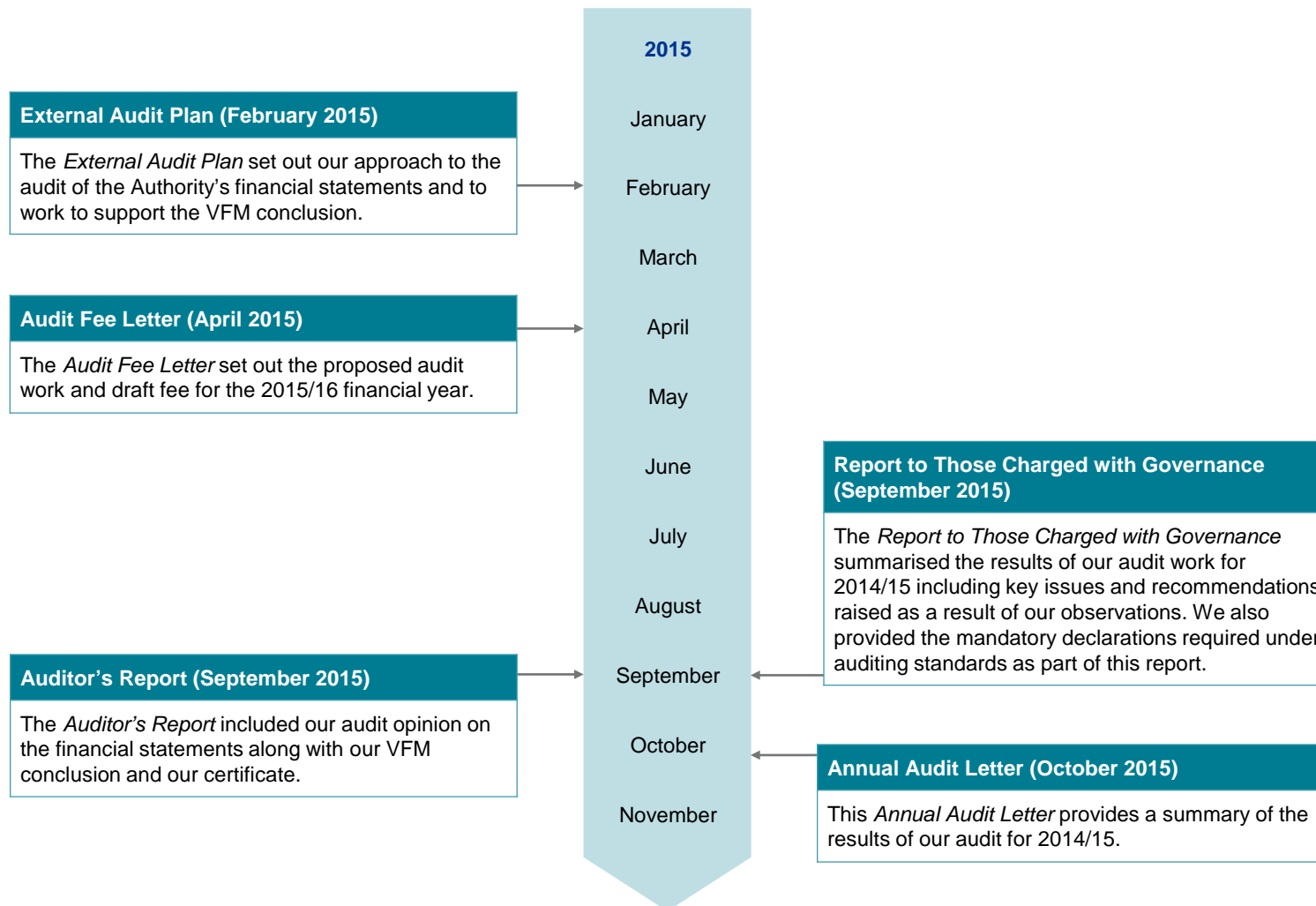
Our work covers the audit of the PCC and CC 2014/15 financial statements and the 2014/15 VFM conclusion.

VFM conclusion	<p>We issued an unqualified conclusion for the Police and Crime Commissioner's (PCC) and Chief Constable's (CC) arrangements to secure value for money (VFM conclusion) for 2014/15 on 29 September 2015. This means we are satisfied that that Authority had proper arrangements for securing financial resilience and challenging how it secures economy, efficiency and effectiveness.</p> <p>To arrive at our conclusion we looked at the Authority's financial governance, financial planning and financial control processes, as well as the arrangements for prioritising resources and improving efficiency and productivity.</p>
VFM risk areas	<p>We undertook a risk assessment as part of our VFM audit work to identify the key areas impacting on our VFM conclusion and considered the arrangements you have put in place to mitigate these risks. We identified two risks:</p> <ul style="list-style-type: none"> ■ Budget Savings – along with other forces significant budget savings are required in future years; and ■ A19 Tribunal Ruling – an appeal was made to the court ruling which would have financial implications. <p>We have reviewed the action taken to address the ongoing financial pressures. Whilst the Force was short of its planned savings target in 2014/15 the PCC/CC have identified plans to achieve the savings required in 2015/16, but is still working on further savings projects to fill the gap and if not achieve a further call on reserves may be required.</p> <p>The 2014/15 accounts presented for audit includes recognition of the same contingent liability. The legal ruling in July 2015 ruled in Nottinghamshire PCC/CC's favour that the A19 staff had been lawfully dismissed, however recently a subsequent appeal has been made. Until the appeal is finally resolved the impact on the MTFS remains unknown, but it could have a positive impact.</p> <p>We were satisfied that sufficient work in relation to this risk was being carried out by the Authority to mitigate the audit risks for our VFM conclusion. We concluded that we did not need to carry out any specific additional work ourselves.</p>
Audit opinion	<p>We issued an unqualified opinion on the financial statements of the PCC (which incorporated the financial statements of the CC), and the separate financial statements of the Chief Constable on 29 September 2015. This means that we believe both sets of financial statements give a true and fair view of the financial position of the respective bodies and of their expenditure and income for the year.</p>

All the issues in this Annual Audit Letter have been previously reported. The detailed findings are contained in the reports we have listed in Appendix 1.

Financial statements audit	<p>We identified two audit risks affecting the PCC/CC 2014/15 financial statements:</p> <ul style="list-style-type: none"> ■ Stage 2 Transfer – review of the accounting treatment following staff transfer; and ■ A19 Tribunal Ruling – to review the disclosure and treatment as a result of the appeals process. <p>We reviewed the accounting treatment and disclosure and found they had been addressed appropriately.</p> <p>We did not identify any material misstatements. The PCC/CC made a number of non material adjustments to the financial statements, mostly as a result of amended working papers and of a presentational nature.</p> <p>In response to the recommendation raised in our 2013/14 ISA260 report, the PCC/CC had not fully implemented this and we incurred a similar issue during the 2014/15 audit. We have made three further recommendations in our 2014/15 ISA260 report to strengthen the final accounts preparation process and supporting working papers.</p>
Annual Governance Statement	<p>We reviewed your <i>Annual Governance Statements</i> and concluded that they were both consistent with our understanding of your governance arrangements put in place by both the PCC and CC.</p>
Whole of Government Accounts	<p>We reviewed the consolidation pack which the Authority prepared to support the production of Whole of Government Accounts by HM Treasury. We reported that the Authority's pack was consistent with the audited financial statements.</p>
Certificate	<p>We issued our certificate on 29 September 2015 for both the PCC and the CC.</p> <p>The certificate confirms that we have concluded the audit for 2014/15 in accordance with the requirements of the <i>Audit Commission Act 1998</i> and the Audit Commission's <i>Code of Audit Practice</i>.</p>
Audit fee	<p>Our combined fee for 2014/15 was £66,960 excluding VAT. However, as reported in our 2014/15 ISA260 report additional work was required to complete the audit due to version control, links to working papers and ineffective quality reviews. These matters have been reported to Those Charged with Governance and as a consequence we are currently discussing a proposed additional fee of around £2,000 plus VAT. Further details contained in Appendix 2.</p>

This appendix summarises the reports we have issued since our last *Annual Audit Letter*.



This appendix provides information on our final fees for the 2014/15 audit.

To ensure transparency about the extent of our fee relationship with the Authority we have summarised below the outturn against the 2014/15 planned audit fee.

External audit

Our final fee for the 2014/15 is yet to be determined because we are currently discussing a proposed additional fee of £2,000 (plus VAT) with Public Sector Audit Appointments. The planned fee was £66,960 and our proposed revised fee is £68,960. The detailed reasons for this increase were reported to you on the 24 September in our ISA260 (Audit Highlights Report).

Our additional fees are still subject to final determination by Public Sector Audit Appointments and we will finalise these discussions with the Chief Finance Officers.

Other services

We did not charge any additional fees for other services.



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For Information / Consideration / Comment / Decision (delete as appropriate)	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	10th December 2015
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Simon Lacey
Agenda Item:	9

EXTERNAL AUDIT PROGRESS REPORT

1. Purpose of the Report

- 1.1 The attached report summarises the progress on external audit work during 2015-16 and provides information on the planning for the audit of the 2015-16 accounts.
- 1.2 A technical update is also included.

2. Recommendations

- 2.1 Members are requested to not the progress and consider the technical update suggestions included within the report at **Appendix A**.

3. Reasons for Recommendations

- 3.1 Good Governance.

4. Summary of Key Points

- 4.1 The Audit of the 2014-15 accounts has been completed in full and work is about to start on the audit for the 2015-16 statements.
- 4.2 Technical updates have been included within the attached report and these include recommendations for the joint Audit & Scrutiny Panel to consider.

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 Members may wish to request an update report in respect of the technical updates for assurance purposes that the appropriate action is being taken.

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

- 9.1 None as a direct result of this report.

10. Changes in Legislation or other Legal Considerations

- 10.1 None as a direct result of this report.

11. Details of outcome of consultation

- 11.1 Not Applicable.

12. Appendices

- A 2014/15 External Audit Progress report and technical update.



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2014/15 External audit progress report and technical update

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

Nottinghamshire Chief Constable

December 2015

This report provides the Joint Audit & Scrutiny Panel (JASP) with an overview on 2014/15 audit progress in delivering our responsibilities as your external auditors.

The report also highlights the main technical issues which are currently having an impact in local government.

If you require any additional information regarding the issues included within this report, please contact a member of the audit team.

We have flagged the articles that we believe will have an impact at the organisation and given our perspective on the issue:

- High impact
- Medium impact
- Low impact
- For info

PROGRESS REPORT					
External audit progress report					2
TECHNICAL UPDATE					
Pension Ombudsman's decision – Government Actuary's Department (GAD) commutation factors				●	3
New local audit framework				●	4
Local Audit and Accountability Act 2014 - Provisions affecting auditors' work from 1 April 2015				●	5
APPENDIX					
Appendix 1 – 2014/15 audit deliverables					9

This report is made solely to the PCC/CC in accordance with the document entitled Statement of Responsibilities of Auditors and Audited Bodies summarising where the responsibilities of auditors begin and end and what is expected from audited bodies. We draw your attention to this document which is available on Public Sector Audit Appointment's website (www.psaa.co.uk).

This report has been released to the PCC/CC on the basis that it shall not be copied, referred to or disclosed, in whole or in part, without prior written consent. We consent to its disclosure in full within the public domain, but without accepting or assuming any responsibility or liability to any such persons in connection with our work for the PCC/CC or our report made to the PCC/CC. To the fullest extent permitted by law, we do not accept or assume responsibility to anyone other than the PCC/CC for our work, for this report, or the opinions we have formed.


External auditors do not act as a substitute for the audited body's own responsibility for putting in place proper arrangements to ensure that public business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively.


We are committed to providing you with a high quality service. If you have any concerns or are dissatisfied with any part of KPMG's work, in the first instance you should contact Andrew Cardoza, the engagement lead to the PCC/CC, who will try to resolve your complaint. If you are dissatisfied with your response please contact the national lead partner for all of KPMG's work under our contract with Public Sector Audit Appointments Limited, Trevor Rees (on 0161 246 4000, or by email to trevor.rees@kpmg.co.uk). After this, if you are still dissatisfied with how your complaint has been handled you can access PSAA's complaints procedure by emailing generalenquiries@psaa.co.uk, by telephoning 020 7072 7445 or by writing to Public Sector Audit Appointments Limited, 3rd Floor, Local Government House, Smith Square, London, SW1P 3HZ.


This document provides the JASP with a high level overview on progress in delivering our responsibilities as your external auditors.


At the end of each stage of the audit we issue certain deliverables, including reports and opinions. A summary of progress against these deliverable is provided in Appendix 1 of this report.


Area of responsibility	Commentary
Financial statements, value for money and certificate	<p>Since the last meeting of the JASP we have finalised our audit of the 2014/15 Financial Statements and issued our Annual Audit Letter. We completed our work and issues an unqualified opinion on the Financial Statement and an unqualified conclusion on the value for money arrangements on the 29 September 2015.</p> <p>We also issued the audit certificate on the 29 September 2015. The certificate confirms that we have concluded the audit for 2014/15 in accordance with the requirements of the <i>Audit Commission Act 1998</i> and the Audit Commission's <i>Code of Audit Practice</i>.</p>
2015/16 Planning	<p>We are about to start work on planning the 2015-16 audit and our work over the coming quarter will include:</p> <ul style="list-style-type: none"> ■ ongoing liaison with finance staff to discuss issues arising from previous work, relevant current and emerging issues in respect of the accounts and value for money; ■ Meeting with Senior Officers as part of the detailed planning process to better understand the current and longer term issues that the council is addressing; ■ liaising with internal audit with a view to maximising audit efficiency (whilst recognising the differences in our roles); and ■ updating our risk assessment and developing our detailed draft Audit Plan which we expect to submit to the JASP early in 2016. This will set out the scope of the audit in more detail. <p>At this stage our planning is likely to include particular focus on:</p> <ul style="list-style-type: none"> ■ The organisations arrangements in relation to the Value for Money criteria; ■ The impact on our audit of any changes to the accounts as a result of central guidance; and ■ Any learning opportunities from the 2014/15 audit which we can use to improve the process in 2015/16.

Area	Level of Impact	Comments	KPMG perspective
Pension Ombudsman's decision – Government Actuary's Department (GAD) commutation factors	 Medium	<p>In May 2015, the Pension Ombudsman determined that the calculation of pensioners' lump sum amounts on commutation since 1998 was based on out-of- date actuarial data. This means that some pensioners may have received too little lump sum in return for commuting some of their pension, or may have commuted more of their pension than was necessary in order to secure a particular lump sum.</p> <p>The Ombudsman's determination was in respect of a retired firefighter, but the issue also applies to police pensions. A formal decision is yet to be made as to how these additional costs will be funded.</p> <p>The Ombudsman's decision can be found on the Pension Ombudsman website at www.pensions-ombudsman.org.uk/determinations/2015/po-1327/firefighters-pension-scheme/</p> <p>The Home Office issued guidance to local police bodies on 17 July. This will enable local bodies to calculate the necessary provision for their 2014/15 accounts. A spreadsheet tool to help police bodies with their calculations is expected to be issued shortly.</p> <p>In respect of Fire and Rescue Authorities, equivalent guidance is expected to be issued by the Department of Communities and Local Government (DCLG) in August 2015.</p>	<p><i>The Committee may wish to seek assurances that the impact for their Authority is understood and the required provision for the 2014/15 accounts has been made</i></p>

Area	Level of impact	Comments	KPMG perspective
New local audit framework	 Medium	<p>The Local Audit and Accountability Act 2014 included transitional arrangements covering the audit contracts originally let by the Audit Commission in 2012 and 2014. These contracts covered the audit of accounts up to 2016/17, and gave the Department for Communities and Local Government (DCLG) the power to extend these contracts to 2019/20.</p> <p>DCLG have now announced that the audit contracts for large local government bodies (including district, unitary and county councils, police and fire bodies, transport bodies, combined authorities and national parks) will be extended to include the audit of the 2017/18 financial statements. From 2018/19, local government bodies will need to appoint their own auditors; it is not yet clear whether there will be a sector-led body that is able to undertake this role on behalf of bodies.</p> <p>NHS and smaller local government bodies (town and parish councils, and internal drainage boards), will not have their contracts extended, and will have to appoint their own auditors for 2017/18, one year earlier than for larger local government bodies.</p>	<p><i>We understand guidance is being prepared by CIPFA on the request of the NAO.</i></p> <p><i>We will also be preparing a briefing note for clients.</i></p>

Area	Level of Impact	Comments	KPMG perspective
Local Audit and Accountability Act 2014 – provisions affecting auditors' work from 1 April 2015	 Low	<p>With effect from 1 April 2015, certain provisions of the <i>Local Audit and Accountability Act 2014</i> (LAAA 2014) came into force and are applicable to auditors' work for the year 2015/16. Whilst the <i>Audit Commission Act 1998</i> is transitionally saved for audit work on 2014/15, insofar as auditors are engaged in planning work for 2015/16, or possibly considering public interest reports (PIRs) to be made during 2015/16, they need to be aware of the provisions of LAAA 2014 that are already in force.</p> <p>Provisions affecting auditors' work with effect from 1 April 2015 are:</p> <p>1) New duty to publish PIRs on audited bodies' websites</p> <p>Under the new audit regime, there is an emphasis on the publication of relevant information on the relevant authority's website. The following provisions are relevant to auditors carrying out work on 2015/16 if they decide to issue a public interest report during the audit.</p> <p>Under Schedule 7 LAAA 2014, the following matters must be published on the relevant authority's website (if it has one):</p> <ul style="list-style-type: none"> ■ PIRs (relating to the relevant authority or a connected entity); ■ notice of a meeting to consider a PIR/written recommendation; and ■ notice summarising those decisions approved by the auditor as a result of consideration of the PIR/recommendation. <p>Where the relevant authority does not have a website, it is instead generally required to make the relevant publication "in such manner as it thinks is likely to bring the notice or report to the attention of persons who live in its area". This could be, for example, in a local newspaper (as was required in certain cases under the previous legislation).</p>	<p><i>The Committee need to be aware of the provisions that are in place from 1 April 2015</i></p>

Area	Level of Impact	Comments	KPMG perspective
Local Audit and Accountability Act 2014 – provisions affecting auditors' work from 1 April 2015 (continued)	 Low	<p>2) Prohibition on disclosure</p> <p>The prohibition against disclosure that was previously to be found in section 49 of the <i>Audit Commission Act 1998</i> has been repealed and replaced by provisions in Schedule 11 of LAAA 2014. This change has not been transitionally introduced and auditors and local authority bodies need to be aware that this applies to all audits, irrespective of the year. Thus, any reference to the prohibition against disclosure needs to be to Schedule 11 and not section 49. There are no material differences between the two sets of provisions.</p> <p>3) Connected entities</p> <p>LAAA 2014 introduces a new concept into the audit regime, “connected entities”. Connected entities are bodies that are separate to the relevant authority, but are associated with the authority in such a manner that requires the authority to record financial information relating to the entity in its accounts.</p> <p>The full definition of “connected entities” is set out in paragraph 8 of Schedule 4 LAAA 2014.</p> <p>For the purposes of this Act, an entity (“E”) is connected with a relevant authority at any time if E is an entity other than the relevant authority and the relevant authority considers that, in accordance with proper practices in force at that time:</p> <ul style="list-style-type: none"> ■ The financial transactions, reserves, assets and liabilities of E are to be consolidated into the relevant authority's statement of accounts for the financial year in which that time falls; ■ The relevant authority's share of the financial transactions, reserves, assets and liabilities of E is to be consolidated into the relevant authority's statement of accounts for that financial year; or ■ The relevant authority's share of the net assets or net liabilities of E, and of the profit or loss of E, are to be brought into the relevant authority's statement of accounts for that financial year. 	<p><i>The Committee need to be aware of the provisions that are in place from 1 April 2015</i></p>

Area	Level of Impact	Comments	KPMG perspective
Local Audit and Accountability Act 2014 – provisions affecting auditors' work from 1 April 2015 (continued)	 Low	<p>3) Connected entities (continued)</p> <p>Authorities have a number of duties in relation to their connected entities under LAAA 2014 beyond those which are expanded on below:</p> <ul style="list-style-type: none"> ■ Auditors have a right to access documents (at all reasonable times) relating to connected entities, as well as those relating to the “parent” relevant authority. The auditor can inspect, copy or take away documents. The auditor can also require people who are in possession or are accountable for the document (or have been in the past) to provide the auditor with any information or explanation that may be needed, and can require a meeting with such persons. Where a document is stored electronically, the auditor can require assistance from the relevant person at the connected entity or relevant authority in accessing the document. The connected entity must provide the auditor with such facilities and information as are reasonably required to carry out the audit functions. ■ The right to information and explanation, or to require a meeting, extends in relation to connected entities to: <ul style="list-style-type: none"> – Any persons elected or appointed to an entity; – Any employee of the entity; and – An auditor of the accounts of the entity. <p>Many of the provisions on PIRs and written recommendations in Schedule 7 apply to connected entities. Accordingly, auditors must consider whether a PIR should be made on any matter coming to their attention during the audit and relating to the authority and/or a connected entity. Similarly, an auditor may make a written recommendation to a relevant authority relating to a connected entity.</p>	<p><i>The Committee need to be aware of the provisions that are in place from 1 April 2015</i></p>

Area	Level of Impact	Comments	KPMG perspective
Local Audit and Accountability Act 2014 – provisions affecting auditors' work from 1 April 2015 (continued)	● Low	<p>4) Power to call for information: exception for legally professionally privileged information</p> <p>Section 22(12) LAAA 2014 clarifies that the auditor's right to information and documents cannot be used to compel disclosure of legally privileged information. If a person would be entitled to refuse to produce documents in legal proceedings in reliance on the doctrine of legal professional privilege, they are equally entitled to refuse to provide the relevant information or documents to the auditor. This is a notable new provision and auditors will need to bear this in mind in requesting sight of an audited body's own legal advice. Any provision of such will be voluntary and cannot be compelled.</p>	<p><i>The Committee need to be aware of the provisions that are in place from 1 April 2015</i></p>

Appendix 1 – 2014/15 Audit deliverables

Deliverable	Purpose	Timing	Status
Planning			
Fee letter	Communicate indicative fee for the audit year.	April 2015	Complete
External audit plan	Outline our audit strategy and planned approach. Identify areas of audit focus and planned procedures.	January 2015	Complete
Substantive procedures			
Report to those charged with governance (ISA+260 report)	Details the resolution of key audit issues. Communication of adjusted and unadjusted audit differences. Performance improvement recommendations identified during our audit. Commentary on the PCC/CC's value for money arrangements.	September 2015	Complete
Completion			
Auditor's report	Providing an opinion on your accounts (including the Annual Governance Statement). Concluding on the arrangements in place for securing economy, efficiency and effectiveness in your use of resources (the VFM conclusion).	September 2015	Complete
WGA	Concluding on the Whole of Government Accounts consolidation pack in accordance with guidance issued by the National Audit Office.	September 2015	Complete
Annual audit letter	Summarise the outcomes and the key issues arising from our audit work for the year.	November 2015	Complete



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For Consideration	
Public/Non Public*	Public
Report to:	Joint Audit & Scrutiny Panel
Date of Meeting:	10th December 2015
Report of:	Paddy Tipping Police and Crime Commissioner
Report Author:	Kevin Dennis
E-mail:	kevin.dennis@nottinghamshire.pnn.police.uk
Other Contacts:	Kevin Dennis
Agenda Item:	10

POLICE AND CRIME COMMISSIONER'S UPDATE REPORT – to August 2015

1. PURPOSE OF THE REPORT

- 1.1 This report presents the Joint Audit & Scrutiny Panel (Panel) with the Police and Crime Commissioner's (Commissioner) update report which was also presented to the Police and Crime Panel on 2nd November 2015.
- 1.2 This report provides the Panel with an overview of current performance, key decisions made and his activities to August 2015.

2. RECOMMENDATIONS

- 2.1 The Panel to note the contents of this update report consider and discuss the issues and raise any concerns with the Chief Constable and Commissioner.

3. REASONS FOR RECOMMENDATIONS

- 3.1 To provide the Panel with information so they can fulfil their scrutiny role in respect of the Commissioner's pledges and performance against his Police and Crime Plan (2015-18).

4. Summary of Key Points

POLICING AND CRIME PLAN – (2015-18)

- 4.1 Performance against refreshed targets and measures across all seven themes is contained in the tables at **Appendix A** up to August 2015. This is the second report to the Panel in respect of the Commissioner's third Police and Crime Plan.
- 4.2 The Commissioner's report has been simplified to focus on reporting by exception. In this respect, this section of the report relates exclusively to some performance currently rated red i.e. significantly worse than the target (>5% difference) or blue, significantly better than the target (>5% difference).

- 4.3 The table below shows a breakdown of the RAGB status the Force has assigned to the 33 sub-measures reported in **Appendix A**. It can be seen that 22 (67%) of these measures are Amber, Green or Blue (the same as the last Panel report) indicating that the majority of measures are close, better or significantly better than the target. 24% of measures reported are Red and significantly worse than target. However, 9% (3) of measures are not graded due to unavailability of data following the move to the Multi Force Shared Services (MFSS) Oracle system.

KEY to Performance Comparators			
Performance Against Target		Aug-15	% of Total
●	Significantly better than Target >5% difference	5	15%
●	Better than Target	13	39%
●	Close to achieving Target (within 5%)	4	12%
●	Significantly worse than Target >5% difference	8	24%
●	Data Issues prevent grading	3	9%
Total		33	100%

- 4.4 In summary, total crime is higher than last year (+5.8%, **Red**) but this is less than the previous Panel report when it was +8.3%. Antisocial behaviour (ASB) is lower (-4.8%, **Green**) which is not as good as the previous Panel report when it was -7.1% but still coded **Blue**. Violence continues to be the key driver to the overall increase in Total crime (+20.2%, +1,394) and follows the HMIC inspection undertaken in 2014 into crime recording which has led to higher compliance rates to the national crime recording standard. Nottinghamshire is believed to have one of the highest compliance rates (98%) and this has led to more incidents being recorded as crimes. In addition, new offences of Harassment and Malicious Communications are now counted as recorded crimes.
- 4.5 Blue Rating (● significantly better than Target >5% difference)

The Number of people killed or seriously injured (KSIs) on Nottinghamshire's roads – monitor KSIs for 0-15 year olds

- 4.5.1 Figures for January to March 2015 show a 15.5% reduction in KSI casualties compared to the same period in the previous year, this equates to 15 less casualties contributing considerably to the overall reduction of 50.4% against the 2005-09 average. The total number of collisions reported is down 14.8% which over 100 fewer accidents have been attended. Vulnerable road user groups are showing good reductions with the exception of pedal cycle KSI's, which although up 22% only reflects a rise of 2 and slight injuries fell by over 37%. Motorcyclists showed a reduction of 56%.
- 4.5.2 Provisional figures for April to June 2015 compared to 2014 continue this encouraging trend. Serious injury collisions for 2015 are 161 compared to 192 for 2014. Slight injury collisions are 1,323 for 2015 compared to 1,406 in 2014. This shows that quarter two figures for 2015 are positive especially for May and June which is encouraging as that marks the start of Operation Drosometer 5 –

Nottinghamshire's enforcement campaign of the fatal 4^a. This also bucks historical trends that traditionally show RTC (Road Traffic Collision) uplifts in May and throughout the summer period. Operation Drosometer 5 will continue until the end of August 2015. So far over 3000 drivers have been caught for fatal 4 offences. The June drink drive campaign has not seen uplift in arrests for drink driving which show parity with normal ambient levels of activity.

Reduce the number of non-crime related mental health patients detained in custody suites

- 4.5.3 There is a 76.7% reduction in the number of non-crime related mental health patients detained in custody suites. Furthermore, current data shows that there were 69 less people with mental health related illnesses presented to custody as a first place of safety year-to-date to August 2015. In addition, there was a 27.7% reduction in the number of mental health patient detainees either detained in custody or s136 suites, meaning that the Street Triage Team are resolving far more incidents on the street.
- 4.5.4 There are a number of reasons why custody suites continue to be the first place of safety.^b

An increase in the Early Guilty Plea rate compared to 2014-15 in Crown and Magistrates' Courts

- 4.5.5 The Magistrates' Courts Early Guilty Plea rate has considerably improved from 66.8% in the same period last year, to 74.7% (+7.9). This places Magistrates' Courts Early Guilty Plea rate above the national average of 73.8%.

Reduction in Anti-Social Behaviour (ASB) incidents across the force

- 4.5.6 Year to-date ASB is down 4.8%. In respect of the Commissioner's target to reduce ASB by 50% by 2016-17, performance is currently -38.1%. In the County it's -48.0% and in the City it's -23.2%. Previous Panel reports explained an increase in noise-related incidents in 2014 mainly in the City which offset the reductions elsewhere. Had this not occurred the Commissioner's -50% target would have been on track.

The number of Proceeds of Crime Act (POCA) confiscation and forfeiture orders – To increase by 10% per annum

- 4.5.7 There were 61 additional Confiscation and Forfeiture Orders completed year to date, an increase of 65.6% which is above the 10% target. The overall value of POCA orders has increased by 12.4% or £72,927, with the average value now at £4,307 compared to £6,348 last year.

^a The fatal 4 offences refer to speeding, mobile phone use whilst driving, drink/drug driving and not wearing seatbelts.

^b Reason not recorded, suite full, suite refused, suite has no staff, male on suite, female on suite, too violent, detained for safety, and other.

To Monitor the Number of Production and Supply Drug Offences

- 4.5.8 There were 59 additional supply and production drug offences recorded year-to-date (+20.3%). In comparison there was a considerable reduction in possession offences (-21.8%), which could be attributable to the increased use of 'legal highs'.^c
- 4.6 Red Rating (● significantly worse than Target >5% difference)

A reduction in the number of repeat victims of domestic violence compared to 2014-15

- 4.6.1 The number of repeat victims of domestic violence increased by 103 offences year-to-date (+11.5%), with a 9.8% increase in the County, and a 13.8% increase in the City. As previously reported this increase is due to either greater compliance with the national crime recording standard (in which more incidents are recorded as crimes especially violence) and also new harassment offences (malicious communications, letters, text messages, social network) which is prevalent in domestic violence. In addition, it is believed that victims have greater confidence in reporting crimes.

A Reduction in the Number of Repeat Victims of Hate Crime Compared to 2014-15

- 4.6.2 There were 16 (+50%) additional repeat hate crimes recorded year-to-date, of which 15 occurred in the City. The Force has explained that the increase in hate crime is due to violence against the person (VAP) and the reasons stated in the above section are also applicable for hate crime. Furthermore, further analysis shows that four of the victims reported multiple offences on the same date, resulting in 11 of the additional offences.

To monitor the percentage of Grade 1 and 2 incidents attended within the prescribed timescale^d

- 4.6.3 Historically the targets for attending incidents have been as follows:
- 85% attendance to Grade 1 incidents in Urban areas within 15 minutes and Rural areas within 20 minutes; and,
 - 80% attendance to Grade 2 incidents within 60 minutes.
- 4.6.4 The first Police Response Hub at the Riverside went live in March 2015 with a further two in June 2015. It is too early to assess the impact of the changes on

^c <http://www.dualdiagnosis.co.uk/news/Progress48895.ink>

^d The Force has a detailed 'Graded Response and Deployment Procedure' which defines Grade 1 and Grade 2 incidents. In short, a Grade 1 incident requires an immediate response and the incident is defined as emergency or non-emergency based upon the information made available to the operator and not by the means of access to the operator (i.e. 999 / non-999, etc.). It will only qualify as an 'emergency', if the criteria set out in the procedure is satisfied e.g. there is, or is likely to be a risk of danger to life, use, or immediate threat of use, of violence. A Grade 2 is an incident where the customer service advisor or control operator identifies that there is a degree of importance or urgency attached to the initial police action, but that an emergency (Grade 1) response is not required e.g. An offender has been detained but who is not violent.

attendance times. However it is fair to say that performance is currently variable, and the Force is aware and examining the issues.

- 4.6.5 In terms of Grade 1 incidents, the Force attended 82.1% of Urban areas and 77.4% of Rural areas within the specified times (**Amber**). However, Grade 2 incidents were much lower than target i.e. 65.1% of incidents were attended within 60 minutes (**Red**).

A Reduction in All Crime compared to 2014-15

- 4.6.6 Overall, All Crime is up 5.8% which is an improvement since the last Panel report when All Crime was +8.3%. The Force is forecasted to end the year with less than 1% increase. There are 1,764 additional offences of All Crime recorded in 2015-16 (year-to-date) compared to the previous financial year. This increase is due to higher levels of recorded crime on the County Division (+1,763 offences, +10.5%) since the City is now recording a reduction of -0.4% (-52). These increases are predominantly related to Violence (1,395 offences, +20.2% force-wide). However, this is an improvement since the last Panel report when the increase was 28%.
- 4.6.7 Following the HMIC inspection last year a number of forces were identified as having poor compliance rates with the national crime recording standard. Analysis of iQuanta data year-to-date to August 2015 identifies that over 40% of forces have experienced much higher % increases than Nottinghamshire which has a lower increase than the national average. Only a few forces are recording small reductions.^e
- 4.6.8 Since the HMIC inspection greater compliance with the national crime recording standard occurred 12 months ago, however, its impact leading to increased crime levels should now start to diminish, although there will be a legacy in this year's figures between April and September.
- 4.6.9 Unfortunately, the increases in incidents being recorded as crimes especially violence resulting from the changes of the Home Office Counting Rules and some new crime types have masked good performance in number of other areas: Burglary Dwelling for example continues to reduce (-22.4%) and has seen the second highest reduction nationally; Robbery has reduced -21.0% and is also ranked the second highest reduction nationally.

A Reduction in Victim-Based Crime Compared To 2014-15

- 4.6.10 Victim-Based crimes accounts for 89.9% of All Crime recorded by the Force, which is the slightly higher than the proportion recorded last year (89.2%). Again, County division recorded the larger increase (11.7%, or 1,804 offences). Since records of Violence have increased considerably, Victim-Based crime also increases accordingly.

^e The iQuanta data is subject to validation and is published for performance monitoring only.

Monitor the Number of Offences in Those Local Areas Which Experience a High Level of Crime

- 4.6.11 Both County (15 Partnership Plus Areas) and City Divisions (Five High Impact Areas) are showing an increase in All Crime (+10% and +5% respectively) which is an improved position since the last Panel report.
- 4.6.12 Some areas are experiencing much higher increases e.g. Sutton in Ashfield north (+35%), Carr Bank (+25%), Arboretum (+11%) and St Anns (+10%). Trent Bridge (a discretionary area) has seen an increase of 53%. However, another area has decreased significantly i.e. Netherfield and Colwick (-28%). South Notts Community Safety Partnership (CSP) is aware of the two outliers mentioned and report that the improved performance in Netherfield is due to a higher base line last year when one particular store experienced high levels of shop theft. The Police and Partners worked with the store and this has resulted in 22 less offences (24 last year and only 2 so far this year). There have also been reductions on the retail park in Netherfield.
- 4.6.13 In contrast, the key increases in Trent Bridge have been due to Cycle Theft, Theft Other and some increases in Shop Theft at the same retail stores targeted last year in Netherfield.
- 4.6.14 As stated in the previous Panel report, during 2014, the Commissioner's office undertook a review of Partnership Plus Areas and produced a report in November 2014 '*Partnership Plus Areas Review: The Case for Change - A New Model for Neighbourhood Delivery?*' for the Safer Nottinghamshire Board. A number of recommendations were agreed intended to improve the medium to long term performance in these priority areas. The Commissioner wrote to CSPs and the following summarise the key points:
- There is a need to focus on 're-designing' the way we deliver community safety to improve efficiency and effectiveness through mainstreaming services to be delivered at a local level.
 - There is still potential for more integrated ways of working through targeting and aligning resources by demand with a commitment through the Compact Agreement.
 - Funding has now been agreed to the end of 2015/16, being based on supporting locality working based upon an average of funding each district has received over the last four years.
 - Expenditure plans will be approved through the NOPCC throughout this transition year.
 - The new ways of working need to be concluded by autumn to coincide with the Government's announcement on the comprehensive spending review.
 - The SNB October meeting will be presented with the new CSPs approaches to locality working plans and response to the new standards.
 - Community Safety funding must demonstrate value to existing mainstream local resources and District Community Safety Partnerships must be able to demonstrate the impact of investment.

- Local partnership structures should be flexibly designed to meet local circumstances.
- The Independent Partnership Review will also be concluded in time for recommendations to be discussed as the Comprehensive Spending Review is announced.

4.6.15 Hopefully these changes will lead to performance improvements.

Monitor the Proportion of Rural Crime Compared to 2014-15

4.6.16 This measure is reported for the first time. It has not been RAGB graded^f. There were 3,892 offences defined as Rural Crimes^g recorded year-to-date to August 2015 which is a 1% increase in the proportion of All Crime compared to the previous year. Volume wise there has been a 15.8% (or 530 additional offences) increase year-to-date. Since All Crime force wide is +5.8% and the County division overall is +10.5%, rural crime has therefore seen a higher increase. That said there are other non-rural areas in the County which have also seen higher increases – Ashfield for example has increased by 19.6%. In addition some Partnership Plus areas reported above have also seen higher increases.

An Increase in the Detection Rate for Victim-Based Crime

4.6.17 There were 665 less detections for Victim-Based Crime year-to-date than in the previous year (-3.9%). Currently the detection rate is 23.2% but last year it was higher i.e. 26.0%.

4.6.18 The key reasons for this were explained in the previous Panel report i.e. that despite a low detection rate, surprisingly, only 55.1% of cases is a suspect unknown. The Home Office outcomes framework introduced in 2014 reveals that many cases cannot be prosecuted for a variety of reasons. It was previously reported that a third of all recorded crimes there is a suspect identified but the victim does not support any prosecution or there are other evidential difficulties preventing a prosecution. The challenge for Force and Partners is to understand why victims don't support prosecutions and consider ways of addressing these barriers.

4.6.19 In addition, community resolutions (an out of court disposal) have fallen 27.1% (-456); the number of people cautioned has reduced by 20.1% (-228) and crimes classed as Other (Cannabis Warnings) have fallen by 61.9% (-292) in line with more targeted stop and search policies employed by the Force. The number of people charged or summons to Court remains largely the same (-1.9%, -110).

To Monitor the Detection Rate for All Crime

4.6.20 The detection rate for All Crime fell from 31.1% last year to 25.8%. Previous analysis has suggested falling numbers of arrests may have impacted directly on overall detections, but changes to the Home Office counting rules, 24 hour

^f Not RAGB graded but it would be red if it was

^g Rural Crime Force Definition: Rural crimes include all crimes occurring in rural areas in addition to those offences defined as rural (i.e. theft of livestock).

interventions and new offence classifications may also be contributory factors and other reasons already explained.

To Make £11.0m Savings by March 2016 + Overall Spend V Budget

- 4.6.21 The Government's grant has reduced significantly and in order to balance the budget, savings of £11.0m need to be made in 2015-16. To date £1.669m efficiencies have been achieved against a target of £2.601m. Work is currently underway to review the shortfall in the efficiency programme by project and what actions are required to recover the position.
- 4.6.22 Furthermore, as previously reported, it is anticipated that the Force will not achieve its efficiency savings of £11m. However, work is on-going to close the gap. At section 5 below it will be seen that the Force is currently £2.758m overspent.

HMIC Peel Efficiency Assessment

- 4.7 In October 2015, HMIC published its Peel efficiency report^h and graded Nottinghamshire Police as good along with 28 other forces. Five forces were found to be 'outstanding', eight forces were found to be in the 'requires improvement' category, and one force (Humberside) was graded 'inadequate'.
- 4.8 The assessments were carried out in May 2015. In relation to the question, "How well does the force provide timely and relevant financial information to the office of police and crime commissioner (OPCC), and are shared assumptions used to develop current and future plans?", HMIC reported:

"There is a good relationship with the OPCC and the force's head of finance meets weekly with the OPCC's chief finance officer. There is effective and intrusive oversight of the financial budgets by the police and crime commissioner. This includes access to the monthly performance and insight documents and reports on the current and projected financial position, treasury management and prudential indicators. Change programme status updates are also shared with the police and crime commissioner on a monthly basis, or more often if required. This allows him to scrutinise performance and effectively monitor progress against the programme timeline".

Sexual Offences in Schools

- 4.9 At the last Panel meeting a member asked if the Commissioner would include some additional information in relation to the sexual offences committed within schools. In this respect for the 12-months to the end of June 2015:
- 51 crimes were recorded at 31 schools across Nottinghamshire
 - 46 (90%) of those were committed against victims aged under 18
 - 38 (74.5%) of the offenders/suspects identified were aged under 18, 9 (17.6%) were over 18 and there are no suspect/offender details in the other 4 (7.8%).

^h <https://www.justiceinspectorates.gov.uk/hmic/wp-content/uploads/nottinghamshire-police-efficiency-2015.pdf>

- 4.10 Sexual offences during the last two years have increased significantly following the Saville case and greater compliance with the national crime recording standard. In addition, new MASH arrangements mean that all referrals for advice (if a crime is exposed in the referral) are now recorded as crimes. Previously the Police were unaware of many cases reported directly to other agencies.
- 4.11 According to iQuanta data (Home Office) during this same period sexual offences across the whole of Nottinghamshire increased significantlyⁱ. It is estimated that crimes recorded as taking place in schools represents around 2% of total sexual crimes.
- 4.12 Analysis of sexual abuse crimes recorded by forces nationally indicates that the majority of forces have seen significant increases. In terms of volume in 2014/15 the increase in sexual abuse crimes in Nottinghamshire was in line with the national average although the % increase was much higher due to low baselines in the previous two years. Again, this high % increase is due largely to the new MASH arrangements in Nottinghamshire, greater crime recording practices and increased confidence in reporting.

Holding the Chief Constable to Account

- 4.13 The Commissioner's staff are represented at the key Divisional, Partnership and Force Local Policing Board meetings in order to obtain assurance that the Force and Partners are aware of the current performance threats, and are taking appropriate action to address the emerging challenges. Should there be any issues of concern these are relayed to the Commissioner who holds the Chief Constable to account on a weekly basis.
- 4.14 In addition, from time to time the Commissioner meets with both Divisional Commanders to gain a deeper understanding of threats, harm and risk to performance.
- 4.15 At a previous Police and Crime Panel meeting members asked if the Commissioner would include a specific example of where he had held the Chief Constable to account on an issue. The Commissioner would emphasise that he has a regular weekly agenda meetings with the Chief Constable. Furthermore, Force performance is always discussed. Frequently the budget and investigations on historic child sex offending are on the agenda. However, a case study has been prepared on this occasion to illustrate how an issue of concern which came to light through the assurance process is followed through (see **Appendix B**).

DECISIONS

- 4.16 The Commissioner has the sole legal authority to make a decision as the result of a discussion or based on information provided to him by the public, partner organisations, members of staff from the Nottinghamshire Office of the Police and Crime Commissioner (NOPCC) or Chief Constable.

ⁱ *The Home Office iQuanta data is subject to validation and provided for performance monitoring purposes so hard figures are not provided in this report.*

Significant Public Interest Decisions

4.17 The Commissioner's web site provides details of all significant public interest decisions. Since the last Panel report a number of decisions have been approved in respect of:

- **Ref: 2015.044 Standing Orders for Grants:** Financial Regulations updated to provide detail on how the Commissioner's grant scheme and the governance arrangements function.
- **Ref: 2015.056 Award of Tender to Provide Consultancy Support to Review Victims Services:** Baker Tilley has been awarded the contract.
- **Ref: 2015.055 Response Policing Business Case Addendum - Ranby, Bassetlaw:** Agreement to release funding approved following the establishment of how one of the Response Teams can be incorporated within a building owned by the Ministry of Justice (the building located on the opposite side of HMP Ranby near Retford).
- **Ref: 2015.054 Provision of Mobile Data management (MDM) Solution to Enable Agile Working within the East Midlands region of Police Forces:** The contract for the MDM element of the wider Agile Working Project was approved and awarded to Vodafone Limited.
- **Ref: 2015.053 Procurement of Consultancy Support To Review Victims Services:** The procurement of consultancy support to review victim services with EMSCU's support was approved.
- **Ref: 2015.052 Award of Framework for Body Work Video Devices and Associated Products, Services and Solutions – Amended Notice:** That the award of Lot 5 specifically be made to Reveal Media. That various tenderers be allocated to the other 4 remaining Lots were all approved.
- **Ref: 2015.50 Commissioning Intentions for Sexual Abuse Support Services 2015-19:** All recommendations were approved.
- **Ref: 2015.049 Sexual Violence support services 2016-9 Commissioning budget - City County Budget Split:** A number of options for splitting the budget were considered and the preferred option 2 was approved, subject to an equalities impact assessment.
- **Ref: 2015.048 Agile Working Business Case/Middleware Contract Award:** The project spend as detailed in the business case and the award of contract to HCL for the provision of a middleware solution was approved.
- **Ref: 2015.047 East Midlands Shared Infrastructure Project:** The following were approved:
 - Agreement to enter into a contract for the supply of Infrastructure as a Service (IaaS) using the CCS G Cloud 6 Framework Agreement via the chosen supplier, Skyscape, to carry out a proof of concept to support the agreed strategic direction
 - Agreement to proceed with two phases of proof of concept work, each supported by a Call-Off Agreement with the appointed supplier Skyscape
- **Ref: 2015.046 County Domestic Violence and Abuse Tender:** A tender was awarded to:

- Agree to Nottinghamshire County Council's recommendation for it to contract with WAIS and Nottinghamshire Women's Aid to deliver domestic abuse support services in the south and north of the county respectively for the period 1 October 2015 to 30 September 2018.
- Provide £469,496 per annum for the contracts, to be paid for by Ministry of Justice Victims' Services Grant. The funding is subject to annual confirmation of the PCC's budget from Government and will be managed by Nottinghamshire County Council under the terms of the Inter Authority Agreement.
- **Ref: 2015.045 Procurement Strategy and Action Plan for Commissioning of Domestic Abuse Support Services 2015-9:** recommendations 1-7 were approved.

ACTIVITIES OF COMMISSIONER

4.18 The Commissioner and Deputy Commissioner continue to take steps to obtain assurances that the Chief Constable has not only identified the key threats to performance but more importantly that swift remedial and appropriate action is being taken to tackle the problems especially in the Priority Plus Areas in the County and High Impact Wards in the City.

4.19 Some recent activities and developments include:

Safer for Women' summit

- The Deputy Commissioner attended the 'Safer for Women' summit in October which was organised by the Nottingham Women's Centre and funded by Commissioner. Attendees heard powerful testimonies from women who have been affected by gender-based street harassment and focused on different settings for the problem including the night-time economy and sexism on University campuses. The conference arose as a result of the Nottingham Women's Centre's research work with the Nottingham Citizens Hate Crime Inquiry last year which found almost 40% of the women who were part of the inquiry linked the abuse they received to the fact that they were a woman.
- The Commissioner is now pushing for the development of a new Women's Safety Charter for Nottinghamshire that encourages local businesses, particularly the night time economy, to act responsibly to support victims of harassment and take reports seriously.

Community Group Presentations

- Together with 50 representatives from city and county-based community groups the Commissioner attended an event in September at the New Art Exchange in Nottingham to celebrate the positive changes resulting from funding awards he had made. The event, saw organisations which have been helped over the last three years gather to jointly celebrate their achievements in relation to community safety and crime prevention.
- Since 2013, the Commissioner has provided grants to 54 voluntary and community organisations to help him deliver his Police and Crime Plan. The majority of the funding has been allocated from his Community Safety Fund –

a small grants fund aimed at enhancing services for victims and supporting grassroots-led crime reduction.

- In 2014/15, the Commissioner funded 31 voluntary and community organisations with grants from a total pot of £360k. He also awarded an additional £100k to support victims' services.

The Ending Female Genital Mutilation (FGM) Together Conference

- In September, the Commissioner his Deputy and a number of Health experts, academics and justice specialists gathered in Nottingham for a jointly organised international conference aimed at tackling a form of child abuse affecting millions of young girls worldwide. The purpose being to better coordinate efforts to safeguard vulnerable young women and children at risk of the violent practice. The Commissioner subsequently reported that FGM remains an underreported crime because survivors are too frightened to come forward to police. He stated that "without knowing the full scale of this abhorrent violence we must concentrate our attention on training education professionals and other people who work around children to recognise the signs and risk factors so they can intervene early".

The Youth Commission

- In September the Commissioner invited young people with strong views on crime to become part of a local think tank to help shape future policing decisions. The Youth Commission is open to young people aged between 14 and 25 and is tasked with developing strategies to address urgent community safety issues such as re-offending, strengthening links between police and the public, reducing crime and tackling antisocial behaviour. The Commissioner is determined to increase the voice of young people in the county and empower them to have a greater say in the decisions which affect them.

Strategic Resources and Performance Meetings

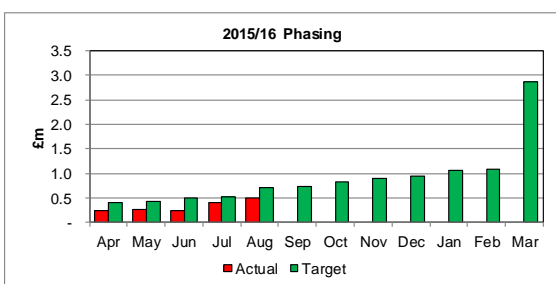
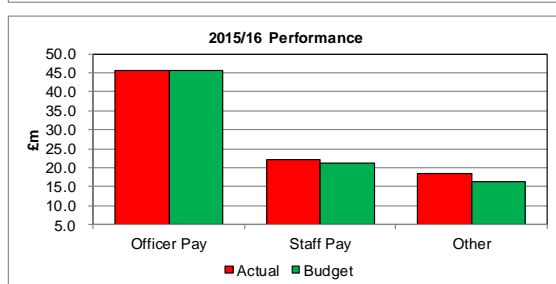
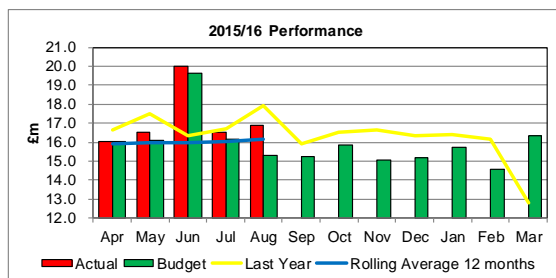
- The Commissioner continues to hold the Chief Constable to account at the Strategic Resources and Performance meeting which is open to the public. The last meeting was held on 11th September 2015 at County Hall Nottinghamshire.

Visits to Priority Plus and High Impact Areas

- The Commissioner and Deputy continue to visit key Priority Plus areas in the County and High Impact areas in the City. The purpose of the visits is to obtain assurance from Police, Partners and local Councillors that current community safety issues are fully understood and that appropriate action is being taken. The contact with frontline practitioners helps the Commissioner to better understand any barriers and especially any concerns from local residents so that he can have regard to these when he considers his Policing and Crime Plan priorities. The Commissioner intends to visit a number of rural areas during October 2015.

5. Financial Implications and Budget Provision

- 5.1 The financial information set out below is intended to provide the Panel with information so that they can review the steps the Commissioner is taking to fulfil his pledges and provide sufficient information to enable the Panel to fulfil its statutory role.



5.2 **Appendix C** contains the Financial Performance Insight report for August 2015. It details performance in respect of: Financials, Capital Expenditure, Efficiencies, Operations, Overtime, Seconded Staff, and Corporate Services.

Overview

5.3 The table illustrates budgetary performance during this financial year to August 2015.

5.4 The Force has a full year budget of £191.2m. Year to date £85.956m has been spent against a budget of £83.198m (£2.758m overspend).

5.5 Therefore expenditure was £2.758m worse than budget and was largely due to the efficiency challenge being behind target at £0.932m and a year to date correction for the MFSS (the Multi-Force Shared Service) charge that was omitted from the

original budget.

- 5.6 Police officer pay was £43.999m, which was £0.249m better than budget largely due to pensions, unsocial hour's payments and leavers/retirees being higher than budgeted, although the monthly saving has slowed down. Overtime was £1.593m, which was £0.338m worse than budget, partly due to an accrual for c4,500 hours of overtime awaiting authorisation in BOBO (booking off and booking off system) on supervisors workbenches; and a number of operations. For example, the main ones being Operation Drosometer at c£0.057m which is externally funded and matched by income, Operation Tiffany at c£0.060m which is mutual aid and has been more than offset within income and Operation Melic being the missing persons search.
- 5.7 Police staff pay was £21.695m, which was £0.596m worse than budget, mainly due to agency costs; not achieving the budgeted vacancy rate; and the phasing of the overlay for PCSO restructuring which is expected to reverse over the coming months. Overtime was £0.316m, which was £0.043m worse than budget, the Force is now not accruing in this area and this reflects the actual payments coming through from BOBO.

- 5.8 Premises and transport costs were £0.150m and £0.337m worse than budget respectively. This was mainly due to the efficiency challenge included within the budget, such as the fleet review; this has been partly offset from the benefit of the current low fuel prices.
- 5.9 Comms and computing were £0.272m worse than budget which is largely due to phasing and will be monitored closely over the forthcoming months.
- 5.10 The overspend in Other supplies & services is primarily down to a year to date correction on partnership fees relating to externally funded projects within Operations and have been offset within income, combined with the under achievement of the efficiency challenges.
- 5.11 Collaboration contributions was £0.754m worse than budget due to the year to date charge for the MFSS which was omitted from the budget. This has been addressed in the forecast.
- 5.12 **Appendix C** provides detailed further financial performance information.

6. Human Resources Implications

- 6.1 None - this is an information report.

7. Equality Implications

- 7.1 None – although it should be noted that high levels of crime occur predominately in areas of high social deprivation.

8. Risk Management

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

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

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

10. Changes in Legislation or other Legal Considerations

- 10.1 None that directly relates to this report.

11. Details of outcome of consultation

- 11.1 The Deputy Chief Constable been consulted on this report.

12. Appendices

- A. Performance Tables - 7 Strategic Themes – August 2015
- B. Case Study – Shop Theft
- C. Financial Performance & Insight Report - August 2015

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

- [Police and Crime Plan 2015-2018 \(published\)](#)

For any enquiries about this report please contact:

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APPENDIX A

POLICE AND CRIME PLAN (2015-18)

**COMMISSIONER'S PLEDGES AND
STRATEGIC THEMES UPDATE**

Final

6 MONTH UPDATE (Apr 2015 to Sept 2015)

NB: For more detailed information please refer to previous reports

STATUS KEY and Results: The overall rating is therefore very good

Green	Achieved or Adequate Progress being Made
Number & %	83, 76%

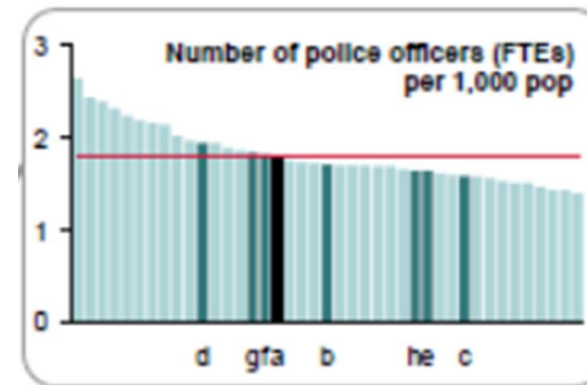
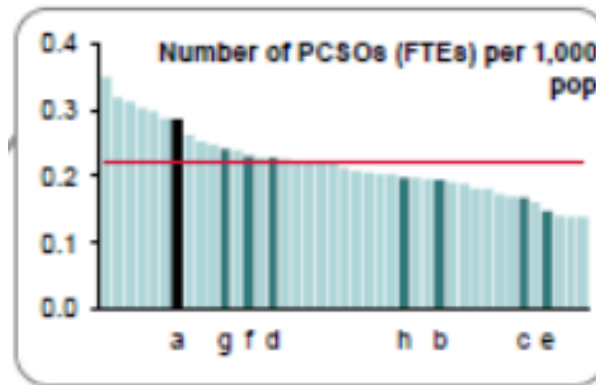
Amber	Started but Inadequate Progress or Risk that it won't be achieved
Number & %	21, 19%

Red	Unachieved or likely that it won't be achieved
Number & %	2, 2%

White (NS)	Not Started but Planned to take place during later Qrt
	3, 3%

Ref	COMMISSIONER'S PLEDGES	STATUS (RAG)
PL1-C01	Campaign against Government funding cuts to Nottinghamshire's Police and Crime Budget	
CR	<ul style="list-style-type: none"> • A review of the current funding formula is in process and both the Commissioner and the CFO are part of the national working groups in relation to this. In the meantime, all possibilities to change the way we work and reduce costs are being considered and actioned. • Funding is identified as red in the risk register as it continues to be a major challenge despite mitigation. In 2014/15 reserves have been used to offset under achievement in efficiencies. • The Commissioner continues to represent Nottinghamshire at national and regional meetings. He is Chair on the national APCC Standing group for Resources, Efficiency and Strategic Finance and attends HO Silver and Gold Groups for Police Finance and Resources. This has meant that he is at the heart of the decision making process around the change to funding and can influence to ensure the Notts does not lose out the way it has in the past and has overseen the drafting of a comprehensive written submission to the Home Office in relation to the forthcoming 2015 Comprehensive Spending Review (CSR) which will conclude on 25 November 2015. • The Commissioner also attends other national meetings with the HMIC and National Retail Crime Steering Group and has chaired the regional PCC Collaboration board since 2014. • All of this ensures that Nottinghamshire has a key influencing role in ensuring a better deal for policing. • In July 2015 the Government announced that there will be a Government review of the funding formula that determines policing grants 'Consultation on reform of police funding arrangements in England and Wales' which closes at 5pm on 15 September 2015; clearly, the Commissioner's appeals to the Home Office had not gone unheard. The proposal is out for consultation which is based more on population size. • Nottinghamshire Police has been disadvantaged by the current funding formula, which has never been properly implemented, but any change was likely to see 'winners and losers'. 	A
PL2-F01	Improve Community Policing across Nottinghamshire by taking on 150 extra Police Officers and 100 Police Community Support Officers (PCSOs)	
AB+SA	<ul style="list-style-type: none"> • After a period of sustained recruitment activity 150 Officers were recruited by February 2014 and 100 PCSOs by July 2014. • Since then due to the severe austerity measures (both current and forthcoming), there has been a recruitment freeze and where officers and police staff have left or retired they have not been replaced. The staffing levels below show the substantive staff (FTE) as at 1st September 2015: 	R

- PCSOs 295.3
- Police Officers 2055.8
- Staff 1219 (excludes PCSOs)
- Grand Total 3570.1
- Draft HMIC Value for Money Profiles for 2015 show that Nottinghamshire (denoted at **a** in charts below) currently is 8th highest for PCSOs per 1000 population and police officers (FTE) is in line with the national average.



○

PL3-F02	Work in partnership to reduce anti-social behaviour by 50%	
AB	<ul style="list-style-type: none"> Year to-date ASB is down 7.1% (April to August 2015). In respect of the Commissioner's target to reduce ASB by 50% by 2016-17, performance is currently -38.1%. In the County it's -48.1% and in the City it's -23.2%. Previous Panel reports explained an increase in noise related incidents in 2014 predominantly in the City which offset the reductions elsewhere. Had this not occurred the Commissioner's -50% target would have been more on track. 	A
PL4-C02	Give extra priority and resources to domestic violence and crimes against girls and women	
NW	<ul style="list-style-type: none"> The Commissioner prioritised support for domestic violence survivors including girls and women in 2013-4, by investing in new services. New services included support for teenagers, additional support for women at medium risk and complex needs and a McKenzies Friend project. He also secured additional MoJ funding to support delivery of healthy relationship programmes to female survivors of all ages and to pilot group therapeutic work. 	G

	<ul style="list-style-type: none"> • During 2014-5 the Commissioner maintained his 2013-4 investment into support services. • In addition, the Deputy Commissioner oversaw the implementation of the County Domestic Abuse review, working with Nottinghamshire County Council to co-commission new integrated domestic support services. An invitation to tender was published in March 2015 and contracts were awarded in July 2015. New services will begin on 1 October. • During 2014-5 the Deputy Commissioner chaired the Joint Commissioning Group in Nottingham City which includes the City Council and Nottingham Clinical Commissioning Group. The Joint Commissioning Group has begun work on developing an outcomes framework for providers. It will co-commission new integrated domestic and sexual violence support services to be in place from April 2016. • The Commissioner's academic research into the type of support required for repeat survivors of medium risk domestic abuse identified interim findings suggesting that medium risk repeat survivors require on-going long term support from a consistent key worker. The findings were incorporated into the specification for the County Domestic Abuse tender and will also be incorporated into the city's new services. 	
PL5-C03	Ensure that victims of crime are treated as people, not cases, and Victim Support is properly funded	
NW	<ul style="list-style-type: none"> • During 2014-5 the Commissioner consulted with victims and the people who work with victims about what future support services should look like. A report was published summarising the results of the consultation and making recommendations for future services. These recommendations were incorporated into the Commissioner's specification for a new integrated victims' support service. In addition, the Commissioner consulted on and published his Victims' Strategy. • As an "early adopter" of commissioning victims' support services, the Commissioner funded Victim Support to support victims of crime from October 2014. He provided also provided additional funding to Victim Support to support victims of anti-social behaviour in the city and county. All support is victim-centred, meeting the needs of victims to cope and recover. Needs updating by N.W. 	G
PL6-C04	Be fair, honest and protect taxpayers' money	
CR	<ul style="list-style-type: none"> • All decisions in relation to the use of public money for policing are published on the Commissioner website. In addition to this the Commissioner has regular meetings throughout the year with stakeholder representatives offering the chance for their views and inputs to be taken into account. The public meetings, community engagement events and walkabouts also provide the Commissioner with the opportunity to listen to the public views. Value for money is at the heart of every decision and this is demonstrated in the VFM opinion given by external audit each year. This will be reported to the Audit & Scrutiny meeting in September. Also, the Commissioner has set a strategic theme 'Spending your money wisely' to ensure increased scrutiny of this pledge and any decisions taken with regard to regional business cases. • Various consultation and engagement exercises were conducted over the last year to identify the relevant issues from communities to 	G

	<p>refresh the planning and prioritisation of policing and community safety. The consultation and engagement activities have been analysed and in which it was identified that 53% of respondents from the Residents Survey would be prepared to pay more for policing with a further 14% responding with a maybe.</p> <ul style="list-style-type: none"> • Grant Thornton have been appointed to complete an independent review of Community Safety funding to gain a better understanding of partners investment and impact. The outcome of this work will be known early November 2015. • In addition Deloitte have been requested to undertake a follow up study to their base budget review of Nottinghamshire Police Funding in 2013. They have been asked to identify progress against recommendations. 	
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Commissioner's Seven Strategic Themes		STATUS (RAG)
1	Protect, support and respond to victims, witnesses and vulnerable people	
1C1.	Invest in market development and commission universal and targeted services for victims.	
NW	<ul style="list-style-type: none"> • In April 2015 the Commissioner commissioned a report into the third sector market for victims' support services. Nottingham CVS conducted research into third sector organisations seeking to deliver future victims' support services. 36 organisations across Nottinghamshire participated in the research, identifying aspirations and barriers to delivering future victims' services. • Both universal support services for victims are already in place. However, there is emerging evidence that the services are insufficiently targeted to the victims who need the most help; and collectively they are not providing best value for money for the Commissioner. Consequently the Commissioner has commissioned an independent review of victims support services. The review will seek feedback from victims with protected characteristics, profile demand, highlight learning from other victims service delivery models in the country, identify efficiencies and develop a future model for support. The review is being conducted by Baker Tilly and will report in November 2015. The findings will feed into future procurement of victims services in 2016. 	G
1C2.	Continue to improve BME community experience of policing and implementation at the 'Commissioner's research recommendations.	
PG	<ul style="list-style-type: none"> • The BME Steering Group was awarded a further £9k toward a community grant in support of the Commissioner's objectives to improve trust and confidence with BME communities. The BME Steering Group and Working Group continue to meet bi-monthly and provide the Commissioner and Deputy Chief Constable feedback on a range of issues e.g. stop and search, diversity training, recruitment and 	G

	selection and promotion.	
1C3.	Better understand, support and respond to female genital mutilations (FGM).	
NW	<ul style="list-style-type: none"> The Commissioner has grant funded BME community organisation Mojatu during 2015/6 to conduct community led awareness campaigns to end FGM within a generation. A major conference was held in September 2015, which attracted extensive media coverage. The Deputy Commissioner sits on the city's FGM meeting which brings together health and other practitioners working to protect girls and women from FGM. 	G
1C4.	Work with safeguarding partners to increase awareness and understanding of child sexual exploitation, missing children, hidden harm and provide support to victims with partners.	
AB/H C	<ul style="list-style-type: none"> Local Safeguarding Children Boards (LSCB) were established by the Children Act 2004. There are two Safeguarding Children Boards (SCBs) in Nottinghamshire, one in the City (NCSCB) and one in the County (NSCB). Nottingham City's SCB is the forum for agreeing how services, agencies, organisations and the community safeguard children and improve their wellbeing. It ensures that safeguarding practice, strategic planning and commissioning across all partner agencies continuously improves as a result of NCSCB activity, with the aim of improving outcomes for children, young people and families. The County SCB is the key statutory mechanism for agreeing how relevant organisations co-operate to safeguard and promote the welfare of children and ensure the effectiveness of what they do. It also provides inter-agency training for colleagues working with children, young people, adults and families. In addition, there are also a number of sub-committees which are chaired by a member of the NSCB and report to the Board. 	G
1C5.	Undertake research into new and emerging communities and their impact on offending and victimisation.	
KS	<ul style="list-style-type: none"> The Commissioner's September 2015 meetings of Strategic Resources and Performance reviewed the Forces progress against HMIC Inspection of safeguarding and CSE. The OPCC is now represented on the Management Group and Operation 'Daybreak' The Commissioner now meets with key stakeholders and victims on a regular basis to ensure progress is made into a local independent review of CSE and to link with the National 'Goddard' Enquiry. Local representatives from the Goddard enquiry have recently met with some Nottinghamshire victims. Changes to the demographic makeup of communities in Nottingham and Nottinghamshire will be contained and highlighted as part of the production of the annual strategic assessment. This work is scheduled to take place of the end of Q3. Further research will be considered to be completed in Q4 if the strategic assessment considers it to be significant risk and gap. 	G

1F1.	Identify the value and extent of Child Sexual Exploitation (CSE), specifically in relation to children and human trafficking (i.e. ensure the Force has a comprehensive approach to CSE in light of local and recent national identified threats).	
AB	<ul style="list-style-type: none"> • A CSE problem profile has been completed encompassing both the City and County. • The Force commissioned a peer review which was undertaken by the College of Policing on 1st-3rd December 2014. • A regional (CSE) Strategic Governance Group has been established chaired by the Head of Public Protection. Operation Striver has been developed and designed to identify CSE derived intelligence. • The staffing establishment for Public Protection has increased with the creation of an additional Detective Sergeant and 4 full-time equivalent officers for the Sexual Exploitation Intelligence Unit (SEIU) alone. This has allowed the creation of an additional team for on-line CSE investigations. • The Force has pulled together a comprehensive CSE Action Plan and this is being continually updated in response to the local and national developments. 	G
1F2.	Review staffing arrangements within DTF (Designing the Future) model to ensure sufficient resources within SEU.	
AB	<ul style="list-style-type: none"> • The Police Officer Audit was completed 01/07/2015 - This audit details where all Police officers currently sit within the organisation. Police officers have begun to be transferred to Public Protection. Work is underway to design a policing model (DF3) to match the potential resources available. 	G
1F3.	Work with Adult and Children's safeguarding colleagues and IOM Partners to create an approach to managing high risk domestic abuse perpetrators.	
AB	<ul style="list-style-type: none"> • Nottinghamshire Police has worked closely with partner agencies to identify where integrated services or co-location will benefit delivery of child protection services. • The development of the Multi-Agency Safeguarding Hub (MASH) in the County and the Domestic Abuse Referral Team (DART) in the City are recognised to have a positive impact on improving knowledge available when making any risk assessment. • The Home Office have now agreed the national definition of a serial perpetrator and this relates to approximately 4000 individuals. The Force has therefore developed a scoring matrix to identify the top 25. This is based on numbers of victims, recent incidents (and incidents in the last year), risk rating and severity. Further work is required to develop the joint management of these individuals as part of the Delivering the future work and exploiting the current multi-agency arrangements. 	G

1F4.	Produce a problem profile to better understand and engage with new and emerging communities.	
AB	<ul style="list-style-type: none"> • Profile produced and disseminated out, however, data held by the Force was largely inconclusive therefore the current tactic is to concentrate on profiles for foreign national offenders to see if that gives any further opportunities. • There are numerous means by which the Force, Community Relation Team and City/County Council colleagues are working at engaging with the Romanian, Bulgarian communities building trust/confidence through providing them information around various support agencies. This has included specific input with regard to British citizenship and engagement with authorities. A Polish partnership working group has been established. This meets regularly and has had direct input from the Force IAG representatives who are fully supportive of and included in the initiatives. In the City there is full engagement by the local Neighbourhood Policing Team with an identified Eritrean community building excellent working relationships 	G
1F5.	Identify repeat DV victims with the highest level of repeats (over a two year period for violence where a further crime has occurred within the last two months).	
AB	<ul style="list-style-type: none"> • Repeat DA Victims are identified using a nationally accepted definition. They are identified and actioned on a daily basis via Divisional and Departmental supervisors' dependant on the appropriate action that needs to be taken. Repeats are identified at first point of contact and other crimes including violence are taken into account and form part of the threat, harm and risk assessment that is completed for each reported incident. • In terms of performance the Force uses the Home Office definition of repeat victimisation as per the annual data requirements. The Force considers that the 2 year period is arbitrary as it uses national definitions and a threat /harm and risk approach and as such this action will not be pursued. 	A
1F6.	Consider using technology in rural areas to support farmers e.g. Farm Watch and smartphones.	
AB	<ul style="list-style-type: none"> • Corporate Communications is currently conducting a review and working on a refreshed Neighbourhood Alert system. This includes the incorporation of a text alert system which is an on-going, Force wide project. This will allow the Force to more effectively target rural communities and their various sub-sections (farm watch, plant owners, horse watch, etc.) who will be one of our key stakeholder groups. • The Force has adopted a new Rural Crime website and makes extensive use of RSS and TWITTER feeds to rural communities informing them over crime trends, information feeds and intelligence requests • The Force has developed and is actively using an agreed mapping process to identify Rural areas and specifically rural areas at greatest threat of crime which then informs the tasking for the specifically allocated Rural Crime Specials Team. • It is envisaged that the use of technology will feature in the quarter 3 update. 	A

1P1.	City and County to co-commission with the PCC domestic violence and sexual violence services.	
NW	<ul style="list-style-type: none"> The Deputy Commissioner worked closely with Nottinghamshire County Council to co-commission domestic violence support services. An invitation to tender was published in March 2015 and contracts were awarded in July 2015 to Nottinghamshire Women's Aid and WAIS. New services will begin on 1 October. The Deputy Commissioner is also exploring with Nottingham County Council and the county Clinical Commissioning Groups the possibility of co-commissioning sexual violence support services. The Deputy Commissioner continues to chair the Joint Commissioning Group in Nottingham City which includes the City Council and Nottingham Clinical Commissioning Group. Nottingham City Council, on behalf of the Joint Commissioning Group, will publish invitations to tender for delivery of new integrated domestic and sexual violence support services in September. The new services will be in place from April 2016. 	G
1P2.	Better protect and reduce violence to young women and girls and gangs.	
NW	<ul style="list-style-type: none"> The Commissioner has commissioned a local provider to deliver training to professionals about how to protect and support girls and young women in girls and gangs. This was one of the first recommendations arising out of the Breaking Barriers report into gang affected females in Nottingham written by researchers from Nottingham's Health Shop and funded by the Commissioner in 2013/4. 	G
1P3.	Increase reporting of hate crime and provide dedicated resources to support victims.	
PG/D A	<ul style="list-style-type: none"> The Commissioner has provided £50k to fund a dedicated Hate Crime Manager to support the Safer Nottinghamshire Board's (SNB) Hate Crime Steering Group Action plan and City Council. A range of activities are being undertaken to increase the reporting of hate crime and provide better support for victims. Hate crimes/incidents during April to June 2015 are 14.4% higher than the same period last year. The City Council has also appointed a dedicated Hate Crime Case Worker. A marketing campaign commenced in July 2015, to increase people's awareness of hate crime through posters, postcards, Billboards, internal and external bus posters, tram advertising, throughout the City and County. 	G
1P4.	Develop and implement a plan to respond to the Commissioner's and CCGs Mental health Summit held in September 2014.	
AB	<ul style="list-style-type: none"> An Action Plan has been written and submitted to Dept of Health - March 2015. A Strategic Group and Task/Finish group have also been established and organised to deliver the plan. 	G

	<ul style="list-style-type: none"> On-going work with CCGs and other MH partners, implementation plan has been written and agreed, now being progressed. The PCC Chairs the Concordat Steering Group, which is responsible for implementation of the Plan. 	
2C1.	Provide leadership and ensure criminal justice partners implement victims code (LCJB – sub-groups) to ensure services are victim centred.	
AB	<ul style="list-style-type: none"> A Victim Code lead has been established who has met with DPCC to discuss further progress and future priorities. The VC lead is engaged and working with the LCJB group chaired by DPCC. This Board is multi agency and receives referrals to on-going actions for partner's compliance with VCP. A dip testing exercise has been recently completed by OPCC on partner agency compliance with victim code. The results of this work will be made available shortly. OPCC are currently undertaking an audit of selected cases from cradle to grave throughout the CJ process with all partners engaged. The group has finished as the audit is complete and findings have been shared with partners at the meeting a meeting in October 2015. 	G
2C2.	Ensure new 'Integrated Restorative Justice' service is implemented and is victim initiated.	
KD	<ul style="list-style-type: none"> Remedi a national restorative justice organisation has been contracted to provide local services to victims. A strategic board has been established and is meeting on a monthly basis. An Information sharing protocol has been agreed with Nottinghamshire Police and work is on-going to develop agreements with CJ agencies so pre sentence and RJ interventions can be offered. OPCC has commissioned a review of victim services, including restorative justice services to inform future commissioning models. The contract started 1st April 2015 although referrals did not start to come in until the beginning of June 2015, as Remedi was still setting up info sharing agreements with partner agencies. Current figures for adult RJ work (to 31.07.15): Notts Police (43). 	G
2C3.	Undertake regular dip samples of victim impact statement to improve quality.	
AB	<ul style="list-style-type: none"> This is being addressed by the regional Witness Care Unit Manager. Dip sampling is in place and is being collated. This is being fed back to the Local Criminal Justice Board Victim and witness Group which is being led by the DPCC. EMCJS has also provided guidance on the taking and submission of VPS. This was passed to Corporate Communications to distribute in July 2015. 	A
2F1.	Implement domestic violence 'live' links project with Crown Prosecution Service (CPS) and Courts.	

AB	<ul style="list-style-type: none"> • The DV Live Links project was extremely successful in the purchase and installation of the solution at Chiltern House (Victim Support office, Nottingham). Initially intended to be a link into the Magistrates Court rooms. It was completed during early 2014. Jointly funded and maintained by Notts Police and CPS. • During the initial stages it was agreed to place the equipment in a remote and secure location that DV victims could feel less pressured and less vulnerable. As Witness Service provided support 'in court' including the in court live links solution, it was agreed that they would train their volunteers to work at remote locations such as Chiltern House and any police station with Live Links facilities, in support of the victims. • Since installation, testing and training of the volunteers, the Witness Care Unit offered the facility to all victims of DV but had no takers and it was agreed to widen the facility offer to other vulnerable groups such as youths etc. • LCJB and finish group has been established with the DPCC as chair, to deliver the solution via Victims Services and Citizens Advice. All CJS agencies have a responsibility to deliver the solution and responsibility for the maintenance and on-going costs of the equipment remains with Notts police and CPS. • Unfortunately, and this is no fault of any agency, Victim Support when through a period of change into the PCC's Victim Service solution and Witness Service and were taken over by the Citizens Advice. This meant a rethink over who provides support and how. It is also to be noted that Chiltern House is unlikely to be the long term solution for housing of the equipment owing to the restructuring of the Victim Support finances. This will mean a complete relocation of the equipment which is currently being looked at. • Yesterday (Monday 13th July) an LCJB task and finish group was established with the DPCC as chair, to deliver the solution via Victims Services and Citizens Advice. All CJS agencies have a responsibility to deliver the solution and responsibility for the maintenance and on-going costs of the equipment remains with Notts police and CPS • All CJS parties were at the table as well as other key agencies. Date of next meeting is 3 August at OPCC, 	A
2F2.	Work with other Forces in the region to implement a new, criminal justice service.	
AB	<ul style="list-style-type: none"> • The East Midlands Criminal Justice Service is now in place and collaborating across four Forces. There is a Head of Service and sub-regional leads for prosecution and custody. EMCJS has a business plan with key objectives and is governed by the Chief Constable of Lincolnshire Police. It also reports to the five Force PCC Board. 	G
2F3.	Crime Recording Data Quality to be improved and monitored to ensure that quality is improved.	
AB	<ul style="list-style-type: none"> • NCRS Compliance around priority incident crime types is audited on a weekly basis with the cumulative results being presented quarterly to the CAIDQ Board chaired by the DCC. Emerging issues / concerns identified through the audits are addressed in real time. The last two Quarterly reports show a much improved and a very good compliance rate. This increased compliance has led to an increase in 	G

	overall crime recording. Recent quarterly monitoring shows a compliance rate of 98% significantly better than the previous year.	
2F4.	Utilise the power to stop and search in a necessary and proportionate manner, sharing data and encouraging greater scrutiny.	
AB	<ul style="list-style-type: none"> The Force has continued to actively monitor the use of stop and search conducting audits on the grounds for such searches; new audits are now being conducted on the use of relevant powers by PCSOs and 'more thorough' and 'strip searching'. Any officer who fails an audit is made aware of the reason and a log kept of all such audit failures to ensure officers do not reappear having received this further advice. Stop and search data is presented to the stop and search scrutiny board and the documents presented to this meeting are published on the force website, along with numerous other documents covering the force approach to the use of these powers. Outputs <ul style="list-style-type: none"> The pass rate for the audits continues to rise Fore data is submitted to police.uk for national publication There is an extensive document library on the force website Outcomes <p>Q1</p> <ul style="list-style-type: none"> The number of stop and searches recorded has decreased by 46.3% from 1254 in 2014 to 674 in 2015. The positive outcome rate for quarter 1 is 30.6% in 2015 (25.2% in 2014). <p>Q2</p> <ul style="list-style-type: none"> The number of stop and searches recorded has decreased by 41.3% from 972 in 2014 to 571 in 2015. The positive outcome rate for quarter 2 is 28.7% in 2015 (25.1% in 2014). 	G
2F5.	Improve the quality and timeliness of files submitted by the Police to the Crown Prosecution Service.	
AB	<ul style="list-style-type: none"> File quality audits were introduced locally to identify key areas for improvement. These reviews take place quarterly and involve the CPS and local CI/DCI's. In addition to this all operational supervisors have recently been briefed in relation to key quality issues resulting from the recent introduction of TSJ. Officers who are identified as requiring further development in this areas will be identified through work within Criminal Justice - this is designed to improve the supervision of files and therefore quality. A quality board was established earlier in 2015 which has file and investigation quality as its current priorities. 	A
2P1.	Ensure greater scrutiny and promote a better understanding of out of court disposals, including a review of	

	'community remedy'.	
PG/JW	<ul style="list-style-type: none"> Nottinghamshire Police has a policy relating to the use of OoCD's. There is a substantial and effective review process through the use of the Crime Management Bureau and the Force Appointed Dedicated Decision Makers to ensure that policy and legal frameworks are complied with. Final authorisation before disposal outcome can be claimed rests with the DDM. Victim dip sampling takes place annually to ensure that victims are satisfied with the outcomes and that there is no disparity with wider force victim satisfaction levels. Specifically in Nottinghamshire the Force ensures that victims' needs are met through the ethical benchmark test. This test asks officers to consider, how does benefit the victim? How does this outcome prevent re-offending? How does this outcome help community cohesion? Why is this the right disposal option? This is not a MOJ requirement, but a Nottinghamshire Police requirement to ensure integrity in the disposal and ensure that officers are applying the correct disposal. In terms of external scrutiny the Force holds quarterly reviews of OoCD's via the Partnership Scrutiny Panel. These have been embedded for over 18 months now. The Panel choose what cases to review by way of random selection and each review is a cradle to grave review of all case information. Internal scrutiny takes place at Joint Performance Board. Performance is consistent with National and regional forces (MSG). Promotion of OoCD's: Already had the launch of Remedi. Promoted internally recently for the force. Further guidance is going out to all supervisors and team briefing (Aug 2015) - reiterating legal requires of OoCD and values (annual reminder). Review of community remedy: This is scheduled to be completed by the end of the financial year. 	G
2P2.	Publicise, where possible the outcome of criminal cases to improve public confidence.	
AB	<ul style="list-style-type: none"> Corporate Communications regularly publicises through the force website, and social media channels the outcomes of court cases, where offenders have been convicted of criminal offences. The team responds to public comment via social media and also promotes internally successful convictions, through 'good news' within the intranet. 	G
2P3.	Reducing Reoffending Board to work with the National Probation Service and 'Reducing Reoffending Partnership' (CRC) and other agencies to ensure 'integrated offender management arrangements are maintained and effective.	
KD	<ul style="list-style-type: none"> OPCC is represented on 'Reducing Re-offending Board' by the Chief Executive. This board has commissioned a review of the 'IOM' Scheme. This review is due to be completed by the end of September 2015 and provide clear recommendations on the delivery model 	G

	<p>and priority focus for IOM contact.</p> <ul style="list-style-type: none"> The review is being led by Superintendent Adrian Pearson supported by partner agencies. 	
3C1.	Continue to support partnership working in high crime neighbourhoods in the City and County.	
NW	<ul style="list-style-type: none"> The Commissioner has agreed a funding plan with Nottingham Crime and Drugs Partnership (CDP) and Safer Nottinghamshire Board (SNB). The CDP's plan includes funding staff to support partnership working in high crime neighbourhoods in the city. The SNB plan includes funding for neighbourhood working which will be overseen by the district based community safety partnerships. 	G
3C2.	Commission and produce an ASB leaflet to improve public and partners understanding of new ASB powers and tools	
PG	<ul style="list-style-type: none"> This action is not scheduled to start until the beginning of Q3. OPCC is currently in dialogue with parties about how to implement this action. 	A
3C3.	Implement a 'target hardening scheme with County Council.	
PG	<p>SAFE Scheme</p> <ul style="list-style-type: none"> £50k was funded by the Commissioner toward the Safe Project which ran for 12 months from July 2014. 14 burglary hot spot streets across the county were targeted although the project only committed to 7 in the initial bid. Over 1,500 premises were identified and more than 900 benefitted from a home security review where required, or target hardening measures installed. Some businesses were also assisted. Approximately 8% of householders refused the service. In addition, over 240 Domestic Violence victims and vulnerable elderly victims were supported with home security checks and target hardening where appropriated. Feedback received was very positive. Initial results show a reduction in burglary on the targeted streets compared with previous 12 months. <p>New Scheme</p> <ul style="list-style-type: none"> The Force is trying to establish a working relationship with local housing providers across the county including local authority housing, whether they be separate from the councils and the main community housing associations again county wide. The Force is seeking to establish a Memorandum of Understanding (MOU) with these housing providers so that an agreed target hardening project plan for supporting vulnerable persons in Nottinghamshire can be implemented. If this is not possible an alternative proposal will be considered. 	A

3C4.	Work with Partners and Force to better understand and respond to wildlife crime in rural areas (see also 3F2).	
KS	<ul style="list-style-type: none"> The Commissioner has actively promoted the national 'Rural Crime' Survey by 'National Rural Crime Network'. Over 17,000 people living and working in the rural areas responded to this survey. A rural and wildlife crime strategy is being developed supported by dedicated website which will be completed by the end of October. This strategy will set out the Commissioner and Chief Constable's commitment to policing and promoting community safety in rural neighbourhoods. The force has a dedicated web site for rural crime and the partner web site is currently being finalised. 	G
3C5.	Better understand 'fear of crime' and how it can be reduced.	
KS	<ul style="list-style-type: none"> Better understanding of types of crime will be taken forward as part of producing the annual strategic assessment in Q3. 	NS
3F1.	Implement operational control strategies for priority crime types.	
AB	<ul style="list-style-type: none"> The Strategic Intelligence Assessment is complete. The setting of the Control Strategy for the next 12 months will occur in September. Progressing as planned. Control Strategy complete and being implemented with identified priority crime types identified through Threat/Harm and Risk. 	G
3F2.	Work with partners to protect local environments and Wildlife Crime 'through' cross border working.	
AB	<ul style="list-style-type: none"> Nottinghamshire Police currently chair the Regional Wildlife Group on behalf of the National Wildlife unit which involves regional forces and partners. Specific designated officers and Special Constables are working with numerous partnerships e.g. Environment Agency, Angling Society, Wildlife Trust and many more to help protect wildlife from crime. The Force is in the process of extending its agreement with Neighbourhood Alert and is looking to rebrand and review as part of this agreement. The review will consider how the Force can more effectively target communities with our alerts which will include rural communities and their various sub-sections (farm watch, plant owners, horse watch, etc.) who will be one of our key stakeholder groups. The Commissioner's office is developing specific website for rural matters which should assist in this objective in terms of gaining access to information to protect local environments and wildlife. In respect of cross border working, the Force has signed up to Operation Traverse which looks to tackle angling issues. More recently, the Force undertook some joint rural crime training with Leicestershire and Lincolnshire. NICHE provides excellent opportunities to share data re offending and intelligence picture 	G

3F3.	Develop a mechanism for defining and monitoring rural crime by postcode if possible.	
AB	<ul style="list-style-type: none"> The rural crime definition, including crime categories has been agreed and will be reported on through the monthly Performance and Insight report. A mapping overlay has also been agreed that is coterminous with Council boundaries that will allow crime levels to be monitored and addressed throughout the County. 	G
3F4.	Roll out a case management system to improve the sharing of information between partners (i.e. ECINS).	
AB	<ul style="list-style-type: none"> The funding for the system has now been agreed for a two year period and the system has been procured and the whole County now has access. The County Divisional Superintendent for Partnerships chairs a Countywide working group which has representation from all District areas and the City and also specialists such as Data Protection and IT. There are now agreed terms of reference for the group, a PID and a delivery plan for the rollout of the system. An implementation manager funded by the PCC has been in post since 1st August 2015 who will assist in driving the delivery plan forward. The initial time line is to have partnership resources trained and live on the system by December 2015. 	G
3F5.	Consider extending Operation Graduate in the City to cover holiday periods and extend to the County.	
AB	<ul style="list-style-type: none"> Over the past two years the patrol element of Operation Graduate has centred on identified high-risk weekends across high risk micro beats, taking into account previous year's offences and attendance times. The engagement/prevention element has continued as a phased process throughout the academic year. The Force is currently in the process of completing a review that will drive the activity for the academic year 2015/2016. It is anticipated that the Force will continue with the identified periods being those subject to patrols in the micro beats. The operation is focussed around Serious Acquisitive Crime crimes in the areas of student accommodation and tackles student victimisation. During the summer holidays the students do not stay in Nottingham and remove all their property. As part of the review the Force will assess any needs for patrols through the Christmas or Easter holidays in line with the identified high risk periods. Graduate tackles student victimisation in areas of student accommodation. However the tactics can be used to address other crime types, and is therefore potentially valid elsewhere in the county. Tactics for Graduate are highly specialised to the specific crime problem seen in heavily populated student areas and are not a sensible option for many other crime areas The "scorpion" tactic of patrolling used in Graduate was discussed in detail on the County after Graduate's inception to identify any suitable areas for County deployment, but none were found due to the difference in criminal activity and victims The graduate approach was modified and has evolved over time on the County into the approach used in OP PERMUTE, which involves in-depth intelligence gathering from the local community and has been used very effectively in Hucknall. 	A

	<ul style="list-style-type: none"> The areas that tend to see a larger amount of Chinese students living in them (primarily around Beeston) have been examined for graduate tactics but the crime rate is much lower and spread over a wider area (with a smaller population density) so this tactic would not be effective. Essentially any crime problems attached to areas more frequented by Chinese students tend to be completely different problems to those seen by the Lenton based students and are more suitable to regular burglary reduction tactics. The Commissioner funded a project undertaken by the research team at the University of Nottingham and supported by Nottingham Trent University entitled, 'International students' perceptions and experiences of crime and safety in Nottingham: A pilot study of Chinese students' which reported its findings in August 2015. The overall aim of this project was to improve the understanding of the perceptions and experiences of crime and safety issues amongst Chinese students in the City of Nottingham in order to provide better mechanisms to minimise the risks and tackle issues identified in the study. By actively bringing together Chinese students and various stakeholders from the Police and relevant departments in the two Universities, the project was aimed secondly at helping to build better integrated local communities with diverse cultures, and thirdly at informing future research, policies, and initiatives on how to develop safe and friendly communities for international students. The findings are to be presented by the researchers to the SNB Hate Crime Steering Group in November 2015 so that the recommendations can be considered and subsequently implemented. 	
3F6.	Further develop a Control Plan for Other Violence so incidents are fully understood/responded to.	
AB	<ul style="list-style-type: none"> Violence is identified in the Force Strategic Assessment and daily monitored through Performance Dashboards, and monthly through Force Performance. Through an established Violent Crime Gold Group other violence categories have been explored in depth utilising Force and Partnership analysts. This analysis has resulted in specific resources being deployed at identified hotspots and preventative work engaging a variety of partners. 	A
3F7.	Monitor 'Other Crimes Against Society', 'Other Sexual Offences' and 'Sexual Offences', 'Vehicle Interference' and 'Public Order Offences'.	
AB	<ul style="list-style-type: none"> Crime types are monitored on a daily basis through various performance Dashboards which are available to all operational officers. Each crime type is reported on in Divisional performance meetings and where exceptions are identified they are proportionately actioned. The dashboards give current performance data together with seasonal trends and comparisons to previous performance in relation to previous months/years. Year-to-date (August 2015) there has been a: <ul style="list-style-type: none"> 1.7% decrease in Other Crimes Against Society; 23.6% increase in Other Sexual Offences; 33.4% increase in Sexual Offences; 5.8% increase in Vehicle Interference; and, 1.1% decrease in Public Order Offences. 	G

3P1.	Design and implement a new ‘Neighbourhood Locality Working Model’ in the County and align with City wide tasking model.	
KS	<ul style="list-style-type: none"> Following the review of PPAs in Nottinghamshire in September 2014 work has been completed led by Deputy Chief Fire Officer. Workshops have been completed with Stakeholders to improve standards, delivery, performance, community engagement and a self-assessment framework. The outcome of this work will be reported to the October 2015 meeting of SNB. 	G
3P2.	Develop a better understanding of agencies roles, responsibilities and powers to improve local tasking arrangements and locality working.	
KS	<ul style="list-style-type: none"> See 3P1 	G
3P3.	Develop stronger links between Nottinghamshire Road Safety Partnership and District community safety partnerships to improve road safety.	
AB	<ul style="list-style-type: none"> Police leads on all the County district CSP's are now linked into the Road Safety Partnership. CSP's are able to raise issues concerning road safety in their area and can initiate appropriate activity from the responsible agency. All CSPs will be contacted to make them aware of NSRBP responsibility and the support they can provide. CSP's have always had the ability and opportunity to link into the Road safety partnership but so far any contact has been occasional and by exception concerning a specific local issue. We need to contact all the CSP's and make them aware of the NSRSP ability to help them if they have road safety concerns or issues they want to raise in their areas. 	A
4C1.	Review and implement the refreshed alcohol action plan, including ‘Blue Light’ Project.	
SM	<ul style="list-style-type: none"> Achievements in recent months amongst others include the successful implementation of the Insight Hub, a local version of the Cardiff model, which will provide data to support the management of the night-time economy in the City, track licensing activity and longer term target resources and manage demand more effectively. Since implementation in May 2015, there have been three arrests for drug dealing. Diversion and prevention measures continue to be used effectively both in the City and County. Operation Promote in the City has seen a reduction in violent related crime when the operation is in force, and there has been similar targeted activity in Mansfield on Friday and Saturday evenings. The Best Bar None scheme is now widely established across both City and County; award ceremonies will take place in the autumn. The 	G

	<p>scheme has raised standards in licensing premises and improved customer experience.</p> <ul style="list-style-type: none"> Partnership arrangements both in the City and County have proved to be successful in terms of collaborative working and a shared commitment to the objectives in the plan. This approach has made an important contribution to the achievement of the objectives, and continues to do so. A new initiative is the Street Drinkers pilot, which is linked to Alcohol Concern's Blue-Light project. The pilot, which commenced in September 2015, is a partnership venture and involves a small cohort of street drinkers in the Arboretum, Nottingham. Partner agencies working with this cohort will use the approach and guidance outlined in the Blue-Light manual. A Case Management Board has been set up to review progress. Discussions are underway regarding the feasibility of a similar pilot in the County, in particular in Worksop. 	
4C2.	Ensure the newly commissioned County CJIT substance misuse service is effective and achieving stated outcomes.	
SM	<ul style="list-style-type: none"> From the 1st October 2014 Crime Reduction Initiative (CRI) has been jointly commissioned by Nottinghamshire County Council and the Nottinghamshire Police and Crime Commissioner to deliver the adult substance misuse recovery services in Nottinghamshire. This service provides drug and alcohol treatment to anyone with drug and/or alcohol substance misuse problems who is resident in Nottinghamshire County. This is not confined to illegal drug misuse, it also includes prescription drugs and those sold over the counter. The range of services provided includes advice and sign-posting, referrals to other agencies, and treatment provision, as well as advice for carers and legal guardians. CRI are also responsible for the provision of the Criminal Justice substance misuse service in the County. This includes custody assessments, as well as treatment provision for individuals subject to DRRs and ATRs. The service has been commissioned on an outcome basis, with the focus on service users achieving sustained recovery, and enhanced social integration and well-being. As a new service which incorporates a shift from traditional "treatment" models, the priority since commencement has been to ensure the provision is effectively embedded. As such, the first twelve months of the contract have been seen as a year for base-lining. Work has also been undertaken during this period to develop the performance framework, and a full set of data, down to district level, should be available at the end of August 2015. A new performance framework is in place and management information is being provided to OPCC and SNB. 	A
4C3.	Following 4F4, hold a best practice event in quarter 4 (2015-16) to identify best practice in respect of utilisation of new ASB powers.	
PG	<ul style="list-style-type: none"> To take place in quarter 4 	NS
4F1.	Reduce the demand for the supply of illegal drugs, tackling class A drug trafficking, closing crack houses and disrupt cannabis cultivation.	

AB	<ul style="list-style-type: none"> Overall there has been a reduction in overall numbers of crimes for cannabis possession, which is linked to the prioritisation of Stop/Search on both supply offences, and cocaine possessions. Cocaine has increased in possession and supply offences. Operation Promote in the City has tackled directly the effect cocaine has on violence within the night time economy, when combined with alcohol. This has addressed the increase in violent crimes recorded, and reduced the number of overall incidents recorded. The full time Cannabis Dismantling Team dealt with 34 grows in the first two months of this financial year, and continues to provide a highly effective resource for the force. 	G
4F2.	Continue to implement multi-faceted partnership problem solving plans for each of the key night time economies (NTEs).	
AB	<ul style="list-style-type: none"> There is on-going work with BID regarding a radio scheme, taxi marshals and a Purple Flag Award. Also, Taxi Licensing and late Night Enforcement re issues. Pubwatch and City Licensing team re problem venues and responsible drinking initiatives such as vulnerability training, use of breathalysers (4 venues closed and their Licences revoked in last 2 years). Street pastors and Door staff re vulnerability. Work undertaken with EMAS to try & provide support to NTE staff. Work with Community Protection around super strength & Saturation Zone to manage number of Off & On licences in City centre and times of licensable activity. Work with CDP on Operation Promote to tackle violence caused by alcohol & cocaine. Overall reduction in NTE violence despite changes to crime recording rules. Reduction in serious NTE violence of 14%. Respect survey show 55% of people feels safe in NTE (up 7% in a year). 	G
4F3.	Ensure a smooth transition to NHS England of Custody Health Provision.	
AB	<ul style="list-style-type: none"> The Force is working with NHS to ensure that health needs assessment and requirements are in place in time for transfer of service which will take place in March 2016. The Force is now consulting on the performance framework that will be implemented. The contracts will be adopted as they currently are and NHS England will then review and determine service from then on. A working group, including NHS England, meets to oversee the implementation and transition of medical services. This is also being considered at a regional level. 	G
4F4.	Ensure that the new ASB Powers are fully utilised to reduce ASB and monitor (quarterly) the number of times the different powers are utilised by Districts and City.	
AB	<ul style="list-style-type: none"> The Force is ensuring that the new ASB Powers are fully utilised to reduce ASB and monitor (quarterly) the number of times the different powers are utilised by Districts and City. The Countywide ASB Transition group has shared best practice around the use of the new tools and powers. Whilst this does not deal with raw numbers alone, it has dealt with embedding the new powers and sharing good practice / issues, for example, how to mitigate the risk of the cost of signage for the new Public Space Protection Order and how the powers were being used to deal with a shop in 	A

	<p>Mansfield selling legal highs. The Force is able to use some of its systems to monitor the use of the powers, for example there is a system to record the use of:</p> <ul style="list-style-type: none"> ○ The new Dispersal power and this has been used 280 times since the act came in to being last October so the power is being widely used by Inspectors. ○ 21 Community Protection Notices have been issued for a wide range of issues and there has been involvement in many more that have been issued by the Local Authority and Housing providers. ○ 40 Criminal Behaviour Orders have been obtained which is a good uptake also. As these are partner powers too, there has been joint training, the Local Authorities also put on extra training sessions and invited the police staff which helped embed the use of the powers. ○ The Community Trigger has been invoked 6 times. The PCC has not received any appeals to date. <p>• Each District and partner agency utilises its own method to capture the use of the new ASB powers. The OPCC have now made available additional monies and commissioned a single system to capture all the enforcement activity to make problem solving and data sharing easier.</p>	
4F5.	Work with Partners and YOTs to develop a Community Remedy Plus to support young people at risk of further offending.	
AB/JW	<ul style="list-style-type: none"> • The Force works closely with YOT and Remedi Plus to ensure consistency in approach and application. Reported crime and offenders are highlighted to ensure appropriate referral and support is given. 	A
4P1.	City and Districts to ensure the robust enforcement of licensing conditions for pubs and clubs causing the most concerns.	
AR	<ul style="list-style-type: none"> • The Police are a 'Responsible Authority' under the Licensing Act 2003 together with the fire service, health and safety, planning, noise pollution, safeguarding children, trading standards and the licensing authority. The responsible authority's statutory duty is to enforce the relevant provisions of the Act. The robust enforcement of conditions begins with the application of conditions in the first instance. This is done by way of negotiation with applicants and their solicitors, affording them opportunity to share their proposal and for us to raise concerns and give the applicant the opportunity to consider measures to address them and the viability of the measures. Once a licence has been granted the Police ensure that the holder complies with the terms of the licence; thus we undertake and/or oversee compliance visits, legislative compliance checks (test purchase operations), mystery customer operations etc. <p>City:</p> <ul style="list-style-type: none"> • All of this information is recorded onto the InnKeeper database. The reason for doing this rather than simply relying to calls to the police is that we are confident that anything recorded on InnKeeper actually relates to the premise in question. This information is then used to produce a Top 10 premises report based on incidents at the premise. This forms part of the briefing for Night Time Economy policing and 	G

	<p>further targets the teams' efforts towards those premises causing the most risk.</p> <ul style="list-style-type: none"> Where breaches of the licence and poor operation are identified we operate a 3 tier enforcement process: <ol style="list-style-type: none"> 1. verbal warning, 2. written warning, 3. final written warning, Action Taken: <ul style="list-style-type: none"> Applications Made 377 Objections to Applications 23 Incidents at Premises 358 Visits made by the Police Licensing Team 284 Verbal Warnings given 0 Written Warnings given 17 Licensing Compliance Check Operations 2 Reviews Completed 1 	
SJ	<p>South Notts:</p> <ul style="list-style-type: none"> South Notts CSP has a list of the top ten premises which are monitored and action taken. To date actions include: monitoring of crime types inside and outside premises, meetings with various Pub and Area Managers, variations to licenses with new conditions, installation of CCTV, warning letters, Premises Action Plans, increase number of door staff, walkthroughs by police, cocaine tests in toilets. 	G
MM	<p>Mansfield/Ashfield MPAC / ACSP:</p> <ul style="list-style-type: none"> It's a standard agenda item at Partnership Plus, actions contained within Delivery Plans. Doorwatch, nights of action. Mansfield: No revocations or reviews. Ashfield: Trading standards have had 2. There have been 2 premises on actions plans but have turned themselves around and there was no need for a review. 	G
GC	<p>Bassetlaw, Newark & Sherwood (BNS)</p> <ul style="list-style-type: none"> Bassetlaw Partnership Plus is actively engaged with the Best Bar None initiative countywide. So far: <ul style="list-style-type: none"> Licences Granted: 6 Licences Pending: 4 Variations: 1 Minor Variations: 1 Review Requests: 1 	G

	<ul style="list-style-type: none"> • BNS has developed and implemented a Multi-Agency Night Time Economy strategy, which is due to be reviewed in November 2015 to assess its impact. • Proactive Pubwatch schemes operate in both Retford & Worksop • Newark and Sherwood Partnership Plus: • The Partnership Locality Working Plan includes the identification of the Top Three Licensed Premises, which are monitored and actions taken to tackle concerns. Actions include working with the licensees on improvements in security, both in and out of the premises. • The Partnership is engaged with Pubwatch in the area to ensure that licensees concerns can be taken on board and appropriate assistance given when needed. 	
4P2.	Nottingham Crime and Drugs Partnership to commission new Criminal Justice Substance Misuse Service for Nottingham City (see also 4C2).	
SM	<ul style="list-style-type: none"> • Framework commenced provision of the City substance misuse service in May 2015. Since then, following a name change to “Clean Slate”, the focus during these initial months has been on implementation. The service provision includes prison in-reach, remand-on-bail and custody initial assessments, with follow up assessments offered where appropriate to anyone identified with substance misuse problems, both drug and alcohol. The custody provision also includes undertaking regular cell checks to identify and offer voluntary engagement or advice to anyone who may have alcohol related offending. • Clean Slate will provide assessments for Alcohol Treatment Requirements and Drug Rehabilitation Requirements, and deliver the treatment for these orders post-sentence. The service is aligned with the Through The Gate resettlement service and as part of this, Clean Slate will provide treatment to anyone identified with a substance misuse problem on release and who is resident in the City. During the implementation period, day-to-day delivery of the substance misuse service has continued without interruption. This includes treatment provision for DRRs, ATRs, custody assessments and prison in-reach. A full set of performance data is expected at the next performance review in September 2015. 	G
4P3.	Better understand the prevalence and impact on crime and new psychoactive and legal substances on crime through substance misuse needs assessment.	
KS	<ul style="list-style-type: none"> • There were 59 additional supply and production drug offences recorded year-to-date to August 2015 (+20.3%). In comparison there was a considerable reduction in possession offences (-21.8%), which could be attributable to the increased use of ‘legal highs’.¹ • Information on what is known about psychoactive and legal substances will be contained in the annual strategic assessment. A county wide working group has been set up by Nottinghamshire County Council, Public Health to better understand and respond to psychoactive 	G

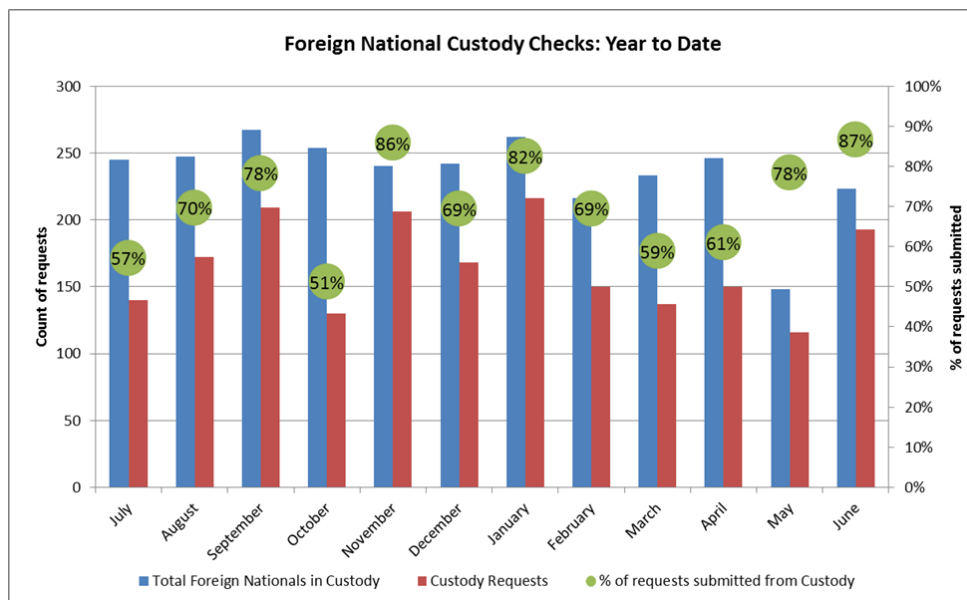
¹ <http://www.dualdiagnosis.co.uk/news/Progress48895.ink>

	substances.	
5C1.	Ensure partnership structures are in place in the City and County (including Trading Standards) to tackle serious and organised crime; specifically cybercrime; illicit tobacco, drugs, fraud, money laundering sexual exploitation and human trafficking.	
AB/DW	<ul style="list-style-type: none"> • Serious & Organised Crime Boards (SOCB) on the City have commenced. <p>City Council Lead DW:</p> <ul style="list-style-type: none"> • Through the SOCB a SOC profile has been circulated to enable a rich picture by partners submitting their priorities and issues that they have problems with from a SOC perspective. SOCB is also involved in tackling illicit and counterfeit tobacco through Trading Standards; this is being done in conjunction with the County, EMSOU, HMRC but will be the subject of a sensitive briefing note if required. • Moving forward the intention is to use RRPS as a SOC hub, and therefore Vanguard Plus will relocate. SOCB is also looking at the feasibility for the Prostitution Task Force and some Trading Standards resources to have the ability to work from there as and when required. • SOCB also contributes to the CSE task and finish group that came from the CDP Board. • The work streams of Aurora 2 also complement the PCCs plan. For example a member of the Cohesion Team assists in the development of neighbourhood engagement, some work relates to recently arrived communities and this assists service delivery for CPOs, Police Beat Managers and PCSOs. • There will be a report submitted to the City Safeguarding Board regarding the PREVENT agenda in due course 	G
AB/	<ul style="list-style-type: none"> • The County Boards are still progressing due to the more complex nature owing to multiple CSPs (Community Safety Partnerships). 	A
5C2.	Ensure support partnership work between colleges, schools, prisons and Councils to prevent people being drawn into terrorism (new legal duty).	
DW	<ul style="list-style-type: none"> • The new duty comes into effect on 1 July 2015. This has been discussed at the Prevent Partnership Steering Group chaired by the Head of Cohesion and although there are some concerns about how the government has framed the duty, partner agencies are working to ensure its effective implication despite the lack of resources from Central Government to do this. • The area of biggest challenge for compliance sits with both safeguarding and education. The Council's Corporate Director for Children and Families has ensured that briefings have taken place across a key management areas in her department and has agreed to be, herself, the senior lead for the authority. A number of officers attended an East Midlands event on the implications of the duty. • Further Home Office events planned for the end of June were postponed so in the meantime steps to ensure compliance have been 	G

	taken, and more importantly support the continuing safety of communities and citizens. Key to this is recruiting a dedicated Prevent Officer to the Cohesion Service with a focus on community engagement but also able to develop a refreshed partnership improvement to tackle the general duty as well as some of the more specific requirements of the Act.	
5C3.	Work with Trading Standards to ensure that mainstream activity tackles OCGs.	
AB	<ul style="list-style-type: none"> • Meetings have been held and updates are awaited. The Director of Intelligence is to provide a more comprehensive update in the near future. • Trading Standards in the city is colocated within the division) and includes police officers and the use of CP Police teams. Much of their current work is linked to SOC with a focus on counterfeit and illicit goods (mainly cigarettes and cash). We are carrying out coordinated warrants on a weekly basis with police colleagues (local and regional teams), HMRC and UKBA. The Trading Standards element is well embedded and form part of the tasking process as joint partners to tackle OCG's. • The approach is well documented as coordinated activity and part of Operation Aurora II. 	A
5F1.	Utilise POCA powers more effectively for criminal investigation.	
AB	<ul style="list-style-type: none"> • Use of POCA continues to grow at a rapid pace with year on year orders made by the Courts increasing by over 30% set against a target of 10%. Previous investment in training and a remodelled process in terms of identifying opportunity are now paying dividends as the Force use of this legislation has become main stream. The Unit are now developing intelligence sources to identify targets benefitting financially from crime within our communities but who are not active in the commission of that crime. These will be subject to standalone money laundering investigations. 	G
5F2.	Work with partner agencies to protect more individuals vulnerable and human trafficking.	
AB	<ul style="list-style-type: none"> • A DCI leads on Modern Slavery issues. He is currently engaged in delivering presentations to a range of partners to raise awareness, encourage improved engagement and greater intelligence. This has included adult / child Safeguarding, Nottingham City Council, Trade Unions, NHS, MASH. The GAIN is also actively engaged. Efforts are underway to include Modern Slavery as a standing agenda item in the newly formed BCU based OCG Partnership Boards 	G
5F3.	Direct young people away from being involved in organised crime through IOM, Troubled Families and Vanguard Plus.	
AB	<ul style="list-style-type: none"> • A detailed report is collated and forwarded in relation to a number of PCC priorities within the PCC delivery plan – an update on the work of Vanguard Plus is included within this, primarily associated with the monies received for EGYV and commissioned through the CDP. • The Vanguard Plus Team is now well established but is evolving to face new challenges. The priority in Quarter One has been to sustain delivery and work continues with high risk children and young adults both in managing orders but also in finding paths out of offending into 	G

	employment or training. The impact of a dedicated DWP post in the Team has assisted in work with many of the cohort. Performance reports submitted to the City Serious and Organised Crime continue to indicate that Vanguard Plus is having a positive impact (EGYV Performance Report (June 2015). Whilst these reports capture the behaviour of the cohort, they don't capture other activity in particular the work to build more positive relationships between the police and communities. The Team role will evolve in coming months to align its activities with the national Serious and Organised Crime Strategy and reduce offending against the most vulnerable victims.	
5F4.	Develop the Force's physical, people and cyber measures to combat organised crime.	
AB	<ul style="list-style-type: none"> There is a Cyber Crime profile and a Cyber Crime CTRA which informs plans around organised crime. The physical and people sides are already in place for combatting organised crime. 	G
5F5.	Utilise automatic number plate (ANPR) technology to deny criminals use of the road.	
AB	<ul style="list-style-type: none"> The County ANPR project is concentrating on ANPR Shields for Bassetlaw and Broxtowe over the next 18 months. The project is pretty much on schedule, the next phase being Bassetlaw. A schedule of time scales and updates has been attached. Ashfield South installed 30 cameras for their ring of steel in the spring of 2014. The project was inspected by the Information Commissioners Office in the autumn of last year and was deemed to be national best practice. The Force was commended by the Commissioner's Office on how the project was installed and run. INS have outsourced the installation of the network to a third party company who specialise in this work. This will help to maintain the existing network at full capacity and speed the installation of new cameras. Updates on the City Ring of steel and the Counter Terrorism ANPR work are awaited; however a business case for an upgrade to the City's ring of steel as soon as possible has been accepted. 	G
5F6.	Produce serious and organised crime profiles to support partnership working.	
AB	<ul style="list-style-type: none"> Completed and disseminated through Police data. Next stage - partners to add data as an on-going live document. 	G
5F7.	Secure a better understanding, monitoring and checking of foreign national offenders.	
AB	<ul style="list-style-type: none"> See also 1F4 above. The Force is close to completing the first draft of a Foreign National Offending Profile. The Force has an Action Plan to address the increasing threat from FNO, which includes the increased use of foreign national conviction checks, more effective use of Border Acts / PACE power to search for documents, closer working relationships with a dedicated Immigration Enforcement Officer, maximising the number of referrals to Operation Nexus for administrative removal, promotion of the use of conditional cautioning for FNOs, greater use of Schengen and Article 36(2) notices, active CHIS recruitment amongst foreign nationals, dedicated Intranet site for all staff, bespoke 	G

training to new recruits on relevant issues, mandatory NCALT packages, robust management of European Arrest Warrants, increased referral to Immigration for Criminal Case work. The chart below shows the number of foreign national custody checks between July 2014 and June 2015 shows an improvement in the % of checks being made for foreign offenders detained in custody.



5F8. Provide crime prevention advice on how to protect victims (especially vulnerable) from cybercrime.

AB

- Crime Prevention already forms part of the wider approach to cybercrime itself and cyber enabled crime such as fraud. Prevention is a key strand in the approach to Fraud prevention, a growing area. Recent messages related to specific methods of committing these offences are now being shared widely in force and in addition to other agency communications officers. See the Force Web site <http://www.nottinghamshire.police.uk/cybercrime>

G

5P1. CDP to provide PCC funding to support interventions to combat gangs and youth violence including BME young people.

NW

- The PCC has agreed to continue to fund the CDP to commission community led interventions to combat gangs and youth violence. Two community projects are funded to support young people to exit gangs.

G

6C1. Work in partnership to ensure street triage is continued and vulnerable people, including young people are dealt with

	more appropriately outside of custody.	
AB	<ul style="list-style-type: none"> The Street Triage Team (STT) has now been running for over a year, with an evaluation produced after 12 months showing the benefits already realised. Funding continues until March 2016. Triage arrangements now in second year of 2-year pilot, awaiting health outcomes. New officers have replaced original team to spread knowledge across Force area. Hours of operation adjusted for maximum benefit. As of July 2015, there were 32 less people with mental health related illnesses presented to custody as a first place of safety year-to-date. Overall, there was a 33.9% reduction in the number of mental health patient detainees in custody and s136 suites. This is a direct result of the introduction of the Street Triage Team. 	G
6C2.	PCC to grant aid positive activities for young people most at risk of getting involved in offending not provided elsewhere.	
NW	<ul style="list-style-type: none"> The Commissioner has grant funded 7 community led projects during 2015/6 to provide positive activities for young people. 	G
6C3.	Monitor the impact on re-offending and out of out of court disposals, including cautions, PND and 'community resolution!'	
JW/P G	<ul style="list-style-type: none"> Offending and out of court disposals are monitored by Divisional OPRs and Force wide through the Force Performance Board (OPCC Measure). A Chief Inspector chairs the Out of Court Scrutiny Panel, which meets on a regular basis and includes partners. In terms of external scrutiny the force holds quarterly reviews of OoCD's via the Partnership Scrutiny Panel. These have been embedded for over 18 months now. The panel choose what cases to review by way of random selection and each review is a cradle to grave review of all case information. The lead for Out of Court Disposals presented a paper to the Force Local Policing Board in July 2015 and issues raised were actioned to ensure improved utilisation. Internal scrutiny takes place at Joint Performance Board. Performance is consistent with National and regional forces (MSG). 	G
6C4.	Support IOM GPS tagging pilot to reduce re-offending by people involved in shop theft.	
DC/P G	<ul style="list-style-type: none"> There are 33 GPS tags provided by G4S and Buddi. Only 4 have been specifically used for managing shoplifting offenders on a voluntary basis due the lack of legal enforcement legislation. The Government is reviewing if there are any potential breaches of human rights. A number of examples have highlighted the benefits of the GPS tags where offenders have been arrested for shop-theft following GPS tracking data placing them inside the location at the time of theft. A prolific shoplifter is currently an active wearer of a GPS monitoring device. He is excluded from Nottingham City Centre and Derby City 	A

	<p>Centre and the device is enabling the Police to observe movements and receive alerts if these exclusions are breached.</p> <ul style="list-style-type: none"> • Buddi beacons installed into shops premises in and around Arnold town centre. • The structure and processes are all in place for nominations, training and access. 116 officers and staff are now trained. Coverage from the control room is now in place. Tags have been made specifically available for shop-theft offenders with low take up rates. Arnold town centre now has booster signals placed geographically to provide enhanced coverage. The local beat manager is managing this. Tag successes have been focussed on Public Protection Dangerous Persons and Integrated Offender Management (IOM) members. Whilst the tags remain voluntary it is extremely difficult to gain any uptake from shoplifting offenders. However there are numerous examples of successfully using the tags for Dangerous, sex offenders and serious acquisitive crime offenders. 	
6C5.	Undertake research and engagement activity with young people.	
KS	<ul style="list-style-type: none"> • The Commissioner has set up a 'Youth Commission'. Recruitment is underway at 14-25 year olds in Nottinghamshire who job will be to support, inform and challenge the Commissioner on policing for the City and County. Application deadline is 25th September. In addition the Commissioner has provided a grant to 'Chat About' to engage with young people who don't normally get involved to hear their voices 	G
6C6.	Work with schools to ensure that the crime prevention features in core curriculum.	
AB	<ul style="list-style-type: none"> • Several pilot programmes have been commissioned to test different approaches to improving interventions in schools aimed at prevention. The main focus is on healthy relationships, health and wellbeing, resistance education, social responsibility and fulfilling potential. Take Five in Manton; Holocaust centre work in Manton, Dragons Den in Sutton in Ashfield and Life Skills work in the county are being trialled. • In addition a large scale evaluation is taking place of Life skills based on 29 schools who have engaged in the programme, and 26 schools who deliver different interventions, which will include up to 2500 school children is currently underway. This will report in December 2015. Both City Council and County Council are agreeable to reshaping the PSHE curriculum to ensure it meets the stated aim and objectives. The County proposals are being finalised for delivery from April 2016. 	G
6F1.	Utilise integrated offender management, (IOM) to reduce crime by high risk offenders.	
AB	<ul style="list-style-type: none"> • See also: 1F3, 2P3, 5F3 and 6C4 which relate to IOM. • The IOM approach is well embedded and successful in Nottinghamshire. Several other force areas have visited in the last quarter in order to replicate success. Partnership wide review of IOM Cohort is currently underway. • With regards to Nottinghamshire's most prolific and priority offenders as managed by the IOM system, consistent snapshot based analysis of different cohorts has shown a reduction in both the volume and the seriousness of the offending by these cohorts. Previously the Reducing Reoffending board commissioned a score card based tracking system for a series of cohorts to serve as a dip test regarding 	A

	performance of IOM in Nottinghamshire which showed continual effective work, pending redesign of IOM and its associated targets this score card has been temporality suspended, however an analytical product (attached) was commissioned in September for HMIC tracking two cohorts which again showed a reduction in both volume and seriousness.	
6F2.	Adopt an integrated partnership approach to preventing demand for public, private and third sector.	
AB	<ul style="list-style-type: none"> There is now an agreed Partnership Prevention Programme Plan. Some prevention principals and enablers have been agreed. The plan will over the next year concentrate on the following themes: Locality working in areas of high demand; Business crime and Town Centres; Community Safety and protection; mental health, children and young people. 	G
6F3.	Support multi-agency public protection arrangements (MAPPA) to manage the most dangerous violent and sexual offenders.	
AB	<ul style="list-style-type: none"> A Detective Inspector is currently seconded to the MAPPA. The potholder's key role is ensuring that the inter-agency procedure of the work of the Strategic Management Board is compliant with developing legislation for the protection of the public. The post holder is responsible for ensuring the effectiveness and strategic development of the MAPPA in Nottinghamshire to assist the achievement of best practice. The restructuring of the Force's Public Protection Department resulted in the central management of the Force's Dangerous Persons Management that takes primacy for the management of all the registered sexual offenders. The Force actively partakes in level 2 and level 3 meetings, a Detective Chief Inspector being the core panel member of the level 3 meeting for the individuals that pose the greatest risk. 	G
6F4.	Establish stronger and collaboration partnerships to tackle personal robbers.	
AB	<ul style="list-style-type: none"> Vanguard Plus provides a 'Pathways Out' approach to target repeat offenders and suspects affiliated to Organised Crime Groups (OCGs) or Urban Street Gangs (USGs). Whilst the Youth Offending Team (YOT) and Intensive Supervision and Surveillance Programme (ISSP) will work with any one charged or convicted of robbery. 	G
6F5.	Reduce the recidivism rate for persistent shoplifters compared to 2014-15.	
AB/MH	<ul style="list-style-type: none"> Op Dormice (IOM) monitor prolific offenders and target them for offender management. This is an on-going process. New parole conditions are assisting. For City Centre 1st quarter 2014 there were 23 offenders with >2 offences, who collectively committed 96 offences (an average of 4.17 per offender). In 2015 1st quarter there was 20 offenders >2 offences, collectively committed 76 offences (an average of 3.8 per offender). 	G

	<p>Broxtowe BC</p> <ul style="list-style-type: none"> • Broxtowe Borough Council have developed a Problem Solving Profile and Action Plan to tackle shoplifting in Eastwood (which has seen a large increase) includes activity to increase businesses awareness of shoplifting, supporting each other, making it more difficult for offenders to commit shoplifting and increase the risks of being caught, reduce rewards, increase sharing of intelligence and partnership working and understanding of the 25 known crime prevention techniques. <p>PABCIN</p> <ul style="list-style-type: none"> • This action also supports 6C4 • It is now a year since the Tactical Group was brought together to reduce Retail Crime in the County Division of Nottinghamshire Police and the creation of Partnerships Against Business Crime in Nottinghamshire (PABCIN). The commissioner has provided a further £10k to support this project. • PABCIN is now operating in 15 Town Centre and shopping areas that are raising their standards to meet the nationally agreed Common Minimum Standard (CMS) providing confidence for police data sharing and a return on investment and choice for retailers. PABCIN played an important role in the development of this standard that is the entry level for business crime partnerships. This basic standard has been developed together with our sister organisation Partnerships Against Business Crime in Staffordshire (PABCIS) to a national accreditation. This has now been agreed as the national standard and is called the National Business Crime Partnerships Accreditation. The standard has three levels of achievement; Bronze Silver and Gold with Bronze the entry level and Gold the highest level of achievement. • There is a nominated Police Community Support Officer for each of the 15 areas and three of these works full time together with a Police Officer within the PABCIN HUB. 	
6F6.	Bolster monitoring/ review arrangements for crimes where a suspect has been identified (especially for violence and sexual crimes) to ensure that all possible enforcement action is being taken.	
AB	<ul style="list-style-type: none"> • Offenders against crime types are reported on and monitored on a daily basis through Performance Dashboards. They are subject to constant review and the appropriate action is tasked by supervisors to ensure a timely response in identifying enforcement activity and dealing with offenders. 	G
6F7.	In support of Community Remedy, establish mechanisms to ensure young people are appropriately referred to support agencies (see also 4F5).	
AB	<ul style="list-style-type: none"> • The Force works closely with YOT and Remedi Plus to ensure consistency in approach and application. Reported crime and offenders are highlighted to ensure appropriate referral and support is given. 	G

6F8.	Work with Partners and take steps to enhance intelligence gathering e.g. communities, rural crime and cybercrime.	
AB	<ul style="list-style-type: none"> Progressing through Serious & Organised Crime Partnership Boards. Detailed information to be provided in Q3 see AM monitoring. The Serious & Organised Crime Partnership Boards are progressing this area through the identification of what could be joint priorities across multiple agencies. Once common priorities are identified, these will be used to drive activity both operationally and through the identification of intelligence. Each agency is looking to commit to supplying it's relevant data that can be combined to give the best possible understanding of serious and organised crime. On the City, a new joint team is being organised that will process and seek to action, intelligence from across the multiple agencies. They will also take part in a joint Tasking and Co-ordination process that will allow the execution of tactics designed to further enhance our ability to gather intelligence. This team will be based at Radford Road and will work closely with the Force's Intelligence functions. The County are progressing their boards and will see how activity is put into place on the City as a method of deciding how the County operational model will function. 	A
6F9.	Ensure that crime prevention, reducing demand and bureaucracy is central to mainstream activity.	
AB	<ul style="list-style-type: none"> Within Nottinghamshire Police there is a scope which builds on initial prevention work which seeks to mainstream activity. The above mentioned partnership prevention plan is also moving the five work streams outlined above into mainstream activity. For example an approach to locality working in areas of high demand will be finalised by October 2015. 	G
6P1.	Partners to ensure that suitable accommodation is made available to avoid vulnerable young people with mental health concerns being detained in custody and develop an appropriate place of safety (i.e. Force to work with partners to ensure that no juveniles with mental health issues are presented to or detained in custody)	
AB	<ul style="list-style-type: none"> Juveniles are no longer being detained in custody under section 136 of the MHA. Provision has been expanded in adult 136 suites to accommodate juveniles. Agreement was reached between partners that Police cells will not be used from 1st April 2015 for children detained under section 136. An Interim Plan has been implemented, that will require reviewing by October 2015 when agreement has been reached for no adults to be held in cells under section 136. Notts was one of the highest users of the S136 powers for children nationally in 2013/14 so this is a significant improvement. 	G

6P2.	Focus on those individuals and families that cause the most demand to public organisations.	
AB	<ul style="list-style-type: none"> The work stream in the Police forward Prevention Plan on Locality working in high demand areas aims to bring the work of neighbourhood policing, troubled families and prevention together. This will mean the focus will be on the families and individuals who create the most demand. Two pilots in Sutton East and Manton are trialling different approaches to this work. Agreements to share Troubled families data, Integrated Offender Management chart data on those individuals mapped through serious and organised crime group mapping will identify the cross overs and will allow for more effective targeting of interventions and resources. 	G
6P3.	Support Public Health England's 'Liaison and Diversion (L&D) scheme.	
SM	<ul style="list-style-type: none"> A member of NOPCC staff has represented the Commissioner on the Criminal Justice Liaison and Diversion project board which oversaw the preparation for the implementation of the liaison and diversion pilot in Nottingham City Magistrates and Crown Court. The purpose of the pilot is to provide better service to people going through criminal justice system with mental health problems. Not all cases will be diverted, depending on the seriousness of offence, some will be subject to the sentencing process but the aim is to ensure people who meet the criteria for assessments are assessed and referrals are made to agencies that can provide support. Police are a key agency in contributing to the scheme. The pilot has now been in place since mid-April. The scheme is already established in Mansfield Magistrates Court. The intention is that the Project Board will meet quarterly to receive updates about progress and address challenges, blockages etc., and the PCC office will continue to be represented on the board. L and D rolled out Force-wide from 1st April 2015. The local diversion pilot started in April 2015 at the City Courts, so no evaluation produced as yet regarding impact locally. However, this is an NHS England funded pilot, and they are responsible for evaluation of all diversion pilot. They are about to produce evaluation of the first 10 pilots which started over a year ago, so this should be available in the autumn. It will be helpful in looking at what likely trends are for Nottingham as well. 	G
7C1.	Support the implementation on the new policing model 'Designing the Future', including introducing prison handling teams.	
AB	<ul style="list-style-type: none"> Implementation is progressing. As at July 2015, the following have been achieved: CRIM and TIB operational, 2 Response Hubs in place and operational. Staff moving to Public Protection. Investigations begun to take on wider violence offences. Prisoner handling teams in place in Bridewell, preparation being made to roll out to Mansfield and Newark Custody Suites. MFSS implemented. Front counter project closed. EMOPPS operational. Overall DTF implementation plan remains on track. 	G
7C2.	Ensure the Force achieves a balance budget and delivers the required efficiency savings.	

CR	<ul style="list-style-type: none"> The Force produces a Financial Performance and Insight Report on a monthly basis and this is used to monitor whether the Force is achieving a balanced budget. A report tabled to the Force Local Policing Board in July 2015 showed that the Force was £1.164m overspent. This is due in part to the £11m efficiency challenges set for 2015-16. It is likely the Force will NOT make these full savings. However, work is on-going to close the gap. Furthermore, the latest HMIC Efficiency Inspection reported in October 2015 gave the Force an overall GOOD rating. However, this was based on information provided in May 2015. 	R
7C3.	Achieve greater financial savings and improve service delivery through collaboration with other Forces and organisations.	
CR	<ul style="list-style-type: none"> The Chief Constables and Police and Crime Commissioners from Leicestershire, Northamptonshire and Nottinghamshire met on Friday 21st August 2015 to look towards the future. There was a strong desire to build on existing relationships by forming a strategic alliance, integrating services to protect the public. A decision has been taken in principle to make this happen in early 2016. Further work commences to define the strategic vision and timetable. There will, of course, need to be consultation with officers, staff and stakeholders as plans emerge. 	G
7C4.	Implement and promote the social responsibility strategies.	
KS	To be undertaken in Qrt 3 and reported on at the end of financial year.	NS
7C5.	Submit bids to maximise funding opportunities nationally.	
CR	<ul style="list-style-type: none"> There are no further opportunities to date. Recent successful bids last year included the Innovation Fund. 	G
7C6.	Rationalise the police estate and support joint service centre with partners.	
CR/T W	<ul style="list-style-type: none"> MFSS went live 27th April 2015. PBS moving forward under new Change Director. There is a clear estates rationalisation project plan in place which will continue to reduce the cost of the Force estate and increase shared services and co-location with partners. Good progress is being made with implementation of remaining projects within the plan. The savings are likely to be realised in quarter 4 of 2015-16. 	G
7F1.	Recruit more volunteers (especially BME) to support policing, including cadets, rural specials, specials, volunteer PCSOs and neighbourhood watch.	
AB/R	<ul style="list-style-type: none"> 72 additional Specials (SC's) recruited. BME % increased from 3.9% to 7.5%. Rural SC: 8 EOI received for this role. Interviews commence w/c 13th July. This should be enough for one proactive team at Ollerton. GO 	G

S	<p>LIVE date 1/8/15.</p> <ul style="list-style-type: none"> Additional recruitment for SC's plus Rural/Parish SC's will take place in AUG 15. Cadets: 76 new cadets recruited and they start in SEPT 2015. BME figures to be compiled. PSV's limited recruitment to date as CiPD focus has been on work experience and Specials/Cadet recruitment. Neighbourhood Watch: the plan from NottsWatch is to increase the number of registered schemes by 70 in the coming year. 	
7F2.	Create a regional Police business service (PBS) with Northants.	
AB	<ul style="list-style-type: none"> The full business case has been submitted and signed off by both Chief Constables in Nottinghamshire and Northamptonshire. Both Forces are working towards greater collaboration and shared services. The recent plans for a Strategic Alliance will impact the work of the PBS. 	G
7F3.	Support the introduction of a Regional and Operational Support Unit with Leicestershire, Lincolnshire and Northamptonshire.	
AB	<ul style="list-style-type: none"> The EMOpSS Collaboration is being managed as a regional project with CC Mr Rhodes as the SRO. The EMOpSS Operating model went live on 4th May 2015 and on-going development is being managed through a Strategic Management Board. 	G
7F4.	Introduce more agile mobile data solution for police officers and staff to make them more effective.	
AB	<ul style="list-style-type: none"> A procurement exercise almost complete and a preferred supplier selected. Contract yet to be signed. Delivery timescale for pilot is November 2015 dependent upon contract signature. 	G
7F5.	Provide dedicated high visibility cars and encourage more voluntary speed watch schemes.	
AB/A C	<ul style="list-style-type: none"> A fourth car and equipment has been procured for Rushcliffe and that releases a car and equipment for the City. Training for City staff will commence in July 2015. Work on the training of local volunteers has been delayed due to a pressing priority activity in key business areas. It is now anticipated that training for local volunteers will commence in late July 2015. Three vehicles complete with their equipment have been delivered to the neighbourhood policing teams at Gedling, Bassetlaw and Rushcliffe. The equipment is being used by the neighbourhood officers to test its capability and tactical use. A fourth vehicle and equipment has now been procured for Rushcliffe which will release their current vehicle to Radford Road so the project can be initiated in the City of Nottingham. Early indications are that the equipment and supporting processes are working well allowing the next phase to commence – training the local community volunteers. Activity is happening inside the communities where the equipment is being piloted. The volume is dependent on staff availability. It has 	G

	<p>been seen by local community volunteers and the wider public.</p> <p>Q1 Outcome</p> <ul style="list-style-type: none"> Compliance with speed limits where the scheme is operating is 99.9%. This has effectively eliminated all the paperwork associated with Speed watch, it has increased compliance to speed limits to 99.9% and when handed over it will release local policing teams members to focus on other work. 	
7F6.	Ensure that 'Designing the Future' maintains access to services and effective communication to provide public reassurance by publicising positive good news stories (see also 2P2).	
AB	<ul style="list-style-type: none"> An Organisational Change Communications Manager liaises with the Corporate Communication department to ensure messaging is consistent and clear. Wherever possible good news stories are publicised through internal and external channels. 	G
7P1.	Greater commissioning and pooling budgets to achieve greater efficiency and deliver service improvement for domestic abuse and sexual violence services.	
NW	<ul style="list-style-type: none"> The Commissioner has pooled his domestic violence budget in the county with the County Council, which has resulted in commissioning of a single integrated domestic violence pathway in the county. This will result in service improvement for survivors. In addition, from Year 2 of the contract, providers will be paid up to 5% of their price per survivor per journey only on demonstrating that survivors have achieved sufficient outcomes as a result of the service. The Commissioner is working with the County Council and Clinical Commissioning Groups in the county to explore the possibility of pooling sexual violence support budgets. In the city the Commissioner is working with the City Council and Clinical Commissioning Group to pool budgets for domestic and sexual violence where possible to ensure service improvement for survivors. 	G
7P2.	Work with partners to better understand, prevent and reduce demand and take steps to bolster community volunteering.	
AB/ W	<p>RS - NottsWatch:</p> <ul style="list-style-type: none"> The CiPD are fully linked in with NottsWatch and are involved in the creation of a refreshed NottsWatch Strategic Plan. We have created a delivery plan and are currently finalising Nottinghamshire Polices Service Level Agreement. The aim is to increase the number of schemes by 70 to take the total number of schemes in Nottinghamshire to 930. PSV's: CiPD are currently progressing 12 new volunteering roles e.g. PSD / Telephone Investigation / Prisoner Handling / Court Liaison / Business Development / CiPD support / Neighbourhood Policing Support / Vetting support etc. These roles present new opportunities for members of the public to get involved in 	G

	<p>policing / criminal justice.</p> <p>Force Prevent</p> <ul style="list-style-type: none"> An approach to mapping partnership demand has been piloted in Broxtowe CSP, this brings together the data from fire, police ambulance, accident and emergency, local authority and the county council. This approach is being widened to cover Gedling, Rushcliffe, Newark and Sherwood and Mansfield. In addition the approach to the County needs assessment and strategic assessment is being reshaped to include demand work and not just the traditional focus on crime and ASB measures. The County Council strategic Analytical Unit will lead on this work and a paper outlining the approach has been submitted through the Safer Nottinghamshire Board Performance group. 	
7P3.	Ensure there is practical information sharing agreements in place to support multi-agency and locality working.	
SH	<ul style="list-style-type: none"> Nottinghamshire Community Safety Inter-agency Information Sharing Protocol available for distribution. It's currently on-going, full sign-up is expected during end of 2015. 	G
7P4.	Ensure greater alignment of public organisations efficiency and transformational programmes.	
KS	<ul style="list-style-type: none"> In September 2015 Nottinghamshire, Leicestershire and Northamptonshire Police and Crime Commissioner and Chief Constable made a commitment to develop a strategic alliance and work closer together to reflect the public on the vision and design and the timetable is underway. Consultation with Officers, staff and stakeholders will be undertaken as plans emerge. Greater efficiency and effectiveness is being considered as part of the 'Devolution' deal for Nottinghamshire and Derbyshire (D2 and N2) and developing a new integrated locality model for Neighbourhoods. 	G

Appendix B

Case Study of Shop Theft

Weekly Performance Monitoring

- 1.1 One of the assurance systems established by the Commissioner after taking office in November 2012 included a requirement that the Chief Constable produce a weekly performance report on crime trends to identify priority crimes and antisocial behaviour across both City and County Divisions and any crime types which were presenting a threat to the overall reduction target. A recent example is included in **Annex 1** to this Appendix.
- 1.2 The Commissioner's Head of Strategy and Assurance reviews this report and provides the Commissioner, his Deputy and the Chief Executive with strategic insight on any emerging threats to performance.
- 1.3 In addition, an environmental scanning report is produced and various verbal updates are provided by NOPCC staff on potential threats and risks including feedback on Force performance and partnership meetings attended to provide the Commissioner with context to any potential performance threat.

Example of an Issue addressed by the Commissioner

- 1.4 This case study has been prepared to illustrate how an issue of concern is identified and followed through in support of the Commissioner's Police and Crime Plan objectives and priorities. This example also shows that the Commissioner not only holds the Chief Constable to account on specific issues but also engages partners and others to address wider issues beyond the enforcement scope of the Chief Constable.
- 1.5 During the first year of office the Citizens Advice Bureau advised the Deputy Commissioner that they had concerns that shop theft would increase following the enactment of The Welfare Reform Act 2012. Subsequently, it was during one of the weekly meetings that shop theft was identified as a risk to performance.
- 1.6 Where a particular issue becomes a concern the force is asked for more detailed analysis and the Commissioner includes it as an agenda item for his weekly meetings with the Chief Constables.
- 1.7 The discussions identified that many persistent shoplifters appeared undeterred by the threat of arrest or prison but further research would be necessary to identify the extent of recidivism of shoplifters. If the current sentences proved to be an ineffective deterrent then unless changes were made it was considered that shop theft would continue to pose a serious risk to the Commissioner's crime reduction agenda albeit recognising that the Threat, Harm and Risk (THR) to people was low.

- 1.8 During 2013-14 shoplifting increased significantly and this trend was identified to the Commissioner through the above assurance process. At that time it was one of the main volume crime categories having increased over 800 crimes compared to the same period the previous year which equated to an increase of 12.6% (7,228 crimes (year to date as of 18 March 2014).

Research of Persistent Shoplifters

- 1.9 In April 2014, the Commissioner commissioned Professor Simon Holdaway of Nottingham Trent University to undertake research to understand the extent to which the enforcement action in terms of the arrest, supervision orders, prison sentence, deterred offending (if at all). The key findings included:
- 63 persistent offenders had been arrested, charged and dealt with at Court between 5 and 20 occasions during 2013/14.
 - Offenders appeared undeterred by arrest, Court or Prison (a prison sentence was given in 1/3rd of cases typically 14 to 28 days and offenders would offend again almost immediately on release and with greater frequency the more offences they committed.
 - 50 of 63 on Integrated Offender Management
 - 60 were drug/and or alcohol dependent
 - Food (large meat joints and alcohol) were the main items stolen (with an average value of £88 per shop theft incident)
 - Offenders were aware of non-confrontational retail store policies would typically steal all they could carry usually from large retail stores
 - The Force's Operation Dormouse helped to stem further increases but with limited resources shoplifting offender management are intensive and a lower priority due to low Threat, Risk and Harm.

Retail Crime Event – 16th June 2014

- 1.10 The research identified that despite police charging 75% of offenders arrested, the low prison sentences given subsequently did not appear to deter persistent shoplifters. The key to reducing shoplifting could not be tackled with enforcement activity alone and therefore the Commissioner held a retail crime event in June 2014 involving police, partners and the private sector (key retailers) to attend for the purpose of better understanding how this problem could be jointly addressed.

Response

- 1.11 Following the event a County wide Retail Crime Group was established and an action plan was developed and implemented. High profile retailers are members of the group which continues to meet bi-monthly. Police and partners worked with key retailers to make them aware of the problem and helped them design out crime. The non-confrontation policy of some retailers continues to be a problem.

- 1.12 The Commissioner provided £10k toward the Nottinghamshire County Business Crime Partnership (BCP) in support of reducing retail crime which has an objective to significantly drive down the numbers of retail crimes recorded across the County through effective delivery and performance management.
- 1.13 The Commissioner also provided 10 state-of-the-art GPS tracking devices (electronic tags) to trial with the most persistent shoplifting offenders albeit voluntary. It was hoped that the technology could assist in preventing offenders entering key retail premises (e.g. a breach of outer and inner zones around the shops banned from) this will send alerts to all interested parties including the retailers themselves. Issues of human rights currently prevent this intervention being taken forward.
- 1.14 The Commissioner also sits on a national Home Office Retail Crime Steering Group and has fed into this group the lessons learned locally.

Police and Crime Plan – Measures and Objectives

- 1.15 Although, it was recognised that shoplifting would not feature highly with the police threat, risk and harm assessment and prioritisation, in order to promote the profile of shoplifting with both police and partners, the Commissioner including it in his Police and Crime Plan. The Chief Constable is required to implement the plan and achieve whatever performance measures are set.
- 1.16 For example, in his Refreshed Police and Crime Plan (2013-18) the Commissioner set the Chief Constable a strategic objective to:
- *Reduce reoffending and deter the number of persistent and problematic offenders through robust offender management (statutory and non-statutory), in addition to proactively managing dangerous offenders, perpetrators of domestic abuse and **individuals involved in shoplifting**.*
- 1.17 In his Refreshed Police and Crime Plan (2014-18) the Commissioner set the Chief Constable a specific target:
- *To significantly reduce levels of serious acquisitive crime, violence with injury and **shop theft**.*
- 1.18 In his Refreshed Police and Crime Plan (2015-18) the Commissioner set a strategic objective to:
- *Support IOM (Integrated Offender Management) GPS tagging pilot to reduce re-offending by people **involved in shop theft**.*
 - Reduce the recidivism rate for **persistent shoplifters** compared to 2014-15.

Conclusion

- 1.19 Shop theft continues to be a challenge for all the reasons stated in this report.

ANNEX 1 – EXAMPLE OF WEEKLY PERFORMANCE REPORT PROVIDED BY THE CHIEF CONSTABLE TO THE COMMISSIONER

PRIORITY CRIMES AND ASB

Offence Description	Recorded Crime/ASB				Detected Crime				
	Earlier	Later	Change	% Change	Earlier	Later	Earlier %	Later %	% pt change
Nottingham City									
All Crime	15,245	15,155	-90	-0.6%	4,658	4202	30.6%	27.7%	-2.8%
ASB	9,861	9,710	-151	-1.5%	-	-	-	-	-
Burglary Dwelling	1,023	686	-337	-32.9%	81	85	7.9%	12.4%	+4.5%
Criminal Damage	1,915	1,950	+35	+1.8%	360	330	18.8%	16.9%	-1.9%
Robbery	373	279	-94	-25.2%	76	58	20.4%	20.8%	+0.4%
Shoplifting	1,835	1,866	+31	+1.7%	1041	982	56.7%	52.6%	-4.1%
Vehicle Offences	1,127	995	-132	-11.7%	87	83	7.7%	8.3%	+0.6%
Violence Against the Person	3,367	3,775	+408	+12.1%	1332	1202	39.6%	31.8%	-7.7%
Violence with injury	1,986	2,119	+133	+6.7%	809	720	40.7%	34.0%	-6.8%



Offence Description	Recorded Crime/ASB				Detected Crime				
	Earlier	Later	Change	% Change	Earlier	Later	Earlier %	Later %	% pt change
Nottingham County									
All Crime	19,841	21,635	+1,794	+9.0%	6,179	5748	31.1%	26.6%	-4.6%
ASB	10,932	9,816	-1,116	-10.2%	-	-	-	-	-
Burglary Dwelling	916	841	-75	-8.2%	144	123	15.7%	14.6%	-1.1%
Criminal Damage	2,895	3,102	+207	+7.2%	602	553	20.8%	17.8%	-3.0%
Robbery	153	149	-4	-2.6%	53	48	34.6%	32.2%	-2.4%
Shoplifting	1,844	2,091	+247	+13.4%	1138	1133	61.7%	54.2%	-7.5%
Vehicle Offences	2,115	2,317	+202	+9.6%	167	179	7.9%	7.7%	-0.2%
Violence Against the Person	4,568	5,569	+1,001	+21.9%	2100	2018	46.0%	36.2%	-9.7%
Violence with injury	2,598	3,008	+410	+15.8%	1221	1215	47.0%	40.4%	-6.6%

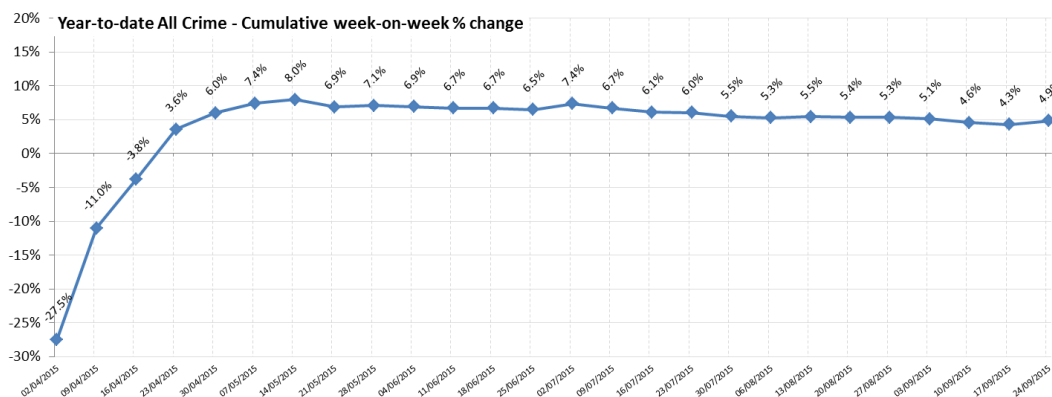
City & County Performance

Year-to-date:
25/09/2015

Headline Figures:

	City	County	Force
All Crime (Target: Reduction)	-0.6%	+9.0%	+4.9%
ASB (Target: Reduction)	-1.5%	-10.2%	-6.1%

 Improvement from last week
 Deterioration from last week



NB: Crimes preceding 18/09/2015 are based upon *Validated* data, w/c 18/09/15 is based upon *Unvalidated* data

Offence Description	Recorded Crime/ASB				Detected Crime				
Nottingham City	Earlier	Later	Change	% Change	Earlier	Later	Earlier %	Later %	% pt change
Violence against the person	3,367	3,775	+408	+12.1%	1,332	1202	39.6%	31.8%	-7.7%
Violence without injury	1378	1653	+275	+20.0%	520	480	37.7%	29.0%	-8.7%
Domestic Violence against the person	1232	1395	+163	+13.2%	462	452	37.5%	32.4%	-5.1%
Violence with injury	1986	2119	+133	+6.7%	809	720	40.7%	34.0%	-6.8%
Domestic Violence without injury	531	645	+114	+21.5%	174	190	32.8%	29.5%	-3.3%
Sexual Offences	344	453	+109	+31.7%	62	58	18.0%	12.8%	-5.2%

Offence Description	Recorded Crime/ASB				Detected Crime				
Nottingham County	Earlier	Later	Change	% Change	Earlier	Later	Earlier %	Later %	% pt change
Victim-Based Crime	17,944	19,768	+1,824	+10.2%	4,796	4616	26.7%	23.4%	-3.4%
All Crime	19841	21635	+1,794	+9.0%	6179	5748	31.1%	26.6%	-4.6%
Violence against the person	4568	5569	+1,001	+21.9%	2100	2018	46.0%	36.2%	-9.7%
Violence without injury	1968	2558	+590	+30.0%	877	800	44.6%	31.3%	-13.3%
Theft	9734	10173	+439	+4.5%	1934	1901	19.9%	18.7%	-1.2%
Violence with injury	2598	3008	+410	+15.8%	1221	1215	47.0%	40.4%	-6.6%
Domestic Violence against the person	1821	2090	+269	+14.8%	773	711	42.4%	34.0%	-8.4%
Shoplifting	1844	2091	+247	+13.4%	1138	1133	61.7%	54.2%	-7.5%
Domestic Violence without injury	849	1091	+242	+28.5%	350	321	41.2%	29.4%	-11.8%
Criminal Damage & Arson	3032	3252	+220	+7.3%	615	572	20.3%	17.6%	-2.7%
Criminal Damage	2895	3102	+207	+7.2%	602	553	20.8%	17.8%	-3.0%
Vehicle Offences	2115	2317	+202	+9.6%	167	179	7.9%	7.7%	-0.2%
Sexual Offences	457	625	+168	+36.8%	94	77	20.6%	12.3%	-8.2%
Other Theft	2514	2628	+114	+4.5%	318	296	12.6%	11.3%	-1.4%

Ranked By Volume (Offences with 100+ increases)

City & County Performance

Year-to-date:
25/09/2015

Headline Figures:

	City	County
Theft & Handling	↓ +0.5% (+12)	↓ +2.0% (+65)
Violent Crime	↓ +10.4% (+423)	+22.5% (+1,165)
Violence Against the Person - with injury	↓ +6.7% (+133)	↓ +15.8% (+410)
Shoplifting	↑ +1.7% (+31)	↓ +13.4% (+247)
Violence Against the Person	↓ +12.1% (+408)	↓ +21.9% (+1,001)
Domestic Violence	↓ +10.2% (+116)	↓ +12.8% (+214)
Domestic Violence with Injury	↓ +2.6% (+17)	↓ +1.9% (+17)
Burglary Dwelling	↑ -32.9% (-337)	↑ -8.2% (-75)
Serious Acquisitive Crime	↑ -22.5% (-535)	↑ +2.6% (+76)

↓ Improvement from last week
↑ Deterioration from last week

Serious Acquisitive Crime Performance:

Serious Acquisitive Crime	Recorded Crime/ASB				Detected Crime				
	Earlier	Later	Change	% Change	Earlier	Later	Earlier %	Later %	% pt change
Nottingham City	2,523	1,960	-563	-22.3%	244	226	9.7%	11.5%	+1.9%
Nottinghamshire County	3,184	3,307	+123	+3.9%	364	350	11.4%	10.6%	-0.8%



Force Executive Board

Performance & Insight Report

APPENDIX C

Performance to August 2015

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	Page
Financials	4-6
Capital Expenditure	8
Efficiencies	9
Overtime	10-11
Operations	12-14
Seconded Officers & Staff	16-17
Corporate Services	18-20

Financials

Month		
Actual £m	Budget £m	B/(w) than Budget £m

8.705	8.765	0.060
0.373	0.247	(0.126)
4.318	4.038	(0.280)
0.075	0.052	(0.023)
0.023	0.064	0.041
13.493	13.166	(0.327)
0.587	0.525	(0.062)
0.628	0.502	(0.126)
0.481	0.492	0.010
0.016	0.027	0.011
1.974	0.127	(1.848)
1.285	0.530	(0.754)
1.083	0.876	(0.208)
6.055	3.078	(2.977)
19.548	16.244	(3.304)
(2.676)	(0.966)	1.710
16.872	15.278	(1.594)

Total pay & allowances

Police pay & allowances
Police overtime
Police staff pay & allowances
Police staff overtime
Other employee expenses

Other operating expenses

Premises costs
Transport costs
Comms & computing
Clothing, uniform & laundry
Other supplies & services
Collaboration contributions
Other

Total expenditure

Income

Year to date			Full Year Budget £m
Actual £m	Budget £m	B/(w) than Budget £m	

43.999	44.249	0.249	105.637
1.593	1.255	(0.338)	3.245
21.695	21.099	(0.596)	48.673
0.316	0.274	(0.043)	0.632
0.334	0.327	(0.007)	0.787
67.938	67.204	(0.734)	158.974
2.819	2.669	(0.150)	5.960
2.840	2.504	(0.337)	5.854
2.730	2.459	(0.272)	5.939
0.248	0.148	(0.100)	0.447
3.761	1.813	(1.948)	4.612
3.542	2.788	(0.754)	6.679
9.246	8.974	(0.272)	14.567
25.186	21.354	(3.832)	44.059
93.124	88.557	(4.566)	203.033
(7.168)	(5.359)	1.808	(11.833)
85.956	83.198	(2.758)	191.200

Financials

Month: £16.872m against a budget of £15.278m (£1.594m adverse)
Year to date: £85.956m against a budget of £83.198m (£2.758m adverse)
Full year budget: £191.200m

Month:
 Expenditure was £1.594m worse than budget. This was largely due to the efficiency challenge being behind target and a year to date correction for the MFSS charge that was omitted from the original budget.

Police officer pay was £8.705m, which was £0.060m better than budget largely due to pensions, unsocial hours payments and leavers/retirees being higher than budgeted. Overtime was £0.373m, which was £0.126m worse than budget, partly due to an accrual for c4,500 hours of overtime awaiting authorisation in BOBO on supervisors workbenches.

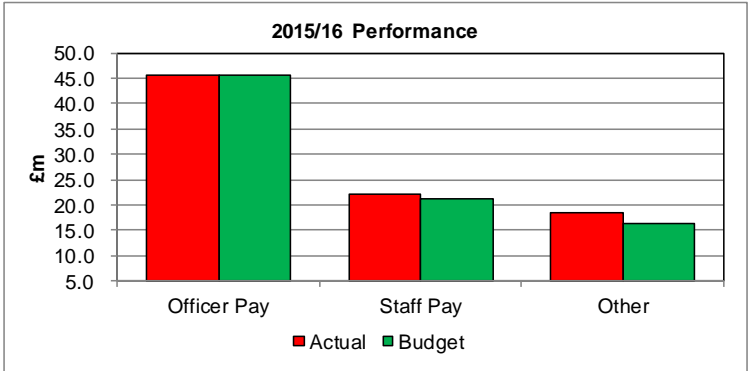
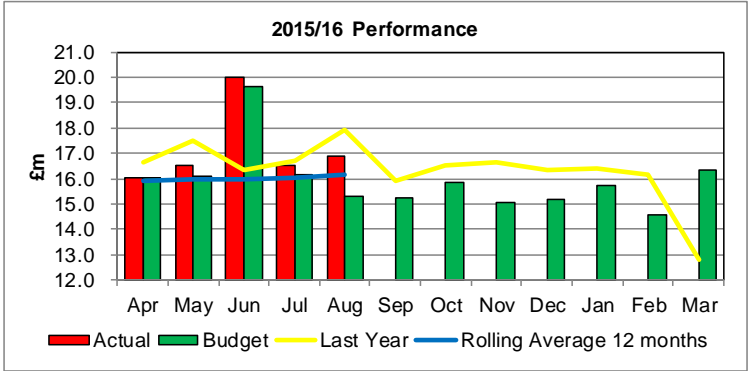
Police staff pay was £4.318m, which was £0.280m worse than budget, mainly due to agency costs; not achieving the budgeted vacancy rate; and the phasing of the overlay for PCSO restructuring. Overtime was £0.075m, which was £0.023m worse than budget, we are now not accruing in this area and this reflects the actual payments coming through from BOBO.

Other employee expenses was £0.041m better than budget due to releasing an accrual to offset redundancy costs from prior months.

Premises and transport costs were £0.062m and £0.126m worse than budget respectively. This was mainly due to the efficiency challenge included within the budget, such as the fleet review; this has been partly offset from the benefit of the current low fuel prices.

The overspend in Other supplies & services is primarily down to a year to date correction on partnership fees relating to externally funded projects within Operations and have been offset within income and under achievement of the efficiency challenges.

Collaboration contributions was £0.754m worse than budget due to the year to date charge for the MFSS which was omitted from the budget. This has been addressed in the forecast.



Financials

Year to date:

Expenditure was £2.758m worse than budget. This was largely due to the efficiency challenge being behind target at £0.932m and a year to date correction for the MFSS charge that was omitted from the original budget.

Police officer pay was £43.999m, which was £0.249m better than budget largely due to pensions, unsocial hours payments and leavers/retirees being higher than budgeted, although the monthly saving has slowed down. Overtime was £1.593m, which was £0.338m worse than budget, partly due to an accrual for c4,500 hours of overtime awaiting authorisation in BOBO on supervisors workbenches; and a number of operations the main ones being Op Drosometer at c£0.057m which is externally funded and matched by income, Op Tiffany at c£0.060m which is mutual aid and has been more than offset within income and Op Melic being the missing persons search.

Police staff pay was £21.695m, which was £0.596m worse than budget, mainly due to agency costs; not achieving the budgeted vacancy rate; and the phasing of the overlay for PCSO restructuring which is expected to reverse over the coming months. Overtime was £0.316m, which was £0.043m worse than budget, we are now not accruing in this area and this reflects the actual payments coming through from BOBO.

Premises and transport costs were £0.150m and £0.337m worse than budget respectively. This was mainly due to the efficiency challenge included within the budget, such as the fleet review; this has been partly offset from the benefit of the current low fuel prices.

Comms and computing were £0.272m worse than budget which is largely due to phasing and will be monitored closely over the forthcoming months.

The overspend in Other supplies & services is primarily down to a year to date correction on partnership fees relating to externally funded projects within Operations and have been offset within income, combined with the under achievement of the efficiency challenges.

Collaboration contributions was £0.754m worse than budget due to the year to date charge for the MFSS which was omitted from the budget. This has been addressed in the forecast.

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Capital Expenditure

Month: £0.372m

Year to date: £2.761m

Full year budget: £20.177m

	Month			Year to date			Remaining Budget	Full Year Budget
	Actual £m	Budget £m	B/(w) than Budget £m	Actual £m	Budget £m	B/(w) than Budget £m		
Estates								
Access control improvement works	(0.031)	0.061	0.092	0.004	0.206	0.202	0.601	0.605
Broxtowe refurbishment	0.196	0.070	(0.126)	0.196	0.169	(0.027)	0.043	0.239
Byron House - central relocation	-	-	-	-	-	-	0.980	0.980
Custody improvements	-	-	-	0.198	0.052	(0.146)	(0.053)	0.145
DIU/Cyber	-	0.076	0.076	-	0.270	0.270	0.420	0.420
FHQ kennels	-	0.090	0.090	-	0.281	0.281	0.571	0.571
FHQ re-surfacing of roads & car parking	-	-	-	-	0.278	0.278	0.279	0.279
Oxclose Lane refurbishment	-	-	-	-	0.010	0.010	0.450	0.450
Relocation of Control Room	-	0.050	0.050	-	0.100	0.100	1.278	1.278
West Bridgford 1st floor refurbishment	-	0.100	0.100	-	0.110	0.110	0.300	0.300
Lucerne	0.001	-	(0.001)	0.637	-	(0.637)	(0.637)	-
Other	0.096	0.206	0.109	0.176	1.064	0.888	1.823	1.999
	0.262	0.652	0.390	1.211	2.540	1.329	6.055	7.266
Information Systems								
Desktop virtualisation	0.002	-	(0.002)	0.034	0.300	0.266	0.266	0.300
Enabling change	0.002	0.033	0.031	0.004	0.165	0.161	0.396	0.400
Essential hardware refresh	0.002	0.033	0.031	0.017	0.165	0.148	0.383	0.400
Mobile data various projects	-	0.256	0.256	0.080	1.152	1.072	1.579	1.659
Regional LAN desk merger development	-	-	-	-	-	-	0.255	0.255
Telephony project	0.001	-	(0.001)	0.058	0.278	0.220	0.999	1.057
Other	0.102	0.044	(0.058)	0.284	0.634	0.350	0.415	0.699
	0.109	0.366	0.257	0.477	2.694	2.217	4.293	4.770
Other								
Body worn video	-	-	-	-	1.667	1.667	1.667	1.667
EMOpSS	-	0.125	0.125	-	0.625	0.625	1.499	1.499
MAIT	-	0.046	0.046	-	0.229	0.229	0.550	0.550
MFSS	-	-	-	1.050	1.740	0.690	0.690	1.740
Niche	-	0.129	0.129	0.020	0.643	0.623	1.522	1.542
PBS	-	0.032	0.032	0.002	0.162	0.160	0.380	0.382
Other	0.001	0.005	0.004	0.001	0.226	0.225	0.760	0.761
	0.001	0.337	0.336	1.073	5.290	4.217	7.068	8.141
	0.372	1.354	0.982	2.761	10.524	7.763	17.416	20.177

The £7.763m under spend versus the budget is mainly due to the body worn video £1.667m, mobile data projects £1.072m, EMOpSS £0.625m, MFSS £0.690m and Niche £0.623m. The spend on Niche is being investigated.

Currently the projects within the capital programme are being reviewed with the organisation with the ambition of reducing the overall spend for the 2015/16 to c£6.000m.

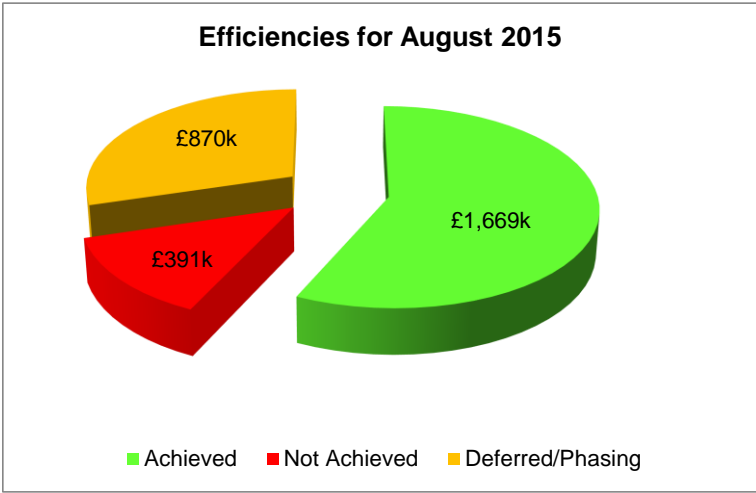
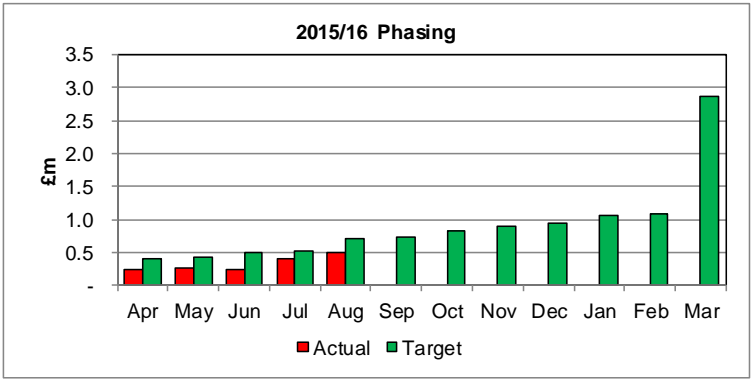
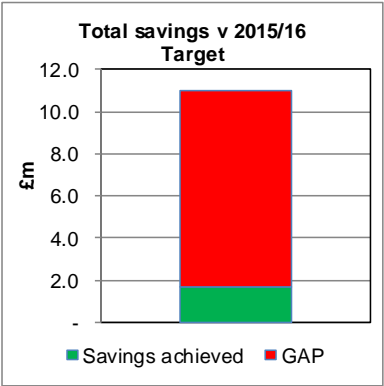
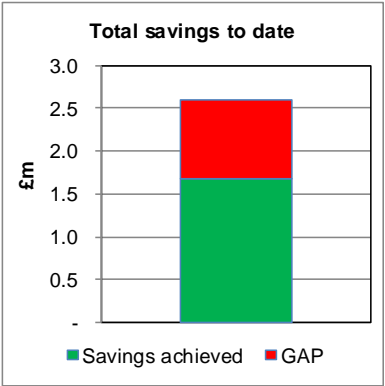
Efficiencies

Month: £0.514m against a target of £0.722m (£0.208m adverse)
Year to date: £1.669m against a target of £2.601m (£0.932m adverse)
Full year target: £11.014m

Month		
Actual £m	Budget £m	B/(w) than Budget £m
0.449	0.400	0.049
0.065	0.321	(0.256)
0.001	0.001	-
0.514	0.722	(0.208)

Operations
Corporate Services
OPCC

Year to date			Full Year Budget £m
Actual £m	Budget £m	B/(w) than Budget £m	
1.486	1.259	0.227	4.481
0.180	1.339	(1.158)	6.426
0.003	0.003	-	0.107
1.669	2.601	(0.932)	11.014



- Operations is ahead due to officer savings, partly offset by EMOpSS restructure.
- Corporate Services was £1.158m behind target due to staff vacancy rate, fleet review, 5% procurement saving and income generation.
- OPCC is on target.

Month		
Actual £m	Budget £m	B/(w) than Budget £m

0.490	0.282	(0.208)
-	-	-
(0.043)	0.017	0.060
-	-	-
0.448	0.299	(0.148)

Operations
Seconded officers & staff
Corporate Services
OPCC

Year to date			Full Year Budget £m
Actual £m	Budget £m	B/(w) than Budget £m	

1.746	1.439	(0.306)	3.662
0.002	-	(0.002)	-
0.161	0.089	(0.072)	0.215
0.001	-	(0.001)	0.001
1.909	1.529	(0.381)	3.877

Overtime

Month: £0.448m against a budget of £0.299m (£0.148m adverse)

Year to date: £1.909m against a budget of £1.529m (£0.381m adverse)

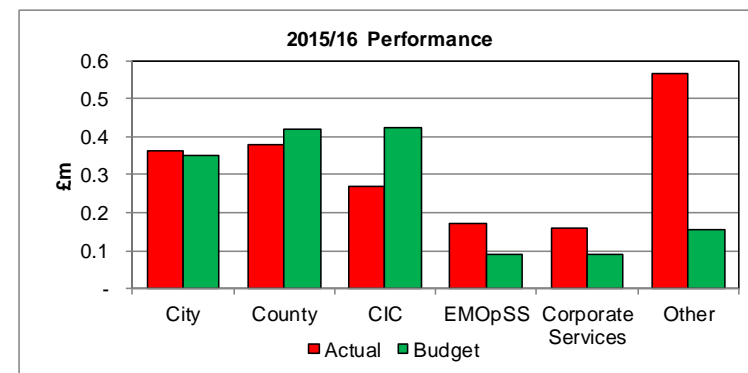
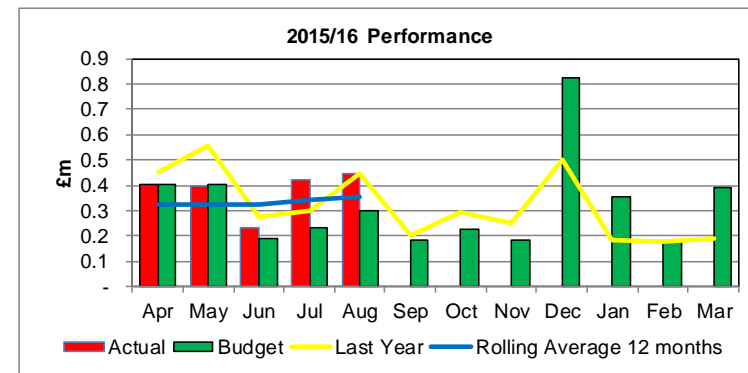
Full year budget: £3.877m

Officer overtime expenditure year to date was £1.593m, which is an over spend of £0.338m against a budget of £1.255m. This has mainly resulted from a number of operations the main ones being:

- Op Drosometer at c£0.057m which is externally funded and matched by income, however is phasing
- Op Tiffany at c£0.060m which is a mutual aid and has been more than offset within income
- Op Melic being the missing persons search
- £0.100m has been accrued to reflect a report showing c4,500 hours are in BOBO awaiting authorisation. We believe this is worst case and that not all the hours will be converted into paid overtime. Supervisors need to be reminded of the importance of clearing these requests in BOBO

Staff overtime expenditure year to date was £0.316m, which is an overspend of £0.043m against a budget of £0.274m.

The high expenditure within Other is due to the overtime accrual now being reported within Central costs.



Operations

Month		
Actual £m	Budget £m	B/(w) than Budget £m

8.333	8.257	(0.075)
0.420	0.234	(0.186)
3.041	2.897	(0.144)
0.070	0.048	(0.022)
(0.005)	0.009	0.014
11.859	11.446	(0.413)
0.076	-	(0.076)
(0.003)	-	0.003
0.119	-	(0.119)
(0.009)	-	0.009
1.459	0.064	(1.395)
0.304	0.368	0.064
0.571	0.308	(0.263)
2.516	0.740	(1.777)
14.375	12.185	(2.190)
(1.649)	(0.430)	1.220
12.726	11.756	(0.970)

Total pay & allowances

Police pay & allowances
Police overtime
Police staff pay & allowances
Police staff overtime
Other employee expenses

Other operating expenses

Premises costs
Transport costs
Comms & computing
Clothing, uniform & laundry
Other supplies & services
Collaboration contributions
Other

Total expenditure

Income

Year to date			Full Year Budget £m
Actual £m	Budget £m	B/(w) than Budget £m	

41.963	41.670	(0.293)	99.463
1.460	1.188	(0.272)	3.084
15.439	15.223	(0.216)	35.313
0.285	0.251	(0.034)	0.578
0.014	0.046	0.032	0.108
59.161	58.378	(0.784)	138.547
0.091	-	(0.091)	-
0.001	-	(0.001)	-
0.183	-	(0.183)	-
(0.009)	-	0.009	-
1.382	0.314	(1.069)	0.735
1.925	1.977	0.052	4.733
1.887	1.542	(0.345)	3.828
5.460	3.833	(1.627)	9.297
64.621	62.211	(2.411)	147.843
(3.597)	(2.584)	1.013	(4.978)
61.024	59.626	(1.398)	142.866

Operations

Month: £12.726m against a budget of £11.756m (£0.970m adverse)

Year to date: £61.024m against a budget of £59.626m (£1.398m adverse)

Full year budget: £142.866m

Month:

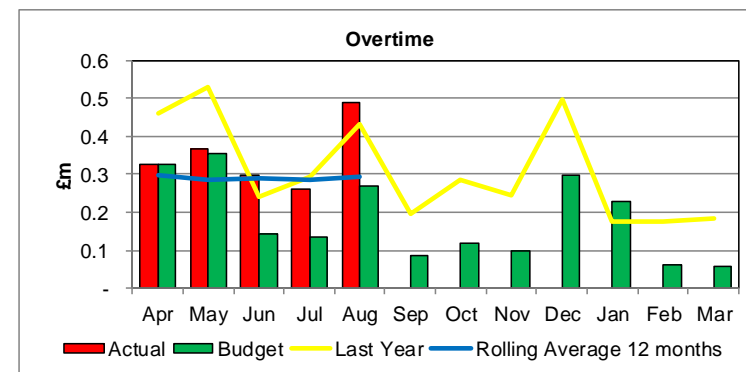
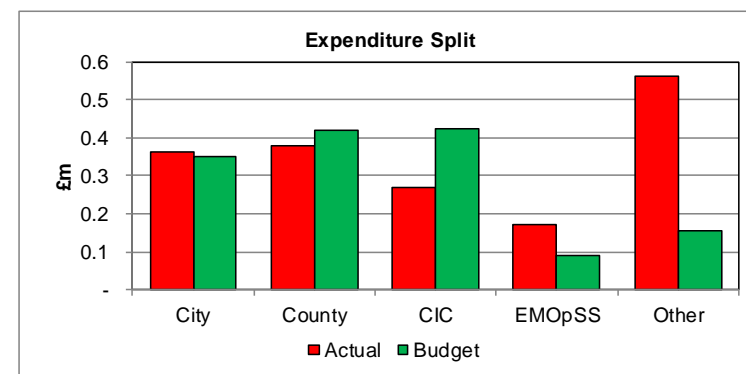
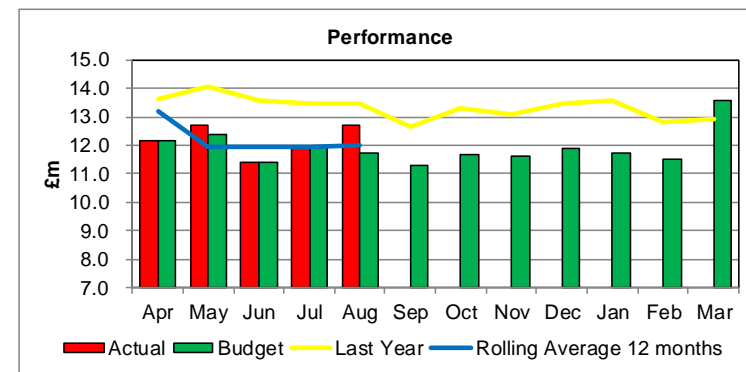
The £0.970m worse than budgeted performance due to overspends on Police Officer and Staff pay and overtime. The overtime overspend is mainly down to an accrual put in to potentially offset c4,500 hours of unauthorised overtime which needs to be cleared down by supervisors. The overspend of other supplies and services is primarily down to partnership fees which have been offset by income (externally funded).

Income was £1.220m better than budget, due to reason provided above around partnership fees.

Year to date:

The £1.398m worse than budget performance was mainly due to police officer salaries and staff. The payroll costs are being investigated as there could be some costs that should be charged to seconded officers as well as the partnership fees and income around external funding as described above.

With the move to the MFSS more costs are being centralised such as property, transport and IS. Currently a number of these costs are still residing within Operations and whilst most were corrected a few remain which are being reviewed and corrected.



Operations Efficiencies

Month: £0.449m against a target of £0.400m (£0.049m favourable)

Year to date: £1.486m against a target of £1.259m (£0.227m favourable)

Full year revised target: £4.481m

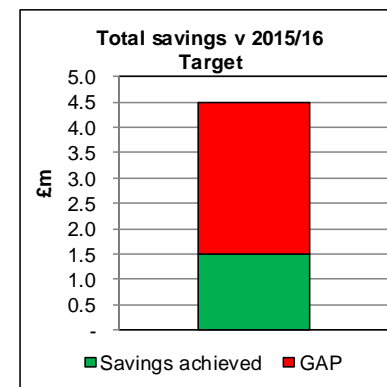
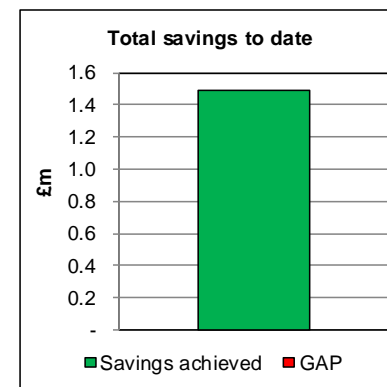
Month		
Actual £m	Budget £m	B/(w) than Budget £m

0.058	0.058	-
0.037	0.037	-
0.079	0.019	0.060
0.017	0.017	-
0.050	0.050	-
0.013	0.013	-
0.025	0.025	-
0.137	0.138	(0.001)
-	0.011	(0.011)
0.029	0.029	-
0.004	0.004	-
0.449	0.400	0.049

Transfer of EMSOU officers
Police officer recruitment gap
Increase in natural leavers (PCs)
CRIM efficiency savings
Local Policing efficiency savings
CIC efficiency saving.
Front Counters (Local Policing Delivery Plan)
Stop PCSO recruitment
EMOpSS restructure
EMCJS Custody review
EMCJS (Regional Criminal Justice Function)

Year to date			Full Year Budget £m
Actual £m	Budget £m	B/(w) than Budget £m	

0.292	0.292	-	0.700
0.186	0.186	-	0.706
0.301	0.052	0.249	0.300
0.083	0.083	-	0.200
0.250	0.250	-	0.600
0.063	0.063	-	0.150
0.125	0.125	-	0.340
0.137	0.138	(0.001)	1.100
-	0.022	(0.022)	0.100
0.029	0.029	-	0.235
0.020	0.020	-	0.050
1.486	1.259	0.227	4.481



Year to date:

- The variance is driven by saving on police officer salaries, the month includes a year to date adjustment.

Blank

Seconded Officers & Staff

Month		
Actual £m	Budget £m	B/(w) than Budget £m

0.083	0.216	0.134
-	-	-
0.005	0.016	0.011
-	-	-
-	-	-
0.087	0.232	0.145
-	-	-
(0.003)	-	0.003
-	-	-
-	-	-
0.001	-	(0.001)
-	-	-
-	-	-
(0.002)	-	0.002
0.085	0.232	0.147
(0.238)	(0.232)	0.006
(0.153)	-	0.153

Total pay & allowances

Police pay & allowances
Police overtime
Police staff pay & allowances
Police staff overtime
Other employee expenses

Other operating expenses

Premises costs
Transport costs
Comms & computing
Clothing, uniform & laundry
Other supplies & services
Collaboration contributions
Other

Total expenditure+G37

Income

Year to date			Full Year Budget £m
Actual £m	Budget £m	B/(w) than Budget £m	

0.479	1.113	0.634	2.631
0.002	-	(0.002)	-
0.024	0.080	0.056	0.191
-	-	-	-
-	-	-	-
0.505	1.193	0.688	2.823
-	-	-	-
0.001	-	(0.001)	-
-	-	-	-
-	-	-	-
0.002	-	(0.002)	-
-	-	-	-
-	-	-	-
0.003	-	(0.003)	-
0.508	1.193	0.685	2.823
(1.255)	(1.193)	0.062	(2.823)
(0.747)	-	0.747	-

Seconded Officers & Staff

Month: £(0.153)m against a budget of £0.000m (£0.153m favourable)
Year to date: £(0.747)m against a budget of £0.000m (£0.747m favourable)
Full year budget: £0.000m

Month:
The £0.153m better than budget performance was largely due to police officer pay and greater income received where actual charges have been incurred in other areas. Therefore this is not a real benefit to the force.

Year to date:
The £0.747m better than budget performance was largely due to police officer pay where actual charges have been incurred in other areas. This is not a real benefit. Work is underway within HR and Finance to ensure officers and staff are corrected.

There will be further development of this page over the next few months.

Corporate Services

Month		
Actual £m	Budget £m	B/(w) than Budget £m

0.289	0.291	0.002
(0.047)	0.013	0.060
1.214	1.068	(0.146)
0.005	0.004	(0.000)
0.028	0.054	0.026
1.489	1.430	(0.059)
0.511	0.524	0.013
0.632	0.500	(0.132)
0.362	0.491	0.129
0.025	0.027	0.002
0.407	0.041	(0.366)
0.977	0.158	(0.819)
0.469	0.522	0.053
3.382	2.264	(1.119)
4.871	3.694	(1.177)
(0.665)	(0.304)	0.361
4.206	3.390	(0.816)

Total pay & allowances

Police pay & allowances
Police overtime
Police staff pay & allowances
Police staff overtime
Other employee expenses

Other operating expenses

Premises costs
Transport costs
Comms & computing
Clothing, uniform & laundry
Other supplies & services
Collaboration contributions
Other

Total expenditure

Income

Year to date			Full Year Budget £m
Actual £m	Budget £m	B/(w) than Budget £m	

1.557	1.465	(0.092)	3.542
0.130	0.067	(0.064)	0.162
5.942	5.513	(0.429)	12.485
0.030	0.022	(0.008)	0.053
0.319	0.272	(0.048)	0.661
7.980	7.339	(0.641)	16.902
2.717	2.654	(0.063)	5.931
2.833	2.495	(0.338)	5.833
2.544	2.454	(0.090)	5.927
0.257	0.148	(0.109)	0.447
0.976	0.315	(0.662)	0.178
1.595	0.788	(0.807)	1.891
7.248	7.358	0.109	10.533
18.171	16.213	(1.959)	30.740
26.151	23.551	(2.599)	47.642
(2.031)	(1.582)	0.449	(4.033)
24.119	21.969	(2.150)	43.610

Corporate Services

Month: £4.206m against a budget of £3.390m (£0.816m adverse)

Year to date: £24.119m against a budget of £21.969m (£2.150m adverse)

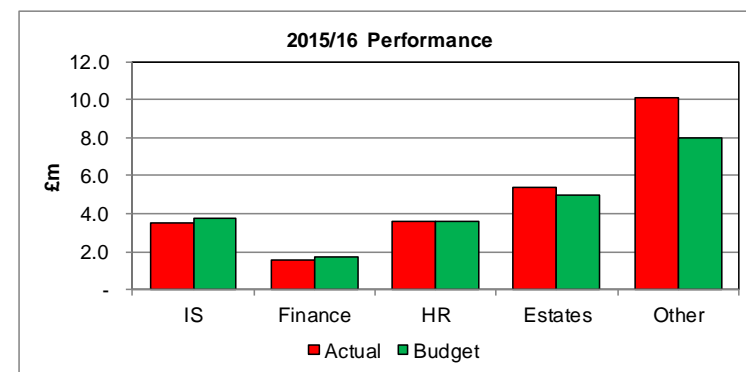
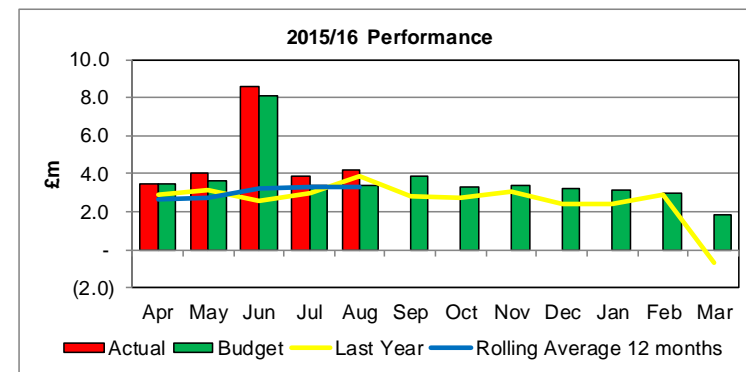
Full year budget: £43.610m

Month:

The £0.816m worse than budget performance was predominantly due to Collaboration Contributions which now reflect the anticipated MFSS charge. Other supplies & services reflects the innovation costs of mental health, precursor, body worn video and prevent, this is off-set by income. Other high spend areas are staff pay, this is due to the efficiency challenge not being met and transport costs for the same reason, although fuel costs continue to benefit the force. Comms and computing are showing a favourable position, this is due to phasing and will be monitored closely.

Year to date:

The £2.150m worse than budget performance was due to staff salaries which is mainly agency and not achieving the efficiency challenges; Transport costs combined with not achieving the efficiency challenge; redundant stock within Uniforms; and Other supplies & services is largely due to efficiency challenges that are behind target and the costs due for the MFSS service.



Corporate Services Efficiencies

Month: £0.065m against a target of £0.321m (£0.256m adverse)

Year to date: £0.180m against a target of £1.339m (£1.158m adverse)

Full year target: £6.426m

Month		
Actual £m	Budget £m	B/(w) than Budget £m

-	0.093	(0.093)
-	0.044	(0.044)
0.047	0.019	0.028
0.018	0.058	(0.040)
-	0.003	(0.003)
-	0.075	(0.075)
-	0.029	(0.029)
0.065	0.321	(0.256)

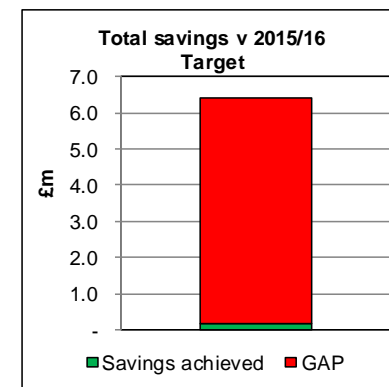
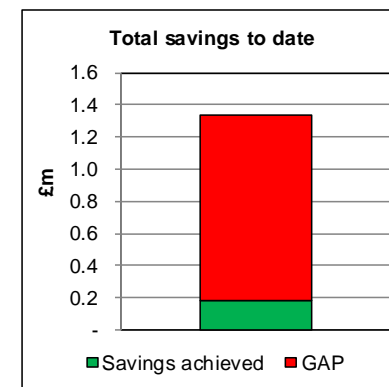
HR
Finance
IS
Assets
PSD
EMSCU
Other (Command, Central, Collaboration)

Year to date		
Actual £m	Budget £m	B/(w) than Budget £m

-	0.378	(0.378)
-	0.164	(0.164)
0.077	0.089	(0.012)
0.104	0.288	(0.184)
-	0.017	(0.017)
-	0.257	(0.257)
-	0.146	(0.146)
0.180	1.339	(1.158)

Full Year Budget £m

1.030
2.490
0.226
1.134
0.040
1.156
0.350
6.426



Year to date:

- HR – hold on staff recruitment challenge.
- Finance – due to the challenge to recharge costs to the region.
- IS – general cost reduction still to be achieved.
- Assets – phasing of fleet review, partially offset by better than budgeted performance on fuel.
- EMSCU – 5% saving on current spend and income generation have not been achieved.

For Information / Consideration	
Public/Non Public*	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	10th December 2015
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Brain Welch
Agenda Item:	11

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 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



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

Internal Audit Progress Report 2015/16

November 2015

Presented to the Audit & Scrutiny Panel meeting of: 10th December 2015

Contents

- 01 Introduction
- 02 Summary and conclusions from Internal Audit work to date
- 03 Performance

Appendices

- A1 Summary of Reports
- A2 Internal Audit Plan 2015/16
- A3 Definition of Assurances and Priorities
- A4 Contact Details
- A5 Statement of Responsibility

01 Introduction

- 1.1 The purpose of this report is to update the Audit & Scrutiny Panel as to the progress in respect of the Operational Plan for the year ended 31st March 2016. The plan was considered and approved by the Audit & Scrutiny Panel at its meeting on 9th June 2015.
- 1.2 The Police and Crime Commissioner and Chief Constable are responsible for ensuring that the organisations have proper internal control and management systems in place. In order to do this, they must obtain assurance on the effectiveness of those systems throughout the year, and are required to make a statement on the effectiveness of internal control within their annual report and financial statements.
- 1.3 Internal audit provides the Police and Crime Commissioner and Chief Constable, through the Audit & Scrutiny Panel, with an independent and objective opinion on governance, risk management and internal control and their effectiveness in achieving the organisation's agreed objectives. Internal audit also has an independent and objective advisory role to help line managers improve governance, risk management and internal control. The work of internal audit, culminating in our annual opinion, forms a part of the OPCC and Force's overall assurance framework and assists in preparing an informed statement on internal control.
- 1.4 Responsibility for a sound system of internal control rests with the Police and Crime Commissioner and Chief Constable and work performed by internal audit should not be relied upon to identify all weaknesses which exist or all improvements which may be made. Effective implementation of our recommendations makes an important contribution to the maintenance of reliable systems of internal control and governance.
- 1.5 Internal audit should not be relied upon to identify fraud or irregularity, although our procedures are designed so that any material irregularity has a reasonable probability of discovery. Even sound systems of internal control will not necessarily be an effective safeguard against collusive fraud.
- 1.6 Our work is delivered in accordance with the Public Sector Internal Audit Standards (PSIAS).

02 Summary of internal audit work to date

- 2.1 We have issued two final reports to date, in respect of Joint Code of Corporate Governance and Payment Processes and Procedures, the latter being an additional piece of work to the agreed plan. Management are currently considering their responses with regards a further four draft audit reports, one of which relating to the Savings Programme which is also an additional piece of work to the agreed plan.
- 2.2 The following table is provided provides a summary of assurances, including the number and categorisation of recommendations, in each report issued to the date. Further details, and scheduled work for the rest of the year, are provided in Appendix A1.

Auditable Area	Report Status	Assurance Opinion		Priority 1 (Fundamental)	Priority 2 (Significant)	Priority 3 (Housekeeping)	Total
Joint Code of Corporate Governance	Final	Satisfactory				2	2
Payment Processes & Procedures	Final	Limited		1	2		3
Integrated Offender Management	Draft	Satisfactory			1	2	3
Savings Programme	Draft	Limited		2	3		5
Proceeds of Crime	Draft	Satisfactory			3	2	5
Procurement	Draft	Local - Limited	EMSCU – Limited	4	7		11
Total				9	22	8	39

- 2.3 Work in respect of the Core Financial Systems has been recently been completed and included review of both local procedures within the force and those elements of the process undertaken by the Multi-Force Shared Service in Nottingham and Northampton.
- 2.4 As reported last time, Internal Audit attended a meeting of the OPCC Chief Financial Officers Group at which one of the areas discussed was how Internal Audit could provide assurance with regards the key risks relating to regional collaboration. Since this meeting Internal Audit have attended a further meeting of the Group at which Collaboration was again discussed. It was agreed that Baker Tilly, having undertaken an initial 'Proof of Concept' review of the Learning and Development regional collaboration arrangement, would be commissioned to undertake similar assurance mapping exercises on the other areas of collaboration. As a consequence, at the time of writing, the Group are currently discussing how best to utilise the resources in the internal audit plan set aside for collaboration.
- 2.5 With regards producing the 2016/17 internal audit plan, a meeting is to be held in early January, attended by all relevant officers, to agree the key areas of audit focus for the new year.

03 Performance

- 3.1 The following table details the Internal Audit Service performance for the year to date measured against the key performance indicators that were set out within Audit Charter. This list will be developed over time, with some indicators either only applicable at year end or have yet to be evidenced.

No	Indicator	Criteria	Performance
1	Annual report provided to the JIAC	As agreed with the Client Officer	N/A
2	Annual Operational and Strategic Plans to the JIAC	As agreed with the Client Officer	Achieved
3	Progress report to the JIAC	7 working days prior to meeting.	Achieved
4	Issue of draft report	Within 10 working days of completion of final exit meeting.	86% (6/7)
5	Issue of final report	Within 5 working days of agreement of responses.	100% (2/2)
6	Follow-up of priority one recommendations	90% within four months. 100% within six months.	N/A
7	Follow-up of other recommendations	100% within 12 months of date of final report.	N/A
8	Audit Brief to auditee	At least 10 working days prior to commencement of fieldwork.	100% (8/8)
9	Customer satisfaction (measured by survey)	85% average satisfactory or above	N/A

Appendix A1 – Summary of Reports

Brief outlines of the work carried out, a summary of our key findings raised and the assurance opinions given in respect of the reports issued to date are provided below:

Joint Code of Corporate Governance

Assurance Opinion	Satisfactory
-------------------	--------------

Recommendation Priorities	
Priority 1 (Fundamental)	-
Priority 2 (Significant)	-
Priority 3 (Housekeeping)	2

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

- A Joint Code of Corporate Governance is in place between the Commissioner and Chief Constable that complies with relevant legislation and guidance.
- Appropriate Annual Governance Statements are produced on behalf of the Commissioner and Chief Constable that provide assurance that the governance framework is effective.
- The process used for the annual review of the governance framework is sufficiently robust and that the implementation of previously identified improvement actions has been effectively monitored.
- The corporate governance framework is supported by policies and procedures, such as a decision making framework and scheme of delegation and that these are appropriately communicated and monitored for compliance.
- The roles and responsibilities of senior officers and staff within the Force and NOPCC are clearly defined, particularly regarding their decision making responsibilities.
- Decisions are made in accordance with the governance framework in a clear and transparent manner, supported by the appropriate levels of relevant and timely information.
- Decisions made are clearly recorded, communicated and published where relevant.

In reviewing the above risks, our audit considered the following areas:

- Policies and Procedures
- Legislation and guidance
- Production of the Annual Governance Statement's
- Performance Monitoring
- Roles and Responsibilities
- Decision Making Framework

We raised two priority 3 recommendations where we believe there are opportunities to implement a good or better practice, to improve efficiency or further reduce exposure to risk:

- A review of policies and procedures should be undertaken, with a schedule maintained of which policies / procedures required reviews and the frequency of these reviews.

- Nottinghamshire Police & Crime Commissioner should undertake a review of the Governance and Decision Making Framework to ensure it remains up to date and fit for purpose in terms of the way decisions are required to be made. Particularly those with a non financial impact (or of significant public interest) which are not currently covered in the Working Together document.

As parts of this document are also covered in the Working Together document, the two documents should be reviewed in union and consideration given to combining both into one single document to prevent the risk of conflicting information.

Once reviewed and updated, the framework should be made available to all officers of both organisations with decision making powers to ensure it is adhered to.

Management accepted the recommendations and have put in place plans to address the issues by May 2016.

Payments Processes and Procedures

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

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

- Policies, procedures and guidance are in place to ensure staff are aware of the process for making payments from NOPCC funds.
- All payments made follow the approved process within the NOPCC.
- Financial approval thresholds are established and payments are authorised according to these delegation levels.
- There is an appropriate segregation of duties in place when authorising payments to be made.
- Access to the payments system for raising and approving orders is restricted to nominated members of staff.
- All payments made have supporting documentation available.
- There is an appropriate and approved process in place for authorising and making same day or emergency payments.
- All payments made are by the Nottingham police force on behalf of the Commissioner are reconciled to the NOPCC accounts.
- There is a process in place to ensure staff are made aware of any potential or emerging fraud risks in this area.

We raised one fundamental (priority 1) recommendation which should be address immediately. This related to the following:

- The NOPCC should request the following from the Force lead and MFSS:
 - The option to approve without authorisation is removed.
 - That an analysis print is of all payments made to date without authorisation across the Force and OPCC. That this printout is checked in detail as to the validity of those payments.

Furthermore, we raised two priority 2 recommendation where we believe there is scope for improvement within the control environment. These are set out below:

- Formal procedures should be created which set out the process within the Office of the Police Crime Commissioner for inputting invoices, authorising payments and raising purchase orders using the Oracle system and the Multi Force Shared Service. These should be communicated to all relevant staff.
- In order to reduce the risk of fraudulent payments being paid, the OPCC should either develop a checklist of things the CFO must look at in order to identify whether a request for urgent payment is genuine and include a secondary check of the request, or cease the practice of urgent or emergency payments.

A checklist should include: verifying it is the genuine sender requesting the urgent payment (email address); verbal contact with the requestor to confirm legitimacy of request; scrutiny of the content of the email for inconsistencies; and, an assessment of the request to establish if an urgent payment is really required.

Management accepted the recommendations and have put in place plans to address the issues by December 2015.

Integrated Offender Management

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

The audit objectives are to provide assurance that:

- A clear strategy has been identified and approved for managing IOM within Nottinghamshire police.
- Policies and procedures are in place for IOM to ensure that it follows the national principles and the agreed strategy.
- Policies and service level agreements, where relevant, are in place with partner agencies to ensure that the force discharges its responsibilities within IOM.
- The process for nominating individuals for IOM is established and consistently applied.
- The process for removing individuals from the IOM process is consistently applied.
- Decisions, and the rationale behind them, are clearly recorded.
- Offender management plans are appropriately authorised and reviewed.
- Performance measures to establish the effectiveness of the IOM process are in place, are reviewed for accuracy and relevance and are reported to the appropriate level.

We raised one priority 2 recommendation where we believe there is scope for improvement within the control environment. This is set out below:

- The Multi-Agency Intelligence Team members should ensure that detailed information is recorded within the IOM selection meeting database, against each individual nominated but rejected from the IOM scheme.

We also raised two priority 3 recommendations of a more housekeeping nature in respect of the following:

- IOM Strategic document
- Performance monitoring

At the time of writing we are in discussion with management with regards the response.

Proceeds of Crime

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

The audit objectives are to provide assurance that:

- Policies and procedures are in place to ensure that cash and assets that can be confiscated under POCA legislation are identified during the arrest and investigation process.
- Suitable training is provided to officers and staff to ensure they are aware of POCA requirements when seizing cash and assets.
- Cash and assets confiscated during the arrest and investigation are recorded appropriately and consistently, and are subject to regular review.
- Cash and assets are stored securely, with restricted and controlled access to nominated officers and staff.
- Cash is counted in a secure and controlled environment, with an appropriate level of independent verification.
- Cash is banked in a timely manner to an interest bearing account, and not in to general funds.
- Cash held in this account is reconciled regularly and transferred within the agreed timescales.
- Performance information regarding the number and amount of confiscation orders is managed and is accurate and up to date.
- Monies awarded back to the force are reconciled and spent according to an agreed protocol.

We raised three priority 2 recommendation where we believe there is scope for improvement within the control environment. These are set out below:

- Any upgrade to the Crime Reporting Management System should include an error function which requires mandatory completion of the field within each profile for indicating a POCA related incident.

The CRMS should also be enabled to effectively report on all POCA related incidents.

Additionally, POCA training across the Force should continue to stress the importance of using this field and making direct referrals.

The new Archive and Exhibits system should include the ability to reconcile valued cash and assets with those levels indicated by the Force's financial investigation system.

- Officers should be reminded of the need to record evidence bag reference numbers within crime reporting management systems.
- The Force should take steps to enable the Archive and Exhibits department to continue reconciliation of POCA accounting records and funds.

Full analyses of balances on all POCA financial accounting system control accounts should be reconciled at the earliest opportunity.

We also raised two priority 3 recommendations of a more housekeeping nature in respect of the following:

- Processing of cash and assets
- Annual and forecast performance reporting

At the time of writing we are in discussion with management with regards the response.

Procurement

Assurance Opinion	Local – Limited
	EMSCU – Limited

Recommendation Priorities	
Priority 1 (Fundamental)	4
Priority 2 (Significant)	7
Priority 3 (Housekeeping)	-

The scope covered the following audit objectives:

- Policies, procedures and guidance are in place to ensure officers and staff are aware of the process for purchasing goods and services.
- Purchasing authority levels are clearly defined and adhered to.
- All purchases over £25,000 are managed by the East Midlands Strategic Commercial Unit (EMSCU).
- Purchases are supported by sufficiently detailed and authorised business cases where appropriate.
- All procurement below £25,000 is authorised locally, with purchase orders raised and with quotations and tenders sought where appropriate.
- Purchases below the £25,000 threshold are monitored to ensure compliance with local financial and procurement regulations and that best value is being achieved.
- National frameworks are used where it is appropriate to do so and best value is considered when making this decision.
- Value for money is considered and decisions regarding this are documented during the procurement process.

We raised four fundamental (priority 1) recommendations which should be address immediately. These relate to the following:

- All purchases greater than £25,000 should be approved in line with the delegated scheme of approval limits contained within the Force Financial Regulations. (EMSCU responsibility)
- Contracts should be in place for all purchases over £25,000 and these should be signed by all parties prior to the commencement of the contract. (EMSCU responsibility)
- A formal approval process should be established within the Force before new suppliers are entered on the Oracle system.

The Force should ensure that the MFSS does not pay any supplier who has not already been approved. (Local Responsibility)

- Management should look to implement an exception reporting system in conjunction with MFSS team from the finance system.

The frequency and detail of these reports needs to be established. The responsibility for monitoring this information within the Force should be clearly identified. (Local Responsibility)

Furthermore, we raised seven priority 2 recommendation where we believe there is scope for improvement within the control environment. These are set out below:

- The record of frameworks in place should be updated and reviewed on a regular basis to include all current frameworks. (EMSCU responsibility)
- Management should carry out a review to reconcile the approval matrix to the approval workflow as set up within the MFSS finance system.

There should then be periodic checks carried out to ensure the approval lines within the system are appropriate. (Local Responsibility)

- Management should review the approval matrix and set approval limits by job title rather than name. (Local Responsibility)
- Consideration should be given to monitoring purchases below £25,000 across the shared service forces. (Local / EMSCU responsibility)
- Management should ensure that invoices are not paid without a relevant purchase order in place. This should then be monitored through the utilisation of exception reporting as per recommendation 4.5. (Local Responsibility)
- Management should review the suppliers in the system and remove those which are no longer being used.

Management should ensure that staff use existing suppliers before procuring from new suppliers, and use this as a basis for negotiating multiple purchase discounts where possible. This should be monitored in line with recommendation 4.5. (Local Responsibility)

- Requisitions should be supported by quotations as required by the procurement policy.

Staff should attach quotes to requisition orders on the system. (Local Responsibility)

At the time of writing we are in discussion with management with regards the response.

Savings Programme

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

The scope covered the following audit objectives:

- Procedures and guidance are available to support the effective delivery of the savings programme, including the methodology / rationale for calculating and justifying the proposed savings.
- Responsibilities for the delivery of individual savings targets are agreed and understood.
- There is a rigorous process for challenging the proposed savings targets, including their subsequent approval.
- There are effective processes in place to co-ordinate delivery of the overall savings programme in liaison with local / departmental savings targets.
- Management information in respect of the delivery of the savings programme is reported to the relevant forum in a timely and complete manner.
- Where savings targets are unlikely to be achieved, the reasons for the shortfall are provided to the relevant forum at the earliest opportunity in order that timely remedial action can be taken to address the issue.
- The current shortfall in the achievement of the 2015/16 savings programme is known and the reasons for the shortfall are understood.
- There are robust processes put in place to address the current shortfall in the savings programme and to deliver further 2015/16 savings.
- The lessons learnt from the 2015/16 savings programme are understood and are utilised in drawing up the 2016/17 budget.

We raised two fundamental (priority 1) recommendations which should be address immediately. These relate to the following:

- Management should produce a detailed procedural document to support the finance strategy setting out the exact process to be followed for developing, delivering and reporting against the savings programme.
- Management should agree on the approach which is to be taken to address the shortfall. This should be formally approved at Board level and then monitored regularly to make sure the delivery of this is achieved.

Furthermore, we raised three priority 2 recommendation where we believe there is scope for improvement within the control environment. These are set out below:

- Management should develop and produce a financial strategy which clearly sets out how finance resources and activity will be managed.

This should include the clear link between the overall development of the savings programme and then how this links with the departmental targets.

- Management should develop an operational monitoring tool whereby all efficiency targets, the supporting business cases and the monitoring information is stored.

This information should be maintained on a central log whereby progress against delivering targets can easily be monitored.

- Management should agree on a single consistent approach to determining the workforce figures.

This approach should be formally approved by the Board and then rolled out to ensure all future budgets and savings are identified against an accurate and consistent workforce figure.

At the time of writing we are in discussion with management with regards the response.

Appendix A2 Internal Audit Plan 2015/16

Auditable Area	Planned Fieldwork Date	Draft Report Date*	Final Report Date*	Target ASP	Comments
Core Assurance					
Joint Code of Corporate Governance	Aug 2015	A - Sept 2015	A - Nov 2015	Dec 2015	Final report issued.
Financial Controls – MFSS	Oct / Nov 2015	P - Nov 2015	P - Dec 2015	Feb 2016	Fieldwork completed; being reviewed.
Financial Controls – PBS	Jan 2016	P - Feb 2016	P - March 2016	April 2016	Due to Strategic Alliance developments, audit put on hold.
Strategic & Operational Risk					
Integrated Offender Management	Sept 2015	A - Oct 2015	P - Nov 2015	Dec 2015	Draft report issued; currently discussing response.
Social Impact / Value	Feb 2015	P - March 2016	P - March 2016	April 2016	Deferred from Q3 to allow further discussion of the scope.
Proceeds of Crime	July 2015	A - Sept 2015	P - Nov 2015	Dec 2015	Draft report issued; currently discussing response.
Commissioning	Feb 2016	P - March 2016	P - March 2016	April 2016	Currently agreeing scope.
Code of Practice for Victims of Crime	Sept 2015	A - Oct 2015	P - Nov 2015	Feb 2016	Currently reviewing auditee responses.
Collaboration					
Procurement	Aug 2015	A - Oct 2015	P - Nov 2015	Dec 2015	Draft report issued; currently discussing response.
Collaboration	On-going	On-going	On-going	On-going	See paragraph 24.
Other					

Auditable Area	Planned Fieldwork Date	Draft Report Date*	Final Report Date*	Target ASP	Comments
Payments Processes & Procedures	July 2015	A - Sept 2015	A - Oct 2015	Dec 2015	Final report issued.
Savings Programme	Aug 2015	A - Sept 2015	P - Nov 2015	Dec 2015	Draft report issued; currently discussing response.

* P – Planned Date; A – Actual Date

Appendix A3 – Definition of Assurances and Priorities

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

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

Appendix A4 - Contact Details

Contact Details

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A5 Statement of Responsibility

Status of our reports

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

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

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

Chartered Accountants in England and Wales to carry out company audit work.

For Information	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	10 December 2015
Report of:	Julie Mair, Temp. Head of Corporate Development
Report Author:	Beverly Topham, Strategic Support & Review Officer
E-mail:	Amanda Froggatt, Strategic Support Officer
Other Contacts:	Martin Bakalarczyk, T/ Planning and Policy Officer
Agenda Item:	12

AUDIT AND INSPECTION REPORT

1. Purpose of the Report

- 1.1 To provide the Audit and Scrutiny Panel with an update on progress against recommendations arising from audits and inspections which have taken place within the force.
- 1.2 To inform the Panel of the schedule of planned audits and inspections.

2. Recommendations

- 2.1 That the Panel notes the progress made against audit and inspection recommendations.
- 2.2 That the Panel takes note of forthcoming audits and inspections.

3. Reasons for Recommendations

- 3.1 To enable the Panel to fulfil its scrutiny obligations with regard to the Force's response to audits and inspections.
- 3.2 To keep the Panel informed about forthcoming audits and inspections.

4. Summary of Key Points

- 4.1 The actions referred to in this report are the result of recommendations made by the Force's internal auditors and external inspectorates, including Her Majesty's Inspectorate of Constabulary (HMIC). They are managed through the Force Activity Plan process and updated on a monthly basis.
- 4.2 Appendix 1 'Audit, Inspection and Review Status Report Quarter 2 2015/16' provides a summary of forthcoming audits and inspections that the Force is currently aware of.
- 4.3 There are a number of National Thematic Reports as well as Joint Inspection which have been discussed with key lead staff. For those listed below a decision has been made that 'no action is required. All have been approved by DCC Fish.

CJJI - Disability Hate Crime
CJJI - Investigation and Prosecution of Fatal Road Traffic Incidents
CJJI- Integrated Offender Management Process
CJJI – Girls in the Criminal Justice System.
College of Policing – Leadership Review

- 4.4 Appendix 2 'Audit and Inspection Actions Update Report Q2 2015/16' provides details of specific actions arising from audits and inspections that are either overdue, or at risk of being overdue.

Overdue Actions

- 4.5 There are currently 2 actions showing as overdue. These overdue actions continue to be progressed and an explanation for why the original anticipated completion date was not met is included in 4Action.

Actions at risk of being Overdue

- 4.6 There are 0 actions showing as at risk of being overdue.

5 Financial Implications and Budget Provision

- 5.1 There are no direct financial implications. 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 policy implications in relation to the actions listed.

7 Equality Implications

- 7.1 There may be equality implications arising from the following reviews of policy and process:
- Witness care unit review.
 - Child protection and vulnerability in custody.

8 Risk Management

- 8.1 None of the current actions are addressing specific risks on the Force's risk register. There are also no new risks arising from any of the agreed actions.
- 8.2 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 established risk management process.

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

- 9.1 There are likely to be policy implications in relation to the following action:
- Detention of children review.
- 9.2 The following actions relate to aspects of current Police and Crime Plan priorities:
- Witness care unit review.
 - Detention of children review.

10 Changes in Legislation or other Legal Considerations

- 10.1 There are potential legal implications arising from the following actions:
- Detention of children review.

11 Details of outcome of consultation

- 11.1 Following receipt of a final audit or inspection report a member of the Planning and Policy team consults with the Force lead and other responsible 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 Force's action planning system, 4Action, for management and review until completion.

12. Appendices

- 12.1 Appendix 1: Audit and Inspection Status Report Q2 2015/16
- 12.2 Appendix 2: Audit and Inspection Actions Update Report Q2 2015/16

Appendix 1: Current and forthcoming audits and inspections. Quarter 2 2015/16

Current Audits and Inspections

Date	Scrutiny Body	Title	Update
June 2015 (Regionally led)	HMIC	Regional Organised Crime Unit (ROCU)	Awaiting final report
29th June 2015 - 3rd July 2015	HMIC	PEEL - Effectiveness Vulnerability	Draft report received, out for factual accuracy and management comment
4th August 2015 - 7th August 2015	HMIC	Re inspection - Child Protection	Awaiting draft report
September 2015	HMIC	PEEL - Legitimacy	Awaiting draft report
September 2015	HMIC	PEEL - Effectiveness	Awaiting draft report
October 2015	HMIC	PEEL - Efficiency	Final report published
November 2015	HMIC	Rape Monitoring	Final report published
23rd July for 8 days	MAZARS	Proceeds of Crime Act	Awaiting final report
3rd August for 10 days	MAZARS	Compliance with the Code of Corporate Governance	Final report received. Proposed 2 new actions
17th August 2015 for 14 days	MAZARS	Procurement	Out for factual accuracy check and management comment
21st September for 7 days	MAZARS	Code of Practice for Victims of Crime	Out for factual accuracy check and management comment
22nd September for 8 days	MAZARS	Intergrated Offender Management	Out for factual accuracy check and management comment

24th September for 10 days	MAZARS	Savings Programme	OoPCC report. Out for factual accuracy check and management comment
26th September (in force 2nd - 6th November) for 18 days	MAZARS	Financial Controls-MFSS	Audit has commenced
August 2015	MAZARS	Payments, Processes and Procedures	OoPCC report. Final report received. Proposed 3 new OoPCC actions
February 2015	Baker Tilly	Key Financial Controls	Awaiting final report
April 2015	Baker Tilly	Grant Scheme	Final report received

Forthcoming Audits, Inspections and Reports

Date	Scrutiny Body	Title	Update
tba	MAZARS	Financial Controls-PBS	Delayed and yet to be scoped due to strategic alliance
Q4	MAZARS	Social Impact and Value	OoPCC report. Delayed now programmed for quarter 4
November 2015	HMIC	Witness for the Prosecution: Identifying Victim and Witness Vulnerability in Criminal Case Files (joint with HMCPSI)	Final report received

Audit and inspection thematic reports

Date	Scrutiny Body	Title	Update
July 2015	HMIC	Building the Picture: An inspection of Police Information Management	Response to recommendations consolidated in letter, sent to HMIC 9/11/15
July 2015	HMIC	Online and on the edge: Real risks in a virtual world	Recommendation decisions to be incorporated into CSE Strategy, entered onto 4Action and monitored through Public Protection meeting
July 2015	HMIC	In Harms Way. The Role of the Police in keeping children safe	Appropriate actions in response to each recommendation to be captured, authorised and entered onto 4Action
July 2015	HMIC	The Welfare of Vulnerable People in Custody	Appropriate actions in response to each recommendation to be captured, authorised and entered onto 4Action
September 2015	HMIC	Firearms Licensing Report: Targeting the Risk	Appropriate actions in response to each recommendation to be captured, authorised and entered onto 4Action

Appendix 2: Audit and Inspection Actions Update Report

Quarter 2: 2015/16

NB. Actions include those arising from recommendations highlighted by audit or inspection

Summary	Current	Previous	Trend
Action(s) off target	2	2	➡
Action(s) at risk of being off target	0	2	⬇
Action(s) proposed for closure	1	4	⬇
Action(s) on target	13	23	⬇
Total closed action(s)	38	13	⬆
Total actions	54	44	⬆

RAG Key	
On target	On target to deliver within constraints, including target completion date, budget and resource allocated. It is also anticipated that any expected efficiency savings will be met. No further action required at this time.
At risk	It is anticipated that there will be some slippage from the original target completion date and / or other constraints such as budget, available resource or expected efficiency saving. To be highlighted to the Portfolio Board as an issue for monitoring.
Off target	Target date and / or other constraints such as budget or available resource have been exceeded, or it is anticipated that an expected efficiency saving will not be met. Issue to be highlighted to the Portfolio Board and corrective action sought to meet business objectives.

Action(s) off target

Ref	Target date	Recommendation	Action	Manager Responsible	Source/ Title	Action status	Action Update
CH/5490/1415	31/10/2015	<p>8. Within three months: (pg21-22) We recommend that Nottinghamshire Police undertakes a review (jointly with children's social care services and other relevant agencies) of how it manages the detention of children. To include:</p> <p>* ensure that all staff act within the law so that all children are only detained when absolutely necessary and for the absolute minimum amount of time;</p> <p>* assess at an early stage the likely need for secure or other accommodation, and work with children's social care services to achieve the best option for the child;</p>	<p>Action: Undertake a review (jointly with children's social care services and other relevant agencies) of how it manages the detention of children. To include:</p> <p>* ensure that all staff act within the law so that all children are only detained when absolutely necessary and for the absolute minimum amount of time;</p> <p>* assess at an early stage the likely need for secure or other accommodation, and work with children's social care services to achieve the best option for the child;</p>	Ch Insp Phillip Baker	HMIC National Child Protection Sept 2014	Off target	<p>Review has been undertaken with Children's Social Care Services and other relevant agencies. Assurance has been given that children are only detained when absolutely necessary and assessed for likely need for secure or other accommodation.</p> <p>DCC scrutiny requested evidence to confirm policy decisions are clearly evidenced.</p>
BT/84aa/24215	30/11/2015	<p>Recommendation: Nottinghamshire Police should review immediately the operation of the witness care unit in relation to the updating of victims. If required, by January 2015 the force should implement an action plan to ensure service improvement.</p>	<p>Action: Review immediately the operation of the witness care unit in relation to the updating of victims. If required, the force should implement an action plan to ensure service improvement.</p>	Supt Julia Debenham	Crime Inspection 2014 Nottinghamshire Police.	Off target	<p>Update 11/11/2015: Review taking place of the Nottinghamshire Witness Care Unit in relation, specifically, to the updating of victims.</p> <ul style="list-style-type: none"> • reviewing 5 x 3 finalised cases for each Nottinghamshire Witness Care Officer (WCO) - 5 finalised in July 2015, 5 finalised in August 2015 , 5 finalised September 2015 • interrogating our Witness Management Services (WMS) IT system determining in each case dates the victim was provided with a court update • determining, in each instance, if the Victim Code of Practice (VCoP) timescales were met or not • collating the data to express percentages of VCoP time scales met or not • providing possible reasons for what may appear as delays in the system (there is sometimes a delay in the courts updating their systems which subsequently delays the updates provided by the WCU) • if necessary providing proposals for improvement of service within the Nottinghamshire (Witness Care Unit) WCU <p>The review is currently being undertaken and will be finished by Monday November 30th 2015. The outcomes will be assessed and an action plan implemented if appropriate.</p>

Action(s) at risk of being off target

Ref	Target date	Recommendation	Action	Manager Responsible	Source/ Title	Action status	Action Update
No actions at risk of being off target.							

For Information and Consideration	
Public/Non Public*	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	10 December 2015
Report of:	The Chief Finance Officer
Report Author:	Andrew Cardoza and Charlotte Radford
Other Contacts:	
Agenda Item:	13

Appointment of External Auditors for 2018-19

1. Purpose of the Report

- 1.1 To inform members of the need to consider in appropriate time the appointment of External Auditors from 2018-19.

2. Recommendations

- 2.1 Members are requested to note the report of the auditors and consider the potential options for progressing this requirement.

3. Reasons for Recommendations

- 3.1 Good governance.

4. Summary of Key Points

- 4.1 The appointment of the existing external auditors was undertaken nationally following the decision to abolish the Audit Commission. This appointment was on a fixed term contract and has delivered significant savings nationally.
- 4.2 Within the existing contract there is an option to extend current arrangements for a further period of time and a presentation has been made to the Police and Crime Commissioners Treasurers Society (PACCTS) to this effect.
- 4.3 The Treasurers would like to see the process managed nationally again to ensure economies of scale continue to be achieved and as a minimum would like a nationally negotiated framework to be put in place. This message was going to be taken back.
- 4.4 At a local level the Notts Financial Officers have discussed this requirement, but to date no conclusion or further action has been taken.
- 4.5 For the NOPCC it would be beneficial to be part of a wider appointment either, nationally, by the police sector, regionally or locally with other public sector partners.
- 4.6 The attached report has been provided at an appropriate time as these discussions are taking place.

5. Financial Implications and Budget Provision

- 5.1 None as a direct result of this report.
- 5.2 It is important that the process we implement for the appointment is given careful consideration and whilst cost is not the only driver at times of budget cuts it is a very important factor.

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 A potential change in external audit provision does bring an element of risk, but careful management of the process should ensure such risks are minimised.

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

- 9.1 This complies with the principles of good governance, Financial Regulations and the Accounts and Audit 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 Appointing your external auditor - KPMG



Considerations for the police sector

November 2015

**Pointing your
internal auditor**

through complexity

operations for the police

2015

Financial Audit

Assurance
Suppliers
Regulators
Customers
Employees
Shareholders
Tax authorities
Banks
Expert
100%
True
Law
Cost
Risk
Error
False
Internal
Statements
Enhance
View
Opinion
Reporting
Framework
Confidence
Express
Misstatement
Accuracy
Transparency
Inquiry
Tracing
Scrutiny
Reconciliation
Verification
Determination
Re-computation
Fair
Confirmation
Accountant
Examining
Checking
Assertion
Benchmark
Controls

Appointing your external auditor

Background

In August 2010 the then Secretary of State for Communities and Local Government, Eric Pickles, announced that he intended to close the Audit Commission, the body that appointed external auditors to Nottinghamshire Police. As part of this announcement, he also stated that organisations whose appointments were previously controlled by the Audit Commission should have the freedom to appoint their own external auditors.

The Audit Commission closed on 31 March 2015. At that time contracts were already in place for local government and NHS external audit appointments that covered audits up to and including the financial year 2016/17. Within these contracts there is an option to extend for a maximum of three further years, i.e. up to and including the financial year 2019/20.

A consultation exercise with key stakeholder groups has recently been concluded on whether, and if so for how long, to extend these contracts. The Government decided that for police bodies the contracts will be extended by one year, so incorporating the audit of the 2017/18 financial year. Contracts for NHS bodies will not be extended.

What does this mean for your organisation?

This decision means that you will assume the power to appoint your external auditor from the 2018/19 financial year onwards. This will be the first time you have made such an appointment. External auditors provide an important professional service and play a critical role in the stewardship of public spending, so it is vital that this new decision making power is exercised after careful consideration on how to proceed. Whilst you have different options open to you on how to approach this new power, you will need to comply with some specific requirements.

Appointing your external auditor

What should local authorities be considering?

In deciding what to do there are a number of considerations.

Do your current external auditors provide you with a good service?	If yes, do you need to change? If no, now you have an opportunity to do something about it.
How could we procure an external audit service to ensure we get best value?	<p>You will have a number of options on how and when to procure your external audit service – these are summarised later in this document.</p> <p>Given the range of options it will be important to consider the best approach for your organisation.</p>
What do we need to do before we start a procurement process?	The new regulations require you to have an Audit Panel, which will be responsible for recommending who your external auditor should be. This Panel must include a majority of independent (i.e. not elected) members and an independent chair. It makes sense for the Panel to have links with your audit committee.
When do we need to undertake a procurement exercise?	<p>The regulations require you to have appointed your external auditor by 31 December in the year preceding the year of audit. As 2018/19 is the first year of these new arrangements, you will need to have appointed your auditor by 31 December 2017.</p> <p>You will need to undertake whatever procurement process you follow in good time – sometime between the Spring and Autumn of 2017. And before doing that you will need to have established your Audit Panel – by early 2017 would be sensible.</p>
Who can I appoint to be our external auditor?	You will only be able to appoint an audit firm that has been authorised by the ICAEW to undertake 'local audit work'. Local government auditing is highly specialised and you will need to ensure that your auditor has the necessary capability, experience and capacity to fulfil the statutory duties of a local government auditor.

Appointing your external auditor

Procurement options

Although local government bodies will all assume the same power to appoint their external auditor, it is likely that various options will be followed on how they go about doing this. The main options are set out below.

Re-appoint incumbent auditor	One option might be to continue with your current audit provider for a short period, say between one and three years. This would delay testing the market, although you could benchmark proposed fees for reasonableness against published data or by comparing to similar bodies. This would provide stability of service in the short term and also avoid the 'rush to market' as large numbers of local authorities undertake procurement exercises within a short period of time, allowing you to procure later in a more settled audit market.
Stand-alone tendering	As with any other service, you could run your own procurement process. This allows complete autonomy over how and when you want this to be done, although you will need to ensure you follow the Regulations and consider any guidance issued by DCLG or other relevant bodies. However, you should consider whether you will have sufficient purchasing power on your own to obtain best value.
Combined procurement	You could join together with one or more neighbouring authorities to undertake a collective procurement exercise. This would enhance your purchasing power, but would diminish your autonomy over the process and you would need to consider how to retain sufficient sovereignty over decision making and whether this might complicate auditor independence considerations.
Existing frameworks	You could use one of the many existing government or public sector frameworks. These list firms who have already been shortlisted and therefore might speed up the process. You will need to ensure that the firms on any framework have been authorised by the ICAEW for local audit work, however.
Sector led procurement	The new audit legislation allows for a sector-led body (referred to as a 'specified person' in the Regulations) to undertake a bulk procurement process. If such an organisation emerges then this option provides an administratively easy route and would most likely have the greatest element of specialist audit procurement expertise. It would also provide good purchasing power, although with less autonomy than some other options, and might afford easier management of potential auditor independence issues than other combined procurements approaches. It will be the most similar option to the current arrangements.

Appointing your external auditor

What other factors should you consider?

When you are deciding who to appoint as your external auditor you will need to consider a range of factors. Key areas to consider are as follows:

- **Quality:** This is a vital consideration and should be appropriately weighted in any scoring methodology for assessing tenders. Relevant considerations include audit methodologies, systems and processes, staff training and expertise, and quality monitoring arrangements.
- **Experience:** Local government auditing is a specialist business and your auditor must have the necessary skills and sector experience. This is not just about understanding local authority financial reporting, but extends into auditors' value for money audit responsibilities and 'challenge' work.
- **Independence:** You will need to consider possible relationships with audit firms via non-audit work such as consultancy and tax advice. Independence is also an important mind-set for auditors to adopt, where you should be satisfied that your future auditor will be sufficiently challenging (and your current auditor should not be constrained in exercising their duties by any tendering process).
- **Organisational fit:** As with any service it is important to consider how the people you see in the audit team fit with your own organisational culture – i.e. can you work with these people.
- **Price:** Like any other out-sourced service you need to obtain good value through a competitive audit fee. However, best value does not mean the cheapest quote. The fee must be sufficient to provide a good quality service taking account of the scale, nature and risk profile of your organisation, and also the requirement for your external auditor to comply with auditing standards and other statutory duties.
- **Other services:** Although ethical standards provide limitations, you should consider what other services you might want your auditor to perform, whether that is other assurance services (e.g. certifying grant claims) or more added-value services.

Appointing your external auditor

What next?

There is still plenty of time before you appoint your external auditor for the first time, but there will be a long lead up to that decision. It is therefore important to think about how your organisation should approach this in good time. We would suggest that you should be developing your procurement strategy and selecting your preferred approach during 2016.

It is likely that further guidance and support will be issued by DCLG, and potentially other organisations such as CIPFA, to help you with the decisions you need to make and how you proceed. We will continue to update you on key developments.

If you want to discuss this further please contact your audit Engagement Lead, Andrew Cardoza.

Contact



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cutting through complexity

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Consideration	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	10 December 2015
Report of:	The Chief Executive
Report Author:	Alison Fawley
E-mail:	alison.fawley@nottsc.gov.uk
Other Contacts:	
Agenda Item:	14

PANEL WORK PLAN AND MEETING SCHEDULE

1. Purpose of the Report

- 1.1 To provide the Panel with a programme of work and timetable of meetings

2. Recommendations

- 2.1 To consider and make recommendations on items in the work plan and to note the timetable of meetings

3. Reasons for Recommendations

- 3.1 To enable the Panel to manage its programme of work.

4. Summary of Key Points

- 4.1 The Panel has a number of responsibilities within its terms of reference. Having a work plan for the Panel ensures that it carries out its duties whilst managing the level of work at each meeting.

5. Financial Implications and Budget Provision

- 5.1 None as a direct result of this report

6. Human Resources Implications

- 6.1 None as a direct result of this report

7. Equality Implications

- 7.1 None as a direct result of this report

8. Risk Management

- 8.1 None as a direct result of this report

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

- 9.1 This report meets the requirements of the Terms of Reference of the Panel and therefore supports the work that ensures that the Police and Crime Plan is delivered.

10. Changes in Legislation or other Legal Considerations

- 10.1 None as a direct result of this report

11. Details of outcome of consultation

- 11.1 None as a direct result of this report

12. Appendices

- 12.1 Work Plan and schedule of meetings

JOINT AUDIT AND SCRUTINY PANEL WORK PLAN

11 February 2016			
1	(43) Risk report on monitoring and actions for mitigation update	6 monthly	OPCC & Force
2	(35) Force Governance monitoring, assurance and improvement outcomes for decision making	6 monthly	
3	(45) Business Continuity compliance and assurance of testing and exercising plan lessons learned	Annually	Force
4	(46) Publication Scheme monitoring, review and assurance	Annually	OPCC
5	(51) & (49) Information Management Policy monitoring, assurance and improvement outcomes. Records review, retention and disposal guidance and audit monitoring, review and assurance	Annually	Force
6	Revenue Budget Management report	Annually	OPCC
7	4 Year Capital Plan	Annually	OPCC
8	Treasury Management Report	Annually	OPCC
9	Update on survey of Police Audit Committee chairs		
	Standard items:-		
	Updates on scrutiny and other reviews	As required	OPCC & Force
	PCC Update report	Quarterly	OPCC
	(12) & (40) Internal Audit Progress Report	Quarterly	OPCC CFO

	(40) Audit & Inspection Report	Quarterly	ACO Resources
30 June 2016			
1	Election of Chair		
2	(5) IPCC investigations, recommendations and actions (October - March)	6 monthly	Force
3	(36) Force Improvement Activity Lessons Learned monitoring, IPCC lessons learned report (April – September)	6 monthly	Force
4	(6) & (7) Whistle Blowing Policy and review of compliance (October - March) and Anti-Fraud and Corruption Policy - review of compliance update (October - March)	6 monthly	Force & OPCC
5	(35) Force Governance monitoring, assurance and improvement outcomes for decision making	6 monthly	Force
6	External Audit Annual Audit letter	Annually	OPCC CFO
7	Verbal update on regional assurance work	Annually	OPCC CFO
8	(11) Draft Audit Plan (Annual internal audit strategy and audit plan)	Annually	
9	(10) & (42) Force, PCC and Regional draft Annual Governance Statements	Annually	OPCC & Force
10	(39) Internal Audit Annual Assurance and Performance Report	Annually	OPCC CFO
11	(23 & 24) Statement of Accounts and Summary Statement of Accounts - DRAFT	Annually	OPCC & Force
12	Police and Crime Plan 6 month monitoring report	6 monthly	OPCC
	Standard items:-		
	Updates on scrutiny and other reviews	As required	OPCC & Force
	PCC Update report	Quarterly	OPCC
	(12) & (40) Internal Audit Progress Report	Quarterly	OPCC CFO

	(40) Audit & Inspection Report	Quarterly	ACO Resources
15 September 2016			
1	(23 & 24) Statement of Accounts and Summary Statement of Accounts	Annually	OPCC & Force
2	(10 & 42) Annual Governance Statements	Annually	OPCC & Force
3	External Audit – Annual Governance report	Annually	OPCC CFO
4	(43) Risk report on monitoring and actions for mitigation update	6 monthly	OPCC & Force
5	(35) Force Governance monitoring, assurance and improvement outcomes for decision making	6 monthly	Force
6	Regional Collaboration Update	Annually	Force
7	HMIC Inspections and Recommendations	Annually	OPCC
	Standard items:-		
	Updates on scrutiny and other reviews	As required	OPCC & Force
	PCC Update report	Quarterly	OPCC
	(12) & (40) Internal Audit Progress Report	Quarterly	OPCC CFO
	(40) Audit & Inspection Report	Quarterly	ACO Resources