

JOINT AUDIT AND SCRUTINY PANEL

**THURSDAY 15 SEPTEMBER 2016 at 2.00 PM
FORCE HEADQUARTERS, SHERWOOD LODGE, ARNOLD,
NOTTINGHAMSHIRE NG5 8PP**

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

A G E N D A

1. Election of Vice Chair for this meeting only
2. Apologies for absence
3. Declarations of interest by Panel Members and Officers (see notes below)
4. To agree the minutes of the previous meeting held on 30 June 2016
5. External audit of the accounts 2014-15 (ISA260)
6. Statement of accounts and annual governance statements for 2015-16
7. Summary statement of Accounts 2015-16
8. Reserves and Provisions out-turn report 2015-16
9. Regional collaboration update

10. Public Finance Initiative contracts
11. Police and Crime Plan (2015-16) – Annual Report
12. Strategic Risk Management Report Quarter 1
13. Internal Audit Progress Report
14. Audit and Inspection Report – quarter one 2016-17
15. Police and Crime Commissioner's Update Report
16. 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 30 JUNE 2016
FORCE HEADQUARTERS, SHERWOOD LODGE,
ARNOLD, NOTTINGHAMSHIRE NG5 8PP
COMMENCING AT 2.00 PM

MEMBERSHIP

(A - denotes absent)

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

OFFICERS PRESENT

Paddy Tipping	Police and Crime Commissioner
Charlotte Radford	Chief Finance Officer, OPCC
Sue Fish	T/Chief Constable, Notts. Police
Brian Welch	Mazaars
Simon Lacey	KPMG (External Audit)
Jackie Alexander	Notts Police
Natalie Baker	Governance & Business Planning Manager
Mark Kimberley	Head of Finance, Notts Police
Phil Gilbert	Head of Strategy & Assurance. OPCC
Paul Dawkins	ACO, Finance (via video link)
Alison Fawley	Democratic Services, Notts. County Council

1. Election of Chair

Stephen Charnock was elected as Chairman of the Panel for 2016/17.

2. APOLOGIES FOR ABSENCE

Apologies for absence were received from Andrew Cardoza, KPMG and Mike Clarkson, Mazars.

3) DECLARATIONS OF INTERESTS BY MEMBERS AND OFFICERS

None.

4) MINUTES OF THE PREVIOUS MEETING

The minutes of the last meeting held on 11 February 2016, having been circulated to all Members, were taken as read and were confirmed and were signed by the Chair.

5) IPCC INVESTIGATIONS

Jackie Alexander introduced the report which informed the Panel of complaint and conduct matters which had been referred by Nottinghamshire Police to the IPCC during the period 1 October 2015 – 31 March 2016 together with the relevant recommendations and actions. The data summarised in the report indicated a drop in the number of referred cases and it was hoped that this positive sign would be sustainable. Nottinghamshire Police maintained a good application of the IPCC statutory guidance regarding compliance with voluntary and mandatory referrals.

There was some disparity in how Forces recorded complaints and it was noted that Nottinghamshire recorded a larger number of low level complaints for local investigation but this was not considered to be a problem.

RESOLVED 2016/001

That the Panel had received assurance of the processes in place relating to IPCC investigations as detailed in the report.

6) FORCE IMPROVEMENT ACTIVITY

Jackie Alexander introduced the report which informed the Panel of force improvement activity, lessons learned monitoring and the implementation of learning from the IPCC 'lessons learned' bulletins during the period October 2015 – March 2016.

Legally the Force have a duty to respond to learning items from IPCC investigations. In Nottinghamshire all actions are recorded in a database and sent to the relevant departments for feedback on compliance and reasons if they are not compliant. Lessons learned are for individuals rather than the

Force as a whole but if trends emerged the issue would be moved to Force learning.

RESOLVED 2016/002

That the report be noted.

7) PROFESSIONAL STANDARDS CONFIDENTIAL REPORTING PROCEDURE

Jackie Alexander introduced the report which informed the Panel about the Professional Standards Confidential Reporting Procedure and outlined how the organisation in general and the Professional Standards Directorate (PSD) managed and dealt with members of staff who made reports concerning breaches of Professional Standards and in particular how they would be provided with support and confidentiality when appropriate and necessary.

A piece of work had been commissioned to look at how to ensure a healthy culture of referrals to PSD and to identify and promote other ways of dealing with low level complaints, for example giving staff confidence in approaching their line manager with a problem.

RESOLVED 2016/003

That the Panel received assurance for the processes in place relating to confidential reporting as detailed in the report.

8) ANTI-FRAUD & CORRUPTION POLICY – REVIEW OF COMPLIANCE (OCTOBER 2015 – MARCH 2016)

Paul Dawkins introduced the report which informed the Panel of the level of compliance against the EMSCU Fraud and Corruption Policy for the period October 2015- March 2016.

During discussion the following points were made:

- It was felt that the report needed to include evidence of where the systems had been tested and challenged and should be across all aspects of fraud and not limited to procurement.
- The Panel discussed the idea of a 'mystery shopper' exercise to test out the validity of the policy.
- There were a number of policies which gave assurance on aspects of fraud & corruption but it would be useful to have a summary report.

RESOLVED 2016/004

- 1) The Panel noted that EMSCU's Commercial Director had received no reports of any fraudulent activity following any audit of procurement activity undertaken by the Force.
- 2) The Panel noted that EMSCU's Head of Supplier Services (to which the Policy directs any individual wishing to report any suspicion of fraudulent activity) had advised that there had been no reports of any fraudulent activity in relation to procurement activity undertaken within Nottinghamshire Police.
- 3) The Panel noted that EMSCU's Head of Supplier Services had written to suppliers to reiterate the Force position in relation to gifts, gratuities and hospitality and that the relevant Force procedure stated that police officers and staff should not accept the offer of any gift, gratuity, favour or hospitality as to do so may compromise their impartiality or give rise to a perception of such compromise.
- 4) The Panel noted that EMSCU's commercial awareness training programme which was launched in December 2013 was being delivered on an ongoing basis and included content on the prevention of fraud and corruption in the procurement process.
- 5) The Panel noted that EMSCU had included reference and guidance to conflict of interests and gifts and hospitality on procurement documents in relation to suppliers notifying us if they have any relationship with any member of the Forces and that links to the Code of Ethics had been included.

9) VERBAL UPDATE ON REGIONAL ASSURANCE WORK

It was agreed to defer this item to the next meeting.

10) DRAFT GROUP ANNUAL GOVERNANCE STATEMENT 2015 - 16

Paul Dawkins introduced the briefing which gave Panel members the opportunity to identify items for inclusion in the annual governance statement from assurances they had received during the year and which had not been included in the draft statement.

During discussions the following points were raised:

- The reports vary across Forces and were difficult to standardise. New guidance would be available in July which may provide a template form.
- High risks should be identified in both statements.

RESOLVED 2016/005

That the draft group annual governance statements for 2016-16 be approved.

11) INTERNAL AUDIT – ANNUAL ASSURANCE AND PERFORMANCE REPORT

Brian Welch introduced the report which was the first annual report from Mazars and provided an adequate assurance rating for the OPCC and the Force.

During discussion the following points were made:

- A limited assurance opinion had been given in six areas and it was noted that part of the opinion reflected areas outside of local control, for example MFSS, but would still need to be addressed. These items had caused concern and work was ongoing to fix the problems. Reports on progress would be brought to each Panel meeting.
- Assurance mapping now has three lines of defence and would be a useful tool for Audit & Scrutiny Panel members. A report on the use of Assurance Mapping would be an agenda item for the September meeting.

RESOLVED 2016/006

That the report be noted.

12) UPDATE ON THE CLOSE OF ACCOUNTS

Charlie Radford introduced the briefing and tabled draft statements of the accounts. The draft statements had been produced using the new accounting system and the hard work of the Finance Team was acknowledged. This was a key year for ensuring that the system could provide the necessary information for the closedown process with a view to the early closure of accounts by 2018. A post closure review would be undertaken to ensure that the process could be brought forward in 2017 in readiness for 2018.

Panel members were asked to provide feedback and or questions directly to Charlie before 31 July 2016.

RESOLVED 2016/007

That Panel members would review the statements of accounts and report back to Charlie Radford by 31 July 2016.

13) EXTERNAL AUDIT PROGRESS REPORT

Simon Lacey introduced the report which informed Panel members of the progress made in relation to the External Audit work plan 2016-17.

Interim audit work on the financial statements had progressed well against plan and there were no significant issues at this stage that might impact on future opinion.

RESOLVED 2016/008

That the report be noted.

14) INTERNAL AUDIT PROGRESS REPORT

Brian Welch introduced the report which provided members with an update on progress against the Internal Audit Annual Plan for 2015-16 and the findings from audits completed to date.

RESOLVED 2016/009

That the Panel had received assurance from the audits being undertaken and planned.

15) AUDIT AND INSPECTION REPORT

Natalie Baker introduced the report which provided an update to Panel members on the progress against recommendations arising from audits and inspections which had taken place within the Force.

RESOLVED: 2016/010

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

16) RISK REGISTERS – EXTERNAL REVIEW

Simon Lacey introduced a report which informed Panel members about a review undertaken by KPMG of Local Authority Risk Registers. The report identified the most significant corporate risks nationally and provided assurance that the Chief Constable and Police and Crime Commissioner had included these within the joint risk register to ensure that risks were managed and mitigated against.

During discussion the following points were raised:

- An amended version of the report with links to the identified risks would be circulated to members.
- Simon Lacey agreed to forward the data for Nottinghamshire to the Chair and Chief Finance Officer.

RESOLVED: 2016/011

That the contents of the report be noted.

17) POLICE & CRIME COMMISSIONER'S UPDATE REPORT

The Commissioner introduced the report which provided an overview of current performance, key decisions and his activities to March 2016.

During discussions the following points were made:

- It had been necessary to use Reserves as anticipated savings were not achieved in 2015-16. Savings would need to be made in the financial year 2016-17 and it was encouraging to see that savings so far this year were ahead of target.
- The Chief Finance Officer was confident that the Force were tackling issues and would be on target this year. Levels of reserves were too low and plans were being put in place to replenish.
- Progress from other PCCs regarding agreement on the way forward for the Strategic Alliance was slower than the Commissioner would like.
- There had been no increase in the level of hate crime reported post Brexit but the Force were using publicity, including using social media, to reassure communities particularly the Polish community.
- There had been changes to the Force leadership since March 2016: Chris Eyre had taken up a new appointment in Cyprus and the Panel expressed thanks for his contributions to meetings. Sue Fish had been appointed as temporary Chief Constable and Simon Torr had been appointed as Deputy Chief Constable. A new Assistant Chief Constable would be in post in the near future.
- The Chair congratulated the Commissioner on his reappointment.

RESOLVED: 2016/012

That the report be noted.

18) PANEL WORK PLAN AND MEETING SCHEDULE

RESOLVED: 2016/013

That the report be noted.

The meeting closed at 4.15pm

CHAIR

For Decision	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	15th September 2016
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Andrew Cardoza
Agenda Item:	05

External Audit of the Accounts 2015-16 (ISA260)

1. Purpose of the Report

- 1.1 To provide members with the results of the review of the Statement of Accounts and supporting documentation for the Financial Year 2015-16.

2. Recommendations

- 2.1 Members are requested to:
- Consider the report of the External Auditor and recommend its findings to the Police & Crime Commissioner and Chief Constable
 - Recommend the letter of representation to the Police & Crime Commissioner for signing and sending to the external auditors.

3. Reasons for Recommendations

- 3.1 This complies with good governance arrangements and relevant statutory and regulatory requirements.

4. Summary of Key Points

- 4.1 The attached report details the findings of the external auditors during the audit of the accounts for 2015-16.
- 4.2 The auditors report also includes a draft letter of representation for the Chief Financial Officer to complete.
- 4.3 The Auditor highlights in his report that he intends to issue an unqualified opinion in relation to the accounts, governance and value for money.

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 Risks identified are being managed.

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 The report explains the requirements with legislation.

11. Details of outcome of consultation

11.1 Not applicable

12. Appendices

A – Report to those charges with governance (ISA 260)

B – Draft letters of representation



Report to those charged with governance (ISA 260) 2015/16

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

7 September 2016



Contents

The contacts at KPMG in connection with this report are:

Andrew Cardoza
Director

KPMG LLP (UK)

Tel: 0121 232 3869
andrew.cardoza@kpmg.co.uk

Simon Lacey
Manager

KPMG LLP (UK)

Tel: 0115 945 4484
simon.lacey@kpmg.co.uk

Anita Pipes
Assistant Manager

KPMG LLP (UK)

Tel: 0115 945 4481
anita.pipes@kpmg.co.uk

Page

Report sections

— Introduction	3
— Headlines	5
— Financial statements	8
— VFM Conclusion	17

Appendices

1. Key issues and recommendations	23
2. Follow up of prior year recommendations	25
3. Audit differences	28
4. Declaration of independence and objectivity	29
5. Materiality and reporting of audit differences	31
6. KPMG Audit quality framework	32

This report is addressed to the PCC and CC and has been prepared for the sole use of the PCC and CC. 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 PCC and 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, Andrew Sayers (on 020 7694 8981, or by email to andrew.sayers@kpmg.co.uk). After this, if you are still dissatisfied with how your complaint has been handled you can access PSAA's complaints procedure by emailing generalenquiries@psaa.co.uk, by telephoning 020 7072 7445 or by writing to Public Sector Audit Appointments Limited, Third Floor, Local Government House, Smith Square, London, SW1P 3HZ.



Section one: Introduction



This document summarises:

- The key issues identified during our audit of the financial statements for the year ended 31 March 2016 for both the PCC and the CC; and
- Our 2015/16 assessment of the PCC and CC's arrangements to secure value for money.

Scope of this report

This report summarises the key findings arising from:

- Our audit work at the Police and Crime Commissioner for Nottinghamshire ('the PCC') and the Chief Constable for Nottinghamshire ('the CC') in relation to their 2015/16 financial statements; and
- The work to support our 2015/16 conclusion on the PCC and CC's arrangements to secure economy, efficiency and effectiveness in its use of resources ('VFM conclusion').

Financial statements

Our External Audit Plan 2015/16, presented to you in February 2016, set out the four stages of our financial statements audit process.



This report focuses on the third stage of the process: substantive procedures. Our on site work for this took place during July 2016.

We are now in the final phase of the audit, the completion stage. Some aspects of this stage are also discharged through this report.

VFM Conclusion

Our External Audit Plan 2015/16 explained our risk-based approach to VFM work. We have now completed the work to support our 2015/16 VFM conclusion. This included:

- Assessing the potential VFM risks and identifying the residual audit risks for our VFM conclusion;
- Considering the results of any relevant work by the PCC and CC and other inspectorates and review agencies in relation to these risk areas; and
- Carrying out additional risk-based work.

Structure of this report

This report is structured as follows:

- Section 2 summarises the headline messages.
- Section 3 sets out our key findings from our audit work in relation to the 2015/16 financial statements of the PCC and CC.
- Section 4 outlines our key findings from our work on the VFM conclusion.

Our recommendations are included in Appendix one. We have also reviewed your progress in implementing prior year recommendations and this is detailed in Appendix two.

Acknowledgements

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



Section two: Headlines



This table summarises the headline messages for the PCC and CC. Sections three and four of this report provide further details on each area.

Proposed audit opinion	We anticipate issuing unqualified audit opinions on the PCC and CC's financial statements by 30 September 2016. We will also report that your Annual Governance Statement complies with guidance issued by CIPFA/SOLACE in June 2007.
Audit adjustments	<p>At the date of this report we had identified no material adjustments to the 2015/16 accounts and all non material adjustments have been accepted and processed within the final set of financial statements for 2015/16, as such there no unadjusted misstatements within the 2015/16 accounts.</p> <p>We did however, identify a number of other disclosure adjustments to the financial statements, most of which were presentational and disclosure related issues, although there were a number of adjustments to be made these did not change the values reported within the core 2015/16 financial statements.</p> <p>It is our understanding that all these have also been adjusted in the final version of the 2015/16 financial statements.</p>
Key financial statements audit risks	<p>We identified the following key financial statements audit risks in our External Audit Plan 2015/16 presented to you in February 2016:</p> <ul style="list-style-type: none"> — Management override of controls; — Fraudulent revenue recognition; — Multi Force Shared Services – New Financial Systems; and — Assurance over regional collaboration accounts and transactions. <p>We have worked with officers throughout the year to discuss these key risks and our detailed findings are reported in section three of this report. There are no matters of any significance arising as a result of our audit work in these key risk areas.</p>



<p>This table summarises the headline messages for the PCC and CC. Sections three and four of this report provide further details on each area.</p>	Accounts production and audit process	<p>The quality of working papers continues to develop in line with our prepared by client list and some refinements were required to this for working papers extracted from Oracle for the first time, such as non-pay expenditure and journal reports. This took additional officer and audit time to clarify and resolve. Officers dealt adequately with the majority of audit queries in a reasonable time and we have arranged a return visit in September 2016 to complete the audit work.</p>
	Completion	<p>At the date of this report our audit of the financial statements is substantially complete subject to completion of the following areas:</p> <ul style="list-style-type: none"> — Receipt of letter of representation from management; — Receipt of satisfactory assurances from the Nottinghamshire LGPS auditor; and — Whole of Government Accounts. <p>Before we can issue our opinion we will require a signed management representation letter.</p> <p>We confirm that we have complied with requirements on objectivity and independence in relation to this year's audit of the PCC and CC's financial statements.</p>
	VFM conclusion and risk areas	<p>We identified the following VFM risks from our risk assessment work which we reported in our 2015/16 External Audit Plan in February 2016:</p> <ul style="list-style-type: none"> — Budget Performance and Medium Term Financial Strategy; and — Strategic Alliance (Tri Force Collaboration). <p>We have worked with officers throughout the year to discuss these VFM risks and our detailed findings are reported in section four of this report. There are no matters of any significance arising as a result of our audit work in these VFM risk areas.</p> <p>We have concluded that the PCC and CC have made proper arrangements to secure economy, efficiency and effectiveness in their use of resources.</p> <p>We therefore anticipate issuing an unqualified VFM conclusion by 30 September 2016.</p>



Section three: Financial Statements

Proposed opinion and audit differences



We have identified no material adjustments during the course of the audit.

We anticipate issuing an unqualified audit opinion in relation to the PCC and CC's 2015/16 financial statements by 30 September 2016.

Proposed audit opinion

Subject to all outstanding queries being resolved to our satisfaction, we anticipate issuing an unqualified audit opinion on the PCC and CC's financial statements following approval of the 2015/16 Statement of Accounts by the PCC and CC by end September 2016. We will update those charged with governance at the Joint Audit & Scrutiny Panel meeting.

Audit differences

In accordance with ISA 260 we are required to report uncorrected audit differences to you. We also report any material misstatements which have been corrected and which we believe should be communicated to you to help you meet your governance responsibilities.

The final 2015/16 accounts audit materiality (see Appendix five for more information on materiality) level for this year's audit was set at £3.4 million. Audit differences below £170k are not considered significant.

Our audit identified no material misstatements and no uncorrected differences to the core 2015/16 financial statements. All non material misstatement have been amended and there are no differences in the General Fund and Balance Sheet between the pre audit and post audit 2015/16 financial statements. We have identified a number of non material disclosure adjustments that have also been agreed and subsequently duly amended.

There is no net impact on the General Fund as a result of audit adjustments.

Proposed opinion and audit differences (cont.)



The wording of your Annual Governance Statement complies with guidance issued by CIPFA/SOLACE in June 2007 and revised in December 2012.

Disclosure Differences

We identified a number of presentational adjustments required to ensure that the accounts are compliant with the Code of Practice on Local Authority Accounting in the United Kingdom 2015/16 ('the Code'), none of these were material to the accounts:

- Note 18.1 – Finance Lease – the amounts disclosed were amended from the draft accounts following review of working papers;
- Note 18.2 – Operating Lease – for similar reasons the figures from the draft were amended;
- Note 3.1 – Income within Cost of Services – the disclosure note was amended to reflect the entry on the core statements;
- Note 7.1 – Short Term Borrowing – the disclosure note was amended to include a table identifying the short term borrowing;
- Notes in the accounts in relation to Contingent Liabilities and Long Term Liabilities were also amended for clarity and additional disclosure requirements; and
- Details within the Narrative Report, and inclusion of Brexit, were amended to update figures within the tables and pie charts to reflect changes to the accounts.

Annual Governance Statement

We have reviewed the Annual Governance Statement and confirmed that:

- It complies with Delivering Good Governance in Local Government: A Framework published by CIPFA/SOLACE; and
- It is not misleading or inconsistent with other information we are aware of from our audit of the financial statements.


Significant risks and key areas of audit focus



We have worked with the PCC and CC throughout the year to discuss significant risks and key areas of audit focus.

This section sets out our detailed findings on those risks.

In our External Audit Plan 2015/16, presented to you in February 2016, we identified the significant risks affecting the PCC and CC's 2015/16 financial statements. We have now completed our testing of these areas and set out our evaluation following our substantive work. The table below sets out our detailed findings for each of the risks that are specific to the PCC and CC.

Significant audit risk	Issue	Findings
	<p>Multi Force Shared Service – New Financial System</p> <ul style="list-style-type: none"> — The 2015/16 financial statements for the PCC/CC have been generated using information from the Multi Force Shared Service (MFSS) in 2015/16 for the first time. Internal Audit have identified current weaknesses within financial systems operated through MFSS for the generation of financial information. The 2015/16 financial statements will also be prepared using a new financial system (Oracle) for the first time. There is an increased risk that this could have an impact on the audit approach and the degree of substantive testing that would be required. — We reviewed the controls and output from MFSS financial systems in place that generates information to compile the 2015/16 financial statements. We will review work undertaken by the finance staff to prepare for the use of Oracle to generate the financial statements. 	<p>We have reviewed the controls in place within MFSS and the core financial systems, especially Oracle following the work undertaken by internal audit.</p> <p>We noted that Internal Audit had identified weaknesses with regards to the operation of the controls within some of the key financial systems, however the controls in operation for the generation of the financial statements through Oracle were in place and effective.</p> <p>The financial statement generated from Oracle for the first time have not contained any material errors and were generated in accordance with the closure timescale.</p>


Significant risks and key areas of audit focus



We have worked with the PCC and CC throughout the year to discuss significant risks and key areas of audit focus.

This section sets out our detailed findings on those risks.

In our External Audit Plan 2015/16, presented to you in February 2016, we identified the significant risks affecting the PCC and CC's 2015/16 financial statements. We have now completed our testing of these areas and set out our evaluation following our substantive work. The table below sets out our detailed findings for each of the risks that are specific to the PCC and CC.

Significant audit risk	Issue	Findings
	<p>Assurance over Regional Collaboration Accounts and Transactions</p> <ul style="list-style-type: none"> — The level of collaborative work with other forces across the East Midlands has increased significantly over the past few years. This level of collaboration brings with it the need to ensure that appropriate governance arrangements are in place for each arrangement and that the necessary assurances are held over the completeness and accuracy of the financial information being provided to the PCC and CC for consolidation into their accounts. — We reviewed your governance arrangements over each aspect of regional collaboration and, more specifically, over the assurances you have sought in respect of the completeness and accuracy of the year end figures consolidated into your financial statements. 	<p>We have reviewed your arrangements to seek assurances over each aspect of regional collaboration, in particular those covering the completeness and accuracy of the year end figures consolidated into your 2015/16 financial statements.</p> <p>We found that the appropriate assurances had been received in respect of the governance arrangements of the regional collaboration, and that assurances had been received from each lead body's Chief Finance Officer over the completeness and accuracy of financial transactions.</p> <p>Our work on the regional collaboration has been completed appropriately.</p>

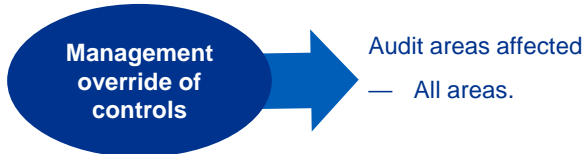
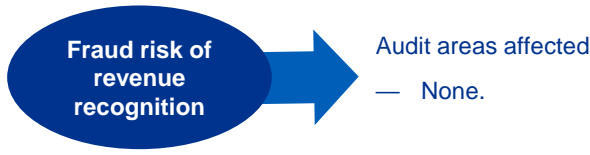
Significant risks and key areas of audit focus



We have worked with the PCC and CC throughout the year to discuss significant risks and key areas of audit focus.

This section sets out our detailed findings on those risks.

In our External Audit Plan 2015/16 we reported that we would consider two risk areas that are specifically required by professional standards and report our findings to you. These risk areas were Management override of controls and the Fraud risk of revenue recognition. The table below sets out the outcome of our audit procedures and assessment on these risk areas.

Areas of significant risk	Summary of findings
	<p>Our audit methodology incorporates the risk of management override as a default significant risk. Management is typically in a unique position to perpetrate fraud because of its ability to manipulate accounting records and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. We have not identified any specific additional risks of management override relating to this audit.</p> <p>In line with our methodology, we carried out appropriate controls testing and substantive procedures, including over journal entries, accounting estimates and significant transactions that are outside the normal course of business, or are otherwise unusual.</p> <p>There are no matters arising from this work that we need to bring to your attention.</p>
	<p>Professional standards require us to make a rebuttable presumption that the fraud risk from revenue recognition is a significant risk.</p> <p>In our External Audit Plan 2015/16 we reported that we do not consider this to be a significant risk for Local Authorities as there is unlikely to be an incentive to fraudulently recognise revenue.</p> <p>This is still the case. Since we have rebutted this presumed risk, there has been no impact on our audit work.</p>


Significant risks and key areas of audit focus (cont.)



In our 2015/16 External Audit Plan, presented to you in February 2016, we identified one area of audit focus.

This is not considered a significant risk but an area of importance where we would carry out some substantive audit procedures to ensure there is no risk of material misstatement.

We have now completed our testing. The table sets out our detailed findings for each area of audit focus.

Areas of audit focus	Issue	Findings
	<p>Generation of the Financial Statements</p> <ul style="list-style-type: none"> Over the last two years we have incurred additional audit time to complete the audit due to the completion and quality of working papers and the availability of staff. We have met with Senior Officers to review requirements and identify future needs. The CC accounts will also become the responsibility of a new S151 officer. We have continued to work with Senior Officers and finance staff through our interim visit and our prepared by client list to identify required working papers. We will also review the Senior Officers quality review of working papers to support the accounts submitted for audit. 	<p>We have continued to work with Senior Officers and finance staff during the audit and have held meetings during the interim visit to discuss developments with MFSS, Oracle and our prepared by client list.</p> <p>The 2015/16 financial statements for both the PCC and CC were signed by the respective S151 Officers and received by the 30 June 2016 deadline. The 2015/16 financial statements had been presented to the Joint Audit & Scrutiny Panel.</p> <p>We have not identified any material amendments required to the financial statements and only disclosure and presentation adjustments have been required. We have continued to work with Senior Officers to refine the needs for the prepared by client list.</p>

Accounts production and audit process



The quality of working papers continues to develop in line with our prepared by client list.

Officers dealt efficiently with the majority of audit queries and the audit process could be completed within the planned timescales.

The PCC and CC have mainly implemented recommendations in our ISA 260 Report 2014/15.

Accounts production and audit process

ISA 260 requires us to communicate to you our views about the significant qualitative aspects of the PCC and CC's accounting practices and financial reporting. We also assessed the PCC and CC's processes for preparing the accounts and their support for an efficient audit.

We considered the following criteria:

Element	Commentary
Accounting practices and financial reporting	The PCC and CC has strengthened its financial reporting process by improving its review arrangements prior to the issue of the financial statements. We consider that accounting practices are appropriate.
Completeness of draft accounts	We received a complete set of 2015/16 draft accounts on 30 June 2016. The PCC and CC have made a number of minor amendments to the 2015/16 accounts presented for audit, however there have been no changes which affect the financial position.
Quality of supporting working papers	Our Accounts Audit Protocol, which we issued in February 2016 and discussed with the Finance team, set out our working paper requirements for the audit. The quality of the 2015/16 working papers continues to develop in line with our prepared by client list and some refinements were required to this for working papers generated from Oracle for the first time.

Element	Commentary
Response to audit queries	The response in resolving audit queries was adequate with the majority of audit queries being resolved in a reasonable timescale.

Findings in respect of the control environment for key financial systems

At the date of this report there were no significant external audit findings to bring to the attention of those charged with governance in respect of the control environment operating over the key financial systems.

Prior year recommendations

As part of our 2015/16 audit we have specifically followed up the PCC and CC's progress in addressing the recommendations in last year's ISA 260 report.

The PCC and CC has mainly implemented recommendations in our ISA 260 Report 2014/15.

Appendix two provides further details.



We confirm that we have complied with requirements on objectivity and independence in relation to this year's audit of the PCC and CC's financial statements.

Before we can issue our opinion we require a signed management representation letter.

Once we have finalised our opinions and conclusions we will prepare our Annual Audit Letter and close our audit.

Declaration of independence and objectivity

As part of the finalisation process we are required to provide you with representations concerning our independence.

In relation to the audit of the financial statements of the Police and Crime Commissioner for Nottinghamshire and the Chief Constable for Nottinghamshire for the year ending 31 March 2016, we confirm that there were no relationships between KPMG LLP and the Police and Crime Commissioner for Nottinghamshire and the Chief Constable for Nottinghamshire, its directors and senior management and its affiliates that we consider may reasonably be thought to bear on the objectivity and independence of the audit engagement lead and audit staff. We also confirm that we have complied with Ethical Standards and the Public Sector Audit Appointments Ltd requirements in relation to independence and objectivity.

We have provided a detailed declaration in Appendix four in accordance with ISA 260.

Management representations

You are required to provide us with representations on specific matters such as your financial standing and whether the transactions within the accounts are legal and unaffected by fraud. We have provided a template to the respective Chief Finance Officers for presentation to the PCC and CC. We require a signed copy of their management representations before we issue our audit opinion.

As part of this process we are seeking specific management representations in respect of the assurances you have gained over the completeness and accuracy of the figures consolidated for the regional collaboration.

Other matters

ISA 260 requires us to communicate to you by exception 'audit matters of governance interest that arise from the audit of the financial statements' which include:

- Significant difficulties encountered during the audit;
- Significant matters arising from the audit that were discussed, or subject to correspondence with management;
- Other matters, if arising from the audit that, in the auditor's professional judgment, are significant to the oversight of the financial reporting process; and
- Matters specifically required by other auditing standards to be communicated to those charged with governance (e.g. significant deficiencies in internal control; issues relating to fraud, compliance with laws and regulations, subsequent events, non disclosure, related party, public interest reporting, questions/objections, opening balances etc.).

There are no others matters which we wish to draw to your attention in addition to those highlighted in this report.



Section four: Value for Money



Our 2015/16 VFM conclusion considers whether the PCC and CC had proper arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people.

We follow a risk based approach to target audit effort on the areas of greatest audit risk.

We have concluded that in all significant respects the PCC and CC have proper arrangements to ensure they took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people.

Background

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

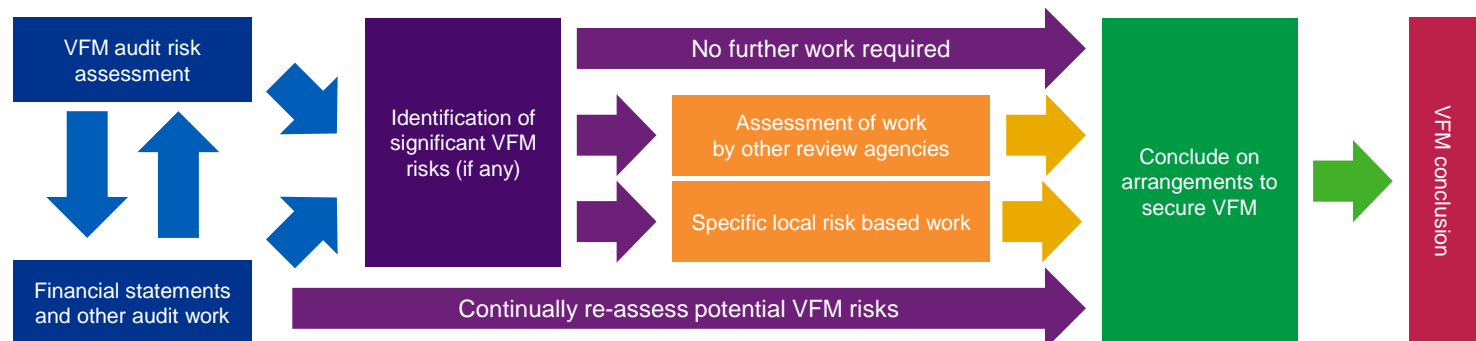
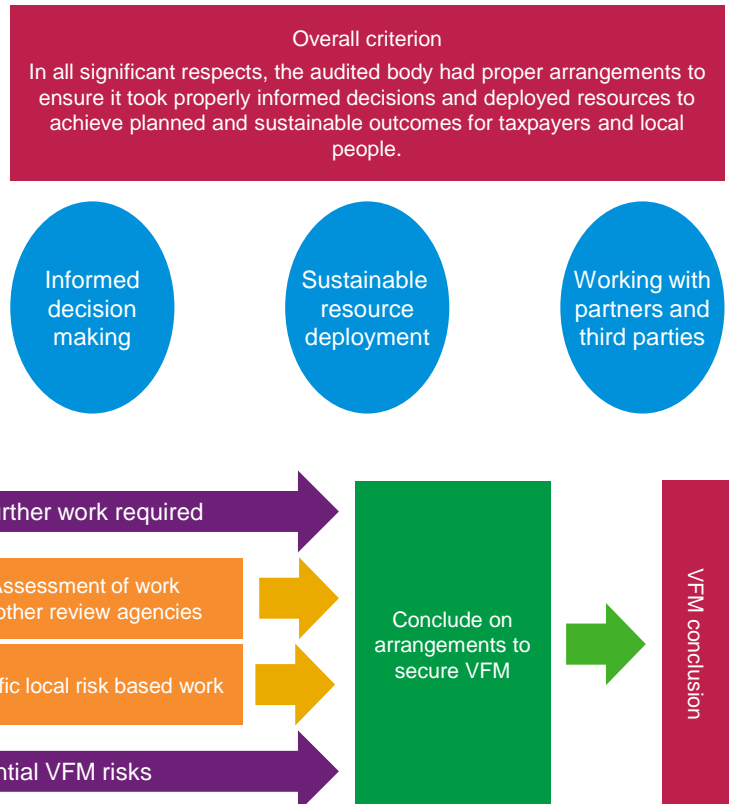
This is supported by the Code of Audit Practice, published by the NAO in April 2015, which requires auditors to 'take into account their knowledge of the relevant local sector as a whole, and the audited body specifically, to identify any risks that, in the auditor's judgement, have the potential to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

The VFM approach is fundamentally unchanged from that adopted in 2014/2015 and the process is shown in the diagram below. However, the previous two specified reporting criteria (financial resilience and economy, efficiency and effectiveness) have been replaced with a single criteria supported by three sub-criteria.

These sub-criteria provide a focus to our VFM work at the Authority.

Overview of the VFM audit approach

The key elements of the VFM audit approach are summarised below.



VFM Conclusion (cont.)



We have identified two specific 2015/16 VFM risks from our planning work as included in our 2015/16 External Audit Plan.

Work completed

In line with the risk-based approach set out on the previous page, and in our 2015/16 External Audit Plan we have:

- Assessed the PCC and CC's key business risks which are relevant to our VFM conclusion;
- Identified the residual audit risks for our VFM conclusion, taking account of work undertaken in previous years or as part of our financial statements audit;
- Considered the results of relevant work by the PCC and CC, inspectorates and review agencies in relation to these risk areas; and
- Completed specific local risk based work.

Key findings


Below we set out the findings in respect of those areas where we have identified a residual audit risk for our 2015/16 VFM conclusion.

Our 2015/16 External Audit Plan identified that as a result of the risk assessment we needed to carry out VFM work to address these risks. This work is now complete and we also report on this below.

Specific VFM Risks




We are satisfied that external or internal scrutiny provides sufficient assurance that the PCC and CC's current arrangements in relation to this risk area is adequate.

Key VFM risk	Risk description and link to VFM conclusion	Assessment
	<p>Budget Performance and MTFS</p> <ul style="list-style-type: none"> Nottinghamshire PCC/CC along with other police forces face on-going financial pressures to achieve desired priorities. Despite the settlement announcements the PCC/CC continue to face reductions in resources for 2015/16. This is reflected within the MTFS which is currently showing a shortfall in savings during 2015/16 of £9m against an in year target of £11m. Shortfalls in savings will have to be met from earmarked and general fund reserves which impact on the financial viability of the PCC/CC and the ability to meet future shortfalls in savings. We reviewed financial information provided through the MFSS for budget reporting, savings plans and the future MTFS. We also reviewed this against external reviewers/inspectors such as the HMIC. 	<p>All police bodies have been affected by reductions in central funding and the PCC/CC has to date responded well to these pressures but is finding the achievement of savings increasingly difficult in recent years. Against this backdrop the PCC has continued to use reserves to support funding.</p> <p>The 2015/16 budget of £191.2m was established on the basis that £11.14m of efficiency savings would be achieved during the year and that this would result in £1.6m use of reserves. However, during the year the anticipated savings have not been achieved and a shortfall of £3.5m has resulted.</p> <p>The final outturn was that the PCC underspent by £1.0m and the CC total overspend was £7.7m this results in £1.0m being transferred to the PCC reserves and £9.3m being transferred from the MTFS reserve to cover the revenue shortfall and this includes the originally approved £1.6m.</p> <p>The shortfall in savings and the use of reserves will increase the pressure on the delivery of future savings and the MTFS will need to be reviewed and more robust controls applied to the delivery of savings from identified initiatives.</p>



We are satisfied that external or internal scrutiny provides sufficient assurance that the PCC and CC's current arrangements in relation to this risk area is adequate.

Key VFM risk	Risk description and link to VFM conclusion	Assessment
	<p>Strategic Alliance</p> <ul style="list-style-type: none"> — The final business case for the Strategic Alliance was due to be signed in March 2016 and changes the way in which the PCC/CC deliver its services. There are long term beneficial aims for the Strategic Alliance but the PCC/CC will need to monitor the delivery plans in the short term to ensure they are affordable and current priorities continue to be delivered. — We reviewed the development of the Strategic Alliance and the impact on financial plans and performance, considering the views of external inspectorates. 	<p>The final business case for the Strategic Alliance was not concluded in March 2016.</p> <p>The impact of the full business case was considered by representatives from the three forces (Nottinghamshire, Leicestershire and Northamptonshire) in June 2016 following the PCC elections.</p> <p>The three forces decided that the proposals within the full business case would not be fully developed into a single Strategic Alliance but certain aspects of the proposals would be developed on a Tri-Force Collaboration basis. This would involve the expansion of collaborative working between the three forces rather than full alliance.</p> <p>Nottinghamshire will need to review the impact this has on the Medium Term Financial Strategy, funding of the Tri Force team and impact on service delivery as it develops the collaborative working with other forces.</p>



Appendices

Appendix 1: Key issues and recommendations

Appendix 2 : Follow Up of prior year recommendations

Appendix 3: Audit differences

Appendix 4: Declaration of independence and objectivity

Appendix 5: Materiality and reporting of audit differences

Appendix 6: KPMG Audit Quality Framework

Key issues and recommendations

We raise any key risk issues and recommendations with respect to our 2015/16 external audit work in this appendix.

We have given each recommendation a risk rating and agreed what action management will need to take. The PCC and CC should closely monitor progress in addressing specific risks and implementing our recommendations. We will formally follow up these recommendations next year.

Priority rating for recommendations

1	Priority one: issues that are fundamental and material to your system of internal control. We believe that these issues might mean that you do not meet a system objective or reduce (mitigate) a risk.	2	Priority two: issues that have an important effect on internal controls but do not need immediate action. You may still meet a system objective in full or in part or reduce (mitigate) a risk adequately but the weakness remains in the system.	3	Priority three: issues that would, if corrected, improve the internal control in general but are not vital to the overall system. These are generally issues of best practice that we feel would benefit you if you introduced them.
----------	--	----------	--	----------	---

No.	Risk	Issue and recommendation	Management response/responsible officer/due date
1	2	<p>Financial Statements and Working Papers Findings</p> <p>The 2015/16 Financial Statement were prepared by the 30 June 2016 deadline but contained some non material presentation, casting and rounding differences. Working papers supporting the accounts were completed in line with our prepared by client list but there was no evidence of management review of all working papers.</p> <p>Recommendation</p> <p>The Financial Statements and supporting working papers to support them should be subject to a robust, documented and comprehensive senior management quality review prior to being submitted for audit.</p>	<p>Agreed. We will work to improve further the working papers for the next statement of accounts and will seek agreement to format before the 31 March 2017.</p> <p>Responsible Officer: Chief Finance Officer – Office of the Police & Crime Commissioner</p> <p>Due Date: By 31 March 2017</p>

Key issues and recommendations

We raise any key risk issues and recommendations with respect to our 2015/16 external audit work in this appendix.

We have given each recommendation a risk rating and agreed what action management will need to take.

The PCC and CC should closely monitor progress in addressing specific risks and implementing our recommendations.

We will formally follow up these recommendations next year.

No.	Risk	Issue and recommendation	Management response/responsible officer/due date
2	2	<p>Medium Term Financial Strategy Findings</p> <p>The anticipated efficiency savings were not achieved during the year which has resulted in an overspend against the budget and increased use of reserves. This will increase pressure on the delivery of future MTFS and the annual budget.</p> <p>Recommendation</p> <p>The PCC/CC will need to review the MTFS and the savings required for 2016/17 in view of the outturn position.</p> <p>There is also a need to review how robustly the delivery of all individual projects that contribute to the savings required within the MTFS are monitored and ensure Senior Management are duly held accountable.</p>	<p>Agreed. The MTFS and savings plans are under continuous review. They were last year too, but errors went unchecked with senior staff turnover and few alternatives could be delivered in year. More controls are now in place and more detailed reporting is provided.</p> <p>Responsible Officer: Chief Finance Officer – Office of the Police & Crime Commissioner</p> <p>Due Date: Ongoing now</p>

Appendix 2

Follow up of prior year recommendations

The PCC and CC has mainly implemented the recommendations in our ISA 260 Report 2014/15.

This appendix summarises the progress made to implement the recommendations identified in our ISA 260 Report 2014/15 and re-iterates any recommendations still outstanding.

Number of recommendations that were:	
Included in original report	3
Implemented in year or superseded	2
Partial/Remain outstanding	1

No.	Risk	Issue and recommendation	Officer responsible and due date	Status as at September 2016
1	2	<p>Quality and availability of working papers. Some working papers were not provided at the start of the audit; we experienced some delays due to staff absences which were not notified to the audit team on a timely basis. We will work with your officers to ensure there is clearer communication and understanding of what we require.</p> <p>Recommendation</p> <p>The Finance team should ensure:</p> <ul style="list-style-type: none"> — Availability of the working papers specified in the agreed Prepared by Client (PBC) schedule prior to the start of the audit; — Availability of key (and /or appropriate alternative) staff during the audit process; and — Appropriate Management/Peer review of working papers prior to handover for audit. 	<p>Agreed. This year was particularly difficult with unplanned absence. All effort was put into delivering a balanced set of accounts and therefore some working papers were delayed.</p> <p>Responsible Officer: Chief Finance Officer – Office of the Police & Crime Commissioner</p> <p>Due Date: April 2016</p>	<p>Partly - The generation of the 2015/16 accounts was completed for the 30 June 2016 for presentation to the Joint Audit & Scrutiny Panel.</p> <p>The production of the accounts was pressured due to obtaining supporting information from the new Oracle accounting system.</p> <p>There was no evidence of robust and comprehensive senior management/peer review of the working papers prior to handover for the external audit.</p>

Appendix 2

Follow up of prior year recommendations

The PCC and CC has mainly implemented the recommendations in our *ISA 260 Report 2014/15*.

No.	Risk	Issue and recommendation	Officer responsible and due date	Status as at September 2016
2	2	<p>Accounts Presented for Audit</p> <p>We received version 1 of the accounts on 30 June but were subsequently provided with version 2 on the 3 July 2015. Version 2 of the accounts included a number of casting errors, figures which were not supported with amended working papers and entries that did not agree to the PCC/CC accounts template used.</p> <p>Recommendation</p> <p>The Finance team should ensure:</p> <ul style="list-style-type: none"> — That the version presented to Members and Officers has been subject to sufficient and appropriate management quality review, proof reading of entries and cross checking to supporting notes; and — That the version of the accounts 'prepared for audit' is the finalised version, subject to quality review and that we as the external auditor are provided with working papers for any amendments made to the version being audited. 	<p>Agreed. Version 1 had been checked by several people, but version 2 had not been so robustly checked. The errors occur in how the spreadsheet feeds through to the word document once updates are made. We were keen to make sure the auditors had a set of accounts that did not contain any 'balancing' adjustments, but the right set of figures. Unfortunately in doing this version 2 was updated by the spreadsheet and the upload created errors.</p> <p>Responsible Officer: Chief Finance Officer – Office of the Police & Crime Commissioner</p> <p>Due Date: April 2016</p>	<p>Implemented – The Version of the draft accounts presented for audit were not altered following submission for audit.</p>

Appendix 2

Follow up of prior year recommendations

The PCC and CC has mainly implemented the recommendations in our *ISA 260 Report 2014/15*.

No.	Risk	Issue and recommendation	Officer responsible and due date	Status as at September 2016
3	2	<p>Accounts Production Version Control</p> <p>The accounts prepared for our audit contained a number of electronic links to subsequent working papers and links to support the account entries. A number of these links failed during the audit of the accounts or were not updated to reflect changes made to the different versions of the accounts. This delayed the audit process and generated additional queries for your staff to resolve.</p> <p>Recommendation</p> <p>The Finance team should ensure an alternative accounts template for the generation of the statements is used and limit the number of links used to support them. If links are required they should be tested during the management quality review process prior to submitting the accounts for audit.</p>	<p>Agreed in principle. We are looking into the possibility of computers for the staff that can meet the processing need. This will also mean that access to computers with increased processing ability will also be needed by the auditors.</p> <p>Responsible Officer: Chief Finance Officer – Office of the Police & Crime Commissioner</p> <p>Due Date: April 2016</p>	Implemented - There were no issues with capacity and links for the 2015/16 version of the accounts.

Audit differences

This appendix sets out the audit differences.

The 2015/16 financial statements have been amended for all of the differences identified through the audit process.

We are required by ISA 260 to report all uncorrected misstatements, other than those that we believe are clearly trivial, to those charged with governance (which in your case is the PCC and CC). We are also required to report all material misstatements that have been corrected but that we believe should be communicated to you to assist you in fulfilling your governance responsibilities.

Uncorrected audit differences

We confirm that there are no uncorrected misstatements, other than those that we believe are clearly trivial.

Corrected audit differences

Material misstatements

We confirm that there are no material adjustments.

Non-material misstatements

We confirm that all non material misstatements have been amended by the PCC and CC.

Disclosure differences

In addition to the above, only disclosure differences that relate directly to the primary statements or their related notes were identified. These have been discussed with management and again have been amended:

- Note 18.1 – Finance Lease – the amounts disclosed were amended from the draft accounts following review of working papers;
- Note 18.2 – Operating Lease – for similar reasons the figures from the draft were amended;
- Note 3.1 – Income within Cost of Services – the disclosure note was amended to reflect the entry on the core statements;
- Note 7.1 – Short Term Borrowing – the disclosure note was amended to include a table identifying the short term borrowing;
- Notes in the accounts in relation to Contingent Liabilities and Long Term Liabilities were also amended for clarity and additional disclosure requirements; and
- Details within the Narrative Report, and inclusion of Brexit, were amended to update figures within the tables and pie charts to reflect changes to the accounts.

None of these amendments were material to the accounts or impacted on the financial position reported by the PCC and CC.

Declaration of independence and objectivity

The Code of Audit Practice requires us to exercise our professional judgement and act independently of both Public Sector Audit Appointments Ltd and the PCC and CC.

Requirements

Auditors appointed by Public Sector Audit Appointments Ltd must comply with the Code of Audit Practice (the 'Code') which states that:

'Auditors and their staff should exercise their professional judgement and act independently of both the Commission and the audited body. Auditors, or any firm with which an auditor is associated, should not carry out work for an audited body that does not relate directly to the discharge of auditors' functions, if it would impair the auditors' independence or might give rise to a reasonable perception that their independence could be impaired.'

In considering issues of independence and objectivity we consider relevant professional, regulatory and legal requirements and guidance, including the provisions of the Code, the detailed provisions of the Statement of Independence included within the Public Sector Audit Appointments Ltd *Terms of Appointment* ('Public Sector Audit Appointments Ltd Guidance') and the requirements of APB Ethical Standard 1 *Integrity, Objectivity and Independence* ('Ethical Standards').

The Code states that, in carrying out their audit of the financial statements, auditors should comply with auditing standards currently in force, and as may be amended from time to time. Public Sector Audit Appointments Ltd guidance requires appointed auditors to follow the provisions of ISA (UK&I) 260 *Communication of Audit Matters with Those Charged with Governance* that are applicable to the audit of listed companies. This means that the appointed auditor must disclose in writing:

- Details of all relationships between the auditor and the client, its directors and senior management and its affiliates, including all services provided by the audit firm and its network to the client, its directors and senior management and its affiliates, that the auditor considers may reasonably be thought to bear on the auditor's objectivity and independence.

- The related safeguards that are in place.
- The total amount of fees that the auditor and the auditor's network firms have charged to the client and its affiliates for the provision of services during the reporting period, analysed into appropriate categories, for example, statutory audit services, further audit services, tax advisory services and other non-audit services. For each category, the amounts of any future services which have been contracted or where a written proposal has been submitted are separately disclosed. We do this in our *Annual Audit Letter*.

Appointed auditors are also required to confirm in writing that they have complied with Ethical Standards and that, in the auditor's professional judgement, the auditor is independent and the auditor's objectivity is not compromised, or otherwise declare that the auditor has concerns that the auditor's objectivity and independence may be compromised and explaining the actions which necessarily follow from this. These matters should be discussed with the PCC and CC.

Ethical Standards require us to communicate to those charged with governance in writing at least annually all significant facts and matters, including those related to the provision of non-audit services and the safeguards put in place that, in our professional judgement, may reasonably be thought to bear on our independence and the objectivity of the Engagement Lead and the audit team.

General procedures to safeguard independence and objectivity

KPMG's reputation is built, in great part, upon the conduct of our professionals and their ability to deliver objective and independent advice and opinions. That integrity and objectivity underpins the work that KPMG performs and is important to the regulatory environments in which we operate. All partners and staff have an obligation to maintain the relevant level of required independence and to identify and evaluate circumstances and relationships that may impair that independence.

Declaration of independence and objectivity (cont.)

We confirm that we have complied with requirements on objectivity and independence in relation to this year's 2015/16 external audit of the PCC and CC's 2015/16 financial statements.

Acting as an auditor places specific obligations on the firm, partners and staff in order to demonstrate the firm's required independence. KPMG's policies and procedures regarding independence matters are detailed in the *Ethics and Independence Manual* ('the Manual'). The Manual sets out the overriding principles and summarises the policies and regulations which all partners and staff must adhere to in the area of professional conduct and in dealings with clients and others.

KPMG is committed to ensuring that all partners and staff are aware of these principles. To facilitate this, a hard copy of the Manual is provided to everyone annually. The Manual is divided into two parts. Part 1 sets out KPMG's ethics and independence policies which partners and staff must observe both in relation to their personal dealings and in relation to the professional services they provide. Part 2 of the Manual summarises the key risk management policies which partners and staff are required to follow when providing such services.

All partners and staff must understand the personal responsibilities they have towards complying with the policies outlined in the Manual and follow them at all times. To acknowledge understanding of and adherence to the policies set out in the Manual, all partners and staff are required to submit an annual ethics and independence confirmation. Failure to follow these policies can result in disciplinary action.

Auditor declaration

In relation to the audit of the financial statements of the Police and Crime Commissioner for Nottinghamshire and the Chief Constable for Nottinghamshire for the financial year ending 31 March 2016, we confirm that there were no relationships between KPMG LLP and the Police and Crime Commissioner for Nottinghamshire and the Chief Constable for Nottinghamshire, its directors and senior management and its affiliates that we consider may reasonably be thought to bear on the objectivity and independence of the audit engagement lead and audit staff. We also confirm that we have complied with Ethical Standards and the Public Sector Audit Appointments Ltd requirements in relation to independence and objectivity.

Materiality and reporting of audit differences

For 2015/16 our materiality is £3.4 million for the PCC and CC's accounts.

We have reported all audit differences over £170k for the PCC and CC's accounts to the PCC and CC respectively.

Materiality

The assessment of what is material is a matter of professional judgment and includes consideration of three aspects: materiality by value, nature and context.

- Material errors by value are those which are simply of significant numerical size to distort the reader's perception of the financial statements. Our assessment of the threshold for this depends upon the size of key figures in the financial statements, as well as other factors such as the level of public interest in the financial statements.
- Errors which are material by nature may not be large in value, but may concern accounting disclosures of key importance and sensitivity, for example the salaries of senior staff.
- Errors that are material by context are those that would alter key figures in the financial statements from one result to another – for example, errors that change successful performance against a target to failure.

We used the same planning materiality reported in our External Audit Plan 2015/16, presented to you in February 2016.

Materiality for the PCC and CC's 2015/16 accounts was set at £3.4 million which equates to around 1.5 percent of the Group's gross expenditure. We design our procedures to detect errors in specific accounts at a lower level of precision.

Reporting to the PCC and CC

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

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

ISA 450 requires us to request that uncorrected misstatements are corrected.

In the context of the PCC and CC, we propose that an individual difference could normally be considered to be clearly trivial if it is less than £170k for the PCC and CC.

Where management have corrected material misstatements identified during the course of the audit, we will consider whether those corrections should be communicated to the PCC and CC to assist it in fulfilling their governance responsibilities.

KPMG Audit quality framework

We continually focus on delivering a high quality audit.

This means building robust quality control procedures into the core audit process rather than bolting them on at the end, and embedding the right attitude and approaches into management and staff.

KPMG's Audit Quality Framework consists of seven key drivers combined with the commitment of each individual in KPMG.

The diagram summarises our approach and each level is expanded upon.

At KPMG we consider audit quality is not just about reaching the right opinion, but how we reach that opinion. KPMG views the outcome of a quality audit as the delivery of an appropriate and independent opinion in compliance with the auditing standards. It is about the processes, thought and integrity behind the audit report. This means, above all, being independent, compliant with our legal and professional requirements, and offering insight and impartial advice to you, our client.

KPMG's Audit Quality Framework consists of seven key drivers combined with the commitment of each individual in KPMG. We use our seven drivers of audit quality to articulate what audit quality means to KPMG.

We believe it is important to be transparent about the processes that sit behind a KPMG audit report, so you can have absolute confidence in us and in the quality of our audit.

Tone at the top: We make it clear that audit quality is part of our culture and values and therefore non-negotiable. Tone at the top is the umbrella that covers all the drive's of quality through a focused and consistent voice. Andrew Cardoza as the Engagement Lead sets the tone on the audit and leads by example with a clearly articulated audit strategy and commits a significant proportion of his time throughout the audit directing and supporting the team.

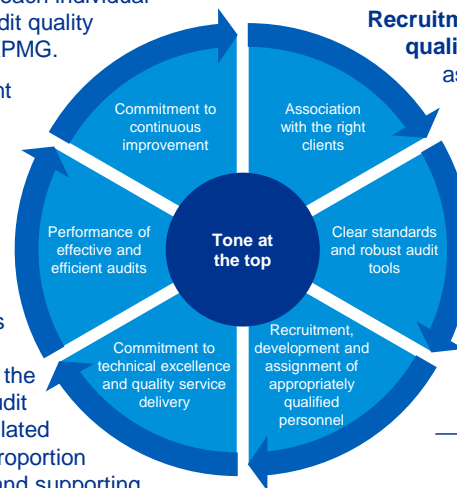
Association with right clients: We undertake rigorous client and engagement acceptance and continuance procedures which are vital to the ability of KPMG to provide high-quality professional services to our clients.

Clear standards and robust audit tools: We expect our audit professionals to adhere to the clear standards we set and we provide a range of tools to support them in meeting these expectations. The global rollout of KPMG's eAudit application has significantly enhanced existing audit functionality. eAudit enables KPMG to deliver a highly technically enabled audit. All of our staff have a searchable data base, Accounting Research Online, that includes all published accounting standards, the KPMG Audit Manual Guidance as well as other relevant sector specific publications, such as the National Audit Office's Code of Audit Practice.

Recruitment, development and assignment of appropriately qualified personnel: One of the key drivers of audit quality is assigning professionals appropriate to the PCC and CC's risks. We take great care to assign the right people to right clients based on a number of factors including their skill set, capacity and relevant experience.

We have a well developed technical infrastructure across the firm that puts us in a strong position to deal with any emerging issues. This includes:

- A national public sector technical director who has responsibility for co-ordinating our response to emerging accounting issues, influencing accounting bodies (such as CIPFA) as well as acting as a sounding board for our auditors.
- A national technical network of public sector audit professionals is established that meets on a monthly basis and is chaired by our national technical director.
- A dedicated Department of Professional Practice comprised of over 100 staff that provide support to our audit teams and deliver our web-based quarterly technical training.



KPMG Audit quality framework (cont.)

We continually focus on delivering a high quality audit.

This means building robust quality control procedures into the core audit process rather than bolting them on at the end, and embedding the right attitude and approaches into management and staff.

Quality must build on the foundations of well trained staff and a robust methodology.

Commitment to technical excellence and quality service delivery:

Our professionals bring you up-the-minute and accurate technical solutions and together with our specialists are capable of solving complex audit issues and delivering valued insights.

Our audit team draws upon specialist resources including Forensic, Corporate Finance, Transaction Services, Advisory, Taxation, Actuarial and IT. We promote technical excellence and quality service delivery through training and accreditation, developing business understanding and sector knowledge, investment in technical support, development of specialist networks and effective consultation processes.

Performance of effective and efficient audits: We understand that how an audit is conducted is as important as the final result. Our drivers of audit quality maximise the performance of the engagement team during the conduct of every audit. We expect our people to demonstrate certain key behaviours in the performance of effective and efficient audits. The key behaviours that our auditors apply throughout the audit process to deliver effective and efficient audits are outlined below:

- Timely Engagement Lead and manager involvement;
- Critical assessment of audit evidence;
- Exercise of professional judgment and professional scepticism;
- Ongoing mentoring and on the job coaching, supervision and review;
- Appropriately supported and documented conclusions;
- If relevant, appropriate involvement of the Engagement Quality Control reviewer (EQC review);

- Clear reporting of significant findings;
- Insightful, open and honest two-way communication with those charged with governance; and
- Client confidentiality, information security and data privacy.

Commitment to continuous improvement: We employ a broad range of mechanisms to monitor our performance, respond to feedback and understand our opportunities for improvement.

Our quality review results

Public Sector Audit Appointments Ltd publishes information on the quality of work provided by us (and all other firms) for audits undertaken on behalf of them (<http://www.psaa.co.uk/audit-quality/principal-audits/kpmg-audit-quality/>).

The latest Annual Regulatory Compliance and Quality Report (issued June 2015) showed that we are meeting the overall audit quality and regulatory compliance requirements.



kpmg.com/uk



© 2016 KPMG LLP, a UK limited liability partnership and a member firm of the KPMG network of independent member firms affiliated with KPMG International Cooperative ("KPMG International"), a Swiss entity. All rights reserved.

The KPMG name and logo are registered trademarks or trademarks of KPMG International. | Create KGS: CRT064379A

[Letterhead of Client]

KPMG LLP
St Nicholas House
Park Row
Nottingham
NG1 6FQ

[Date]

Dear Sirs

This representation letter is provided in connection with your audit of the financial statements of the Chief Constable for Nottinghamshire, for the year ended 31 March 2016, for the purpose of expressing an opinion:

- i. as to whether these financial statements give a true and fair view of the financial position of the Chief Constable as at 31 March 2016 and of the Chief Constable's expenditure and income for the year then ended; and
- ii. whether the financial statements have been prepared properly in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2015/16.

These financial statements comprise the Movement in Reserves Statement, the Comprehensive Income and Expenditure Statement, Balance Sheet, Cash Flow Statement and the related notes.

The Chief Constable confirms that the representations they make in this letter are in accordance with the definitions set out in the Appendix to this letter.

The Chief Constable confirms that, to the best of their knowledge and belief, having made such inquiries as they considered necessary for the purpose of appropriately informing their self:

Financial statements

1. The Chief Constable has fulfilled their responsibilities, as set out in the Accounts and Audit Regulations 2015, for the preparation of financial statements that:
 - i. give a true and fair view of the financial position of the Chief Constable as at 31 March 2016 and of the Chief Constable's expenditure and income for the year then ended;
 - ii. have been prepared properly in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2015/16.

The financial statements have been prepared on a going concern basis.

2. Measurement methods and significant assumptions used by the Chief Constable in making accounting estimates, including those measured at fair value, are reasonable.
3. All events subsequent to the date of the financial statements and for which IAS 10 *Events after the reporting period* requires adjustment or disclosure have been adjusted or disclosed.

Information provided

4. The Chief Constable has provided you with:
 - access to all information of which they are aware, that is relevant to the preparation of the financial statements, such as records, documentation and other matters;
 - additional information that you have requested from the Chief Constable for the purpose of the audit; and
 - unrestricted access to persons within the Chief Constable from whom you determined it necessary to obtain audit evidence.
5. All transactions have been recorded in the accounting records and are reflected in the financial statements.
6. The Chief Constable confirms the following:
 - i) The Chief Constable has disclosed to you the results of their assessment of the risk that the financial statements may be materially misstated as a result of fraud.

Included in the Appendix to this letter are the definitions of fraud, including misstatements arising from fraudulent financial reporting and from misappropriation of assets.
 - ii) The Chief Constable has disclosed to you all information in relation to:
 - a) Fraud or suspected fraud that they are aware of and that affects the Force and involves:
 - management;
 - employees who have significant roles in internal control; or
 - others where the fraud could have a material effect on the financial statements; and
 - b) allegations of fraud, or suspected fraud, affecting the Chief Constable's financial statements communicated by employees, former employees, analysts, regulators or others.

In respect of the above, the Chief Constable acknowledges their responsibility for such internal control as they determine necessary for the preparation of financial statements that are free from material misstatement, whether due to fraud or error. In particular, the Chief Constable acknowledges their responsibility for the design, implementation and maintenance of internal control to prevent and detect fraud and error.

7. The Chief Constable has disclosed to you all known instances of non-compliance or suspected non-compliance with laws and regulations whose effects should be considered when preparing the financial statements.

8. The Chief Constable has disclosed to you and has appropriately accounted for and/or disclosed in the financial statements, in accordance with IAS 37 *Provisions, Contingent Liabilities and Contingent Assets*, all known actual or possible litigation and claims whose effects should be considered when preparing the financial statements.
9. The Chief Constable has disclosed to you the identity of their related parties and all the related party relationships and transactions of which they are aware. All related party relationships and transactions have been appropriately accounted for and disclosed in accordance with IAS 24 *Related Party Disclosures*.
10. The Chief Constable confirms that:
 - a) the financial statements disclose all of the key risk factors, assumptions made and uncertainties surrounding the Chief Constable's ability to continue as a going concern as required to provide a true and fair view.
 - b) any uncertainties disclosed are not considered to be material and therefore do not cast significant doubt on the ability of the Chief Constable to continue as a going concern.
11. On the basis of the process established by the Chief Constable and having made appropriate enquiries, the Chief Constable is satisfied that the actuarial assumptions underlying the valuation of defined benefit obligations are consistent with their knowledge of the business and are in accordance with the requirements of IAS 19 (revised) *Employee Benefits*.

The Chief Constable further confirms that:

- a) all significant retirement benefits, including any arrangements that are:
 - statutory, contractual or implicit in the employer's actions;
 - arise in the UK and the Republic of Ireland or overseas;
 - funded or unfunded; and
 - approved or unapproved,have been identified and properly accounted for; and
 - b) all plan amendments, curtailments and settlements have been identified and properly accounted for.
12. On the basis of the process established by the Chief Constable and having made appropriate enquiries, the Chief Constable is satisfied that the transactions consolidated in its financial statements in respect of regional collaboration are in accordance with the requirements of IFRS 11 *Joint Arrangements*.

The Chief Constable further confirms that:

- a) suitable governance and internal control processes have been established in respect of each joint arrangement; and
- b) the recording of and accounting for individual transactions within each joint arrangement is in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2015/16, in particular transactions have been appropriately categorised in accordance with the CIPFA Service Reporting Code of Practice (SeRCOP) 2015/16.

Yours faithfully,

XXXXXXXXXXXX

Chief Constable for Nottinghamshire
Officer

XXXXXXXXXX

S151 Officer for Chief Constable

Draft

Appendix to the Representation Letter of the Chief Constable for Nottinghamshire : **Definitions**

Financial Statements

A complete set of financial statements comprises:

- A Comprehensive Income and Expenditure Statement for the period
- A Balance Sheet as at the end of the period
- A Movement in Reserves Statement for the period
- A Cash Flow Statement for the period
- Notes, comprising a summary of significant accounting policies and other explanatory information.

A local authority is required to present group accounts in addition to its single entity accounts where required by chapter nine of the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2015/16.

An entity may use titles for the statements other than those used in IAS 1. For example, an entity may use the title 'statement of comprehensive income' instead of 'statement of profit or loss and other comprehensive income'.

Material Matters

Certain representations in this letter are described as being limited to matters that are material.

IAS 1.7 and IAS 8.5 state that:

“Material omissions or misstatements of items are material if they could, individually or collectively, influence the economic decisions that users make on the basis of the financial statements. Materiality depends on the size and nature of the omission or misstatement judged in the surrounding circumstances. The size or nature of the item, or a combination of both, could be the determining factor.”

Fraud

Fraudulent financial reporting involves intentional misstatements including omissions of amounts or disclosures in financial statements to deceive financial statement users.

Misappropriation of assets involves the theft of an entity's assets. It is often accompanied by false or misleading records or documents in order to conceal the fact that the assets are missing or have been pledged without proper authorisation.

Error

An error is an unintentional misstatement in financial statements, including the omission of an amount or a disclosure.

Prior period errors are omissions from, and misstatements in, the entity's financial statements for one or more prior periods arising from a failure to use, or misuse of, reliable information that:

- a) was available when financial statements for those periods were authorised for issue; and
- b) could reasonably be expected to have been obtained and taken into account in the preparation and presentation of those financial statements.

Such errors include the effects of mathematical mistakes, mistakes in applying accounting policies, oversights or misinterpretations of facts, and fraud.

Management

For the purposes of this letter, references to "management" should be read as "management and, where appropriate, those charged with governance".

Related Party and Related Party Transaction

Related party:

A related party is a person or entity that is related to the entity that is preparing its financial statements (referred to in IAS 24 *Related Party Disclosures* as the "reporting entity").

- a) A person or a close member of that person's family is related to a reporting entity if that person:
 - i. has control or joint control over the reporting entity;
 - ii. has significant influence over the reporting entity; or
 - iii. is a member of the key management personnel of the reporting entity or of a parent of the reporting entity.
- b) An entity is related to a reporting entity if any of the following conditions applies:
 - i. The entity and the reporting entity are members of the same group (which means that each parent, subsidiary and fellow subsidiary is related to the others).
 - ii. One entity is an associate or joint venture of the other entity (or an associate or joint venture of a member of a group of which the other entity is a member).
 - iii. Both entities are joint ventures of the same third party.
 - iv. One entity is a joint venture of a third entity and the other entity is an associate of the third entity.
 - v. The entity is a post-employment benefit plan for the benefit of employees of either the reporting entity or an entity related to the reporting entity. If the reporting entity is itself such a plan, the sponsoring employers are also related to the reporting entity.
 - vi. The entity is controlled, or jointly controlled by a person identified in (a).
 - vii. A person identified in (a)(i) has significant influence over the entity or is a member of the key management personnel of the entity (or of a parent of the entity).

Key management personnel in a local authority context are all chief officers (or equivalent), elected members, the chief executive of the authority and other persons having the authority and responsibility for planning, directing and controlling the activities of the authority, including the oversight of these activities.

A reporting entity is exempt from the disclosure requirements of IAS 24.18 in relation to related party transactions and outstanding balances, including commitments, with:

- a) a government that has control, joint control or significant influence over the reporting entity; and
- b) another entity that is a related party because the same government has control, joint control or significant influence over both the reporting entity and the other entity.

Related party transaction:

A transfer of resources, services or obligations between a reporting entity and a related party, regardless of whether a price is charged.

Draft

[Letterhead of Client]

KPMG LLP
St Nicholas House
Park Row
Nottingham
NG1 6FQ

[Date]

Dear Sirs

This representation letter is provided in connection with your audit of the financial statements of the Police and Crime Commissioner for Nottinghamshire ("the PCC"), for the year ended 31 March 2016, for the purpose of expressing an opinion:

- i. as to whether these financial statements give a true and fair view of the financial position of the PCC and the Group as at 31 March 2016 and of the PCC's and the Group's expenditure and income for the year then ended; and
- ii. whether the financial statements have been prepared properly in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2015/16.

These financial statements comprise the PCC and Group Movement in Reserves Statements, the PCC and Group Comprehensive Income and Expenditure Statements, the PCC and Group Balance Sheets, the PCC and Group Cash Flow Statements and the related notes.

The PCC confirms that the representations they make in this letter are in accordance with the definitions set out in the Appendix to this letter.

The PCC confirms that, to the best of their knowledge and belief, having made such inquiries as they considered necessary for the purpose of appropriately informing their self:

Financial statements

1. The PCC has fulfilled their responsibilities, as set out in the Accounts and Audit Regulations 2015, for the preparation of financial statements that:
 - i. give a true and fair view of the financial position of the PCC and the Group as at 31 March 2016 and of the PCC's and the Group's expenditure and income for the year then ended;
 - ii. have been prepared properly in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2015/16.

The financial statements have been prepared on a going concern basis.

2. Measurement methods and significant assumptions used by the PCC in making accounting estimates, including those measured at fair value, are reasonable.
3. All events subsequent to the date of the financial statements and for which IAS 10 *Events after the reporting period* requires adjustment or disclosure have been adjusted or disclosed.

Information provided

4. The PCC has provided you with:
 - access to all information of which they are aware, that is relevant to the preparation of the financial statements, such as records, documentation and other matters;
 - additional information that you have requested from the PCC for the purpose of the audit; and
 - unrestricted access to persons within the PCC and the Group from whom you determined it necessary to obtain audit evidence.
5. All transactions have been recorded in the accounting records and are reflected in the financial statements.
6. The PCC confirms the following:
 - i) The PCC has disclosed to you the results of their assessment of the risk that the financial statements may be materially misstated as a result of fraud.

Included in the Appendix to this letter are the definitions of fraud, including misstatements arising from fraudulent financial reporting and from misappropriation of assets.
 - ii) The PCC has disclosed to you all information in relation to:
 - a) Fraud or suspected fraud that they are aware of and that affects the PCC and the Group and involves:
 - management;
 - employees who have significant roles in internal control; or
 - others where the fraud could have a material effect on the financial statements; and
 - b) allegations of fraud, or suspected fraud, affecting the PCC's and Group's financial statements communicated by employees, former employees, analysts, regulators or others.

In respect of the above, the PCC acknowledges their responsibility for such internal control as they determine necessary for the preparation of financial statements that are free from material misstatement, whether due to fraud or error. In particular, the PCC acknowledges their responsibility for the design, implementation and maintenance of internal control to prevent and detect fraud and error.

7. The PCC has disclosed to you all known instances of non-compliance or suspected non-compliance with laws and regulations whose effects should be considered when preparing the financial statements.

8. The PCC has disclosed to you and has appropriately accounted for and/or disclosed in the financial statements, in accordance with IAS 37 *Provisions, Contingent Liabilities and Contingent Assets*, all known actual or possible litigation and claims whose effects should be considered when preparing the financial statements.
9. The PCC has disclosed to you the identity of the PCC's and the Group's related parties and all the related party relationships and transactions of which they are aware. All related party relationships and transactions have been appropriately accounted for and disclosed in accordance with IAS 24 *Related Party Disclosures*.
10. The PCC confirms that:
 - a) the financial statements disclose all of the key risk factors, assumptions made and uncertainties surrounding the PCC's and the Group's ability to continue as a going concern as required to provide a true and fair view.
 - b) any uncertainties disclosed are not considered to be material and therefore do not cast significant doubt on the ability of the PCC and the Group to continue as a going concern.
11. On the basis of the process established by the PCC and having made appropriate enquiries, the PCC is satisfied that the actuarial assumptions underlying the valuation of defined benefit obligations are consistent with their knowledge of the business and are in accordance with the requirements of IAS 19 (revised) *Employee Benefits*.

The PCC further confirms that:

- a) all significant retirement benefits, including any arrangements that are:
 - statutory, contractual or implicit in the employer's actions;
 - arise in the UK and the Republic of Ireland or overseas;
 - funded or unfunded; and
 - approved or unapproved,have been identified and properly accounted for; and
 - b) all plan amendments, curtailments and settlements have been identified and properly accounted for.
12. On the basis of the process established by the PCC and having made appropriate enquiries, the PCC is satisfied that the transactions consolidated in its financial statements in respect of regional collaboration are in accordance with the requirements of IFRS 11 *Joint Arrangements*.

The PCC further confirms that:

- a) suitable governance and internal control processes have been established in respect of each joint arrangement; and
- b) the recording of and accounting for individual transactions within each joint arrangement is in accordance with the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2015/16, in particular transactions have been appropriately categorised in accordance with the CIPFA Service Reporting Code of Practice (SeRCOP) 2015/16.

Yours faithfully,

XXXXXXXXXXXX

Police and Crime Commissioner
for Nottinghamshire

XXXXXX

S151 Officer for PCC

Draft

Appendix to the Representation Letter of the Police and Crime Commissioner for Nottinghamshire : Definitions

Financial Statements

A complete set of financial statements comprises:

- A Comprehensive Income and Expenditure Statement for the period
- A Balance Sheet as at the end of the period
- A Movement in Reserves Statement for the period
- A Cash Flow Statement for the period
- Notes, comprising a summary of significant accounting policies and other explanatory information.

A local authority is required to present group accounts in addition to its single entity accounts where required by chapter nine of the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom 2015/16.

An entity may use titles for the statements other than those used in IAS 1. For example, an entity may use the title 'statement of comprehensive income' instead of 'statement of profit or loss and other comprehensive income'.

Material Matters

Certain representations in this letter are described as being limited to matters that are material.

IAS 1.7 and IAS 8.5 state that:

“Material omissions or misstatements of items are material if they could, individually or collectively, influence the economic decisions that users make on the basis of the financial statements. Materiality depends on the size and nature of the omission or misstatement judged in the surrounding circumstances. The size or nature of the item, or a combination of both, could be the determining factor.”

Fraud

Fraudulent financial reporting involves intentional misstatements including omissions of amounts or disclosures in financial statements to deceive financial statement users.

Misappropriation of assets involves the theft of an entity's assets. It is often accompanied by false or misleading records or documents in order to conceal the fact that the assets are missing or have been pledged without proper authorisation.

Error

An error is an unintentional misstatement in financial statements, including the omission of an amount or a disclosure.

Prior period errors are omissions from, and misstatements in, the entity's financial statements for one or more prior periods arising from a failure to use, or misuse of, reliable information that:

- a) was available when financial statements for those periods were authorised for issue; and
- b) could reasonably be expected to have been obtained and taken into account in the preparation and presentation of those financial statements.

Such errors include the effects of mathematical mistakes, mistakes in applying accounting policies, oversights or misinterpretations of facts, and fraud.

Management

For the purposes of this letter, references to "management" should be read as "management and, where appropriate, those charged with governance".

Related Party and Related Party Transaction

Related party:

A related party is a person or entity that is related to the entity that is preparing its financial statements (referred to in IAS 24 *Related Party Disclosures* as the "reporting entity").

- a) A person or a close member of that person's family is related to a reporting entity if that person:
 - i. has control or joint control over the reporting entity;
 - ii. has significant influence over the reporting entity; or
 - iii. is a member of the key management personnel of the reporting entity or of a parent of the reporting entity.
- b) An entity is related to a reporting entity if any of the following conditions applies:
 - i. The entity and the reporting entity are members of the same group (which means that each parent, subsidiary and fellow subsidiary is related to the others).
 - ii. One entity is an associate or joint venture of the other entity (or an associate or joint venture of a member of a group of which the other entity is a member).
 - iii. Both entities are joint ventures of the same third party.
 - iv. One entity is a joint venture of a third entity and the other entity is an associate of the third entity.
 - v. The entity is a post-employment benefit plan for the benefit of employees of either the reporting entity or an entity related to the reporting entity. If the reporting entity is itself such a plan, the sponsoring employers are also related to the reporting entity.
 - vi. The entity is controlled, or jointly controlled by a person identified in (a).
 - vii. A person identified in (a)(i) has significant influence over the entity or is a member of the key management personnel of the entity (or of a parent of the entity).

Key management personnel in a local authority context are all chief officers (or equivalent), elected members, the chief executive of the authority and other persons having the authority and responsibility for planning, directing and controlling the activities of the authority, including the oversight of these activities.

A reporting entity is exempt from the disclosure requirements of IAS 24.18 in relation to related party transactions and outstanding balances, including commitments, with:

- a) a government that has control, joint control or significant influence over the reporting entity; and
- b) another entity that is a related party because the same government has control, joint control or significant influence over both the reporting entity and the other entity.

Related party transaction:

A transfer of resources, services or obligations between a reporting entity and a related party, regardless of whether a price is charged.

Draft

For Decision	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	15th September 2016
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Paul Dawkins, Pamela Taylor
Agenda Item:	06

STATEMENT OF ACCOUNTS AND ANNUAL GOVERNANCE STATEMENTS FOR 2015-16

1. Purpose of the Report

- 1.1 To provide members with a copy of the audited statement of accounts and annual governance statements for 2015-16.

2. Recommendations

- 2.1 Members are requested to:
- Having examined the statements provided to recommend the accounts and governance statements to the Police & Crime Commissioner for approval.
 - Also recommend the accounts and governance statements to the Police & Crime Commissioner and Chief Constable for signing.

3. Reasons for Recommendations

- 3.1 This complies with the Accounts and Audit regulations and good financial governance.

4. Summary of Key Points

- 4.1 The attached statements provide a fair view of the financial position of the Chief Constable, Police & Crime Commissioner and group as a whole.
- 4.2 The statements of the Chief Constable show the cost of policing and provision of services to deliver the Police & Crime Plan.
- 4.3 The Group accounts also include the financial statement relating to the Office of the Police & Crime Commissioner.
- 4.4 These accounts represent fairly the financial position of the Group and its individual entities.

5. Financial Implications and Budget Provision

- 5.1 None as a direct result of this report.

6. Human Resources Implications

6.1 None as a direct result of this report.

7. Equality Implications

7.1 None as a direct result of this report.

8. Risk Management

8.1 None as a direct result of this report.

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

9.1 This complies with the Financial Regulations which underpin the achievement of all Police & Crime Plan priorities.

10. Changes in Legislation or other Legal Considerations

10.1 This complies with the current Accounts and Audit Regulations.

11. Details of outcome of consultation

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

12. Appendices

A – The Chief Constables Statement of Accounts 2015-16 – **to follow**

B – The Group Statement of Accounts 2015-16 - **to follow**

C - The Chief Constables Annual Governance Statement 2015-16

D – The PCC's Annual Governance Statement 2015-16



Nottinghamshire Police Annual Governance Statement 2015/16

Table of contents

1.0	Introduction.....	3
1.1	Scope of responsibility.....	3
1.2	The purpose of the governance framework	3
2.0	The governance framework.....	3
2.1	Principle 1: Focusing on the purpose of the Force, outcomes for the community and creating and implementing a vision for the local area	3
2.1.1	The Police and Crime Plan.....	3
2.1.2	Strategic Policing Requirement	3
2.1.3	Delivery and monitoring	4
2.2	Principle 2: Leaders, officers and partners working together to achieve a common purpose with clearly defined functions and roles.....	4
2.2.1	Police Reform and Social Responsibility Act 2011 (PRSR).....	4
2.2.2	The Policing Protocol	4
2.2.3	Scheme of Good Corporate Governance and Working Together.....	4
2.2.4	The role of the Chief Financial Officer	6
2.2.5	Partnership working.....	6
2.2.6	Collaborative working	7
2.3	Principle 3: Promoting values for the Force and demonstrating the values of good governance through upholding high standards of conduct and behaviour.....	8
2.3.1	Our Values and the Code of Ethics	8
2.3.2	Monitoring standards.....	9
2.3.3	Information assurance.....	10
2.4	Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.....	12
2.4.1	Decision making.....	12
2.4.2	Joint Audit and Scrutiny Panel.....	13
2.4.3	Risk management	13
2.4.4	Audit and inspection	14
2.4.5	Managing legislative change	14
2.5	Principle 5: Developing the capacity and capability of the Force to be effective	14
2.5.1	Delivering the Future (DtF).....	14
2.5.2	Induction	15
2.5.3	Training	15
2.5.4	Career pathways.....	16
2.5.5	Succession planning	16
2.6	Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability	16
2.6.1	Community engagement and consultation.....	16
2.6.2	Workforce engagement and consultation	18
3.0	Review of effectiveness.....	18
4.0	Improvement actions	18
	Appendix A: Identified improvement actions from 2015/16	21
	Appendix B: Update of improvement actions from 2014/15.....	23

1.0 Introduction

1.1 Scope of responsibility

Nottinghamshire Police is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The Force has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised.

In discharging this overall responsibility, Nottinghamshire Police is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, and which includes arrangements for the management of risk.

The Chief Constable of Nottinghamshire Police and the Police and Crime Commissioner (PCC) for Nottinghamshire have adopted a Joint Code of Corporate Governance, which is consistent with the principles of the CIPFA/ SOLACE Framework 'Delivering Good Governance in Local Government'. A copy of the Code of Governance can be obtained from the Nottinghamshire Office of Police and Crime Commissioner (NOPCC) website at <http://www.nottinghamshire.pcc.police.uk>.

This Statement explains how the Force has complied with the Code and also meets the requirements of Accounts and Audit (England) Regulations 2011, regulation 4(3), which requires all relevant bodies to prepare an annual governance statement.

1.2 The purpose of the governance framework

The governance framework comprises the systems and processes, culture and values by which the Force is directed and controlled and the activities through which, it accounts to and engages with the community. It enables the Force to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.

2.0 The governance framework

The principles which form the basis of the governance framework and how they are applied within the Force are described in the following sections.

2.1 Principle 1: Focusing on the purpose of the Force, and on outcomes for the community, and creating and implementing a vision for the local area

2.1.1 The Police and Crime Plan

The local direction and priorities for the Force are set in the Police and Crime Commissioner's (PCC's) Police and Crime Plan, which was created following a comprehensive multi-agency strategic assessment. The Force and local partner organisations each completed a Local Profile assessment. Local Profiles were aggregated together with outcomes of community consultation and engagement, to inform the Police and Crime Needs Assessment (PCNA) and subsequently the refresh of the Police and Crime Plan.

The PCC has provided a commitment to the public to deliver safer communities; improved trust and confidence in policing and value for money policing services.

2.1.2 Strategic Policing Requirement

At a national level, the Force work to the Strategic Policing Requirement (SPR) which is issued by the Home Office to articulate current national threats and the appropriate

national policing capabilities required to counter those threats. The SPR is considered as part of the Force Strategic Crime Intelligence Assessment which in turn informs the PCNA and the Police and Crime Plan.

2.1.3 Delivery and monitoring

The monthly Performance and Insight Pack (P&I Pack) reports against the strategic priority themes set out in the Police and Crime Plan. This considers performance against target as well as trends over time. Additional insight is also given for those areas of performance which are of concern to the Force.

The P&I Pack is reported to the Force Executive Board (FEB) and the Force Performance Board on a monthly basis. It is also presented to the NOPCC's Strategic Resources and Performance Meeting to inform them of the key performance headlines. The minutes of this meeting, along with the P&I Pack, are made available on the NOPCC website so they are accessible to members of the public.

A review of the Force's approach to performance management was commissioned during 2015/16 to focus on the commission, production, circulation and consumption of performance management information. The review will also examine the types of performance decisions that are made across the organisation. Additionally, and in order to deliver a performance framework that aligned to future changes, there are opportunities to link in with and help shape regional developments in performance management. This review is still on-going.

2.2 Principle 2: Leaders, officers and partners working together to achieve a common purpose with clearly defined functions and roles

2.2.1 Police Reform and Social Responsibility Act 2011 (PRSR)

Each PCC and their respective Chief Constable is established in law as a corporation sole within the PRSR 2011 Act. As such, both are enabled by law to employ staff and hold funds in their official capacity. Chief Constables are charged with the impartial direction and control of all constables and staff within the police force that they lead.

2.2.2 The Policing Protocol

The Force is compliant with the Policing Protocol, which was issued in accordance with the Police Reform and Social Responsibility Act 2011 and sets out how the functions of the PCC, Chief Constable and Police and Crime Panel will be exercised in relation to each other.

2.2.3 Scheme of Good Corporate Governance and Working Together

The NOPCC and Force operate under a comprehensive 'Working Together Agreement' which comprises of the scheme of consent, the Joint Code of Corporate Governance, Financial Regulations and Contract Standing Orders. The document was introduced in 2014 to give clarity to the way the NOPCC and the Force will govern both jointly and separately to ensure that they are conducting business in the right way, for the right reason at the right time.

Scheme of Consent

The Scheme of Consent sets out the extent of, and any conditions attached to, the PCC's consent to the Chief Constable and their respective staff. It outlines the Chief Constable's functions and powers and any statutory restrictions on the powers and conditions of consent from the PCC.

The Force's internal auditors, Mazars, undertook a review of the Force's Core Financials during 2015/16. It was identified that the current Scheme of Delegation does not reflect the purchasing embedded within the Multi Force Shared Services (MFSS) process and therefore there is a risk that spending is not authorised and controlled in line with Financial Regulations. A recommendation was made to for the NOPCC, the Force and MFSS to establish how the current authorisation limits, as agreed within the scheme of delegation, can be embedded into the current purchasing process. This is highlighted as an action for improvement during 2016/17.

Mazars also identified lack of up to date guidance for staff with regard to expenses, which may lead to inappropriate or invalid claims being made. The Force's Expenses Policy will be reviewed and updated during 2016/17 to ensure it is fit for purpose and includes clear guidance on all categories of expenses and consequences for staff who breach the policy. The policy will be reissued via Weekly Orders to all staff and officers to ensure awareness and compliance.

Joint Code of Corporate Governance

The Joint Code of Corporate Governance (the Code) has been developed by the PCC and the Chief Constable using the six principles of Good Corporate Governance as the framework for setting out local arrangements to deliver the 'Delivering Good Governance in Local Government' framework.

The Force's internal auditors reviewed the Code in 2015 and found that it is fully embedded within the governance framework and supports the focus and direction of both corporations sole. However, it was identified that the PCC's 'Governance and Decision Making Framework', which was last reviewed in November 2012, is not up to date and that it conflicts with the 'Working Together' document. This may lead to decisions not being made in line with current guidance and expectations and not subject to the correct approval and accountability process.

It was recommended that the NOPCC 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 decision are required to be made. This applies particularly to those with non-financial impact, or of significant public interest, which are not currently covered in the Working Together Document. This action will be progressed under the Governance Workstream of the Strategic Alliance.

Financial Regulations

The Force's Financial Regulations are designed to establish overarching financial responsibilities, to confer duties, rights and powers upon the PCC, the Chief Constable and their statutory officers and to provide clarity about the financial accountabilities of groups or individuals. They apply to every member and officer of the service and anyone acting on their behalf.

Contract standing orders

Procurement at a local level is carried out in line with the Contract Procedure Rules and Standing Orders. The document updates the previous standing orders and reflects how the East Midlands Strategic Commercial Unit (EMSCU) manage strategic procurement across partner forces. The Orders set out the Business Code of Conduct for the NOPCC and the Force to advise on the minimum standards expected of all staff to ensure fairness and consistency of approach in line with sound commercial practice.

During an audit of procurement activity in 2015/16 Mazars identified some areas in the control environment where there is scope for improvement.

- The Force should consistently ensure that contracts are in place for all purchases over £25000 and these should be signed prior to commencement of the contract.
- A formal approval process should be established within the Force before new suppliers are entered onto the Oracle system.
- Management should look to implement an exception reporting system in conjunction with the MFSS to monitor payments which are outside of the approved process.

These actions are being robustly managed and reported to the FEB on a quarterly basis.

2.2.4 The role of the Chief Financial Officer

The role of Chief Financial Officer (CFO) is fulfilled by the Assistant Chief Officer for Finance and Resources for Nottinghamshire, Northamptonshire and Leicestershire.

As a key member of the leadership team, the CFO helps to develop and implement strategy and resource, and deliver the PCC's strategic objectives sustainably and in the public interest. They are actively involved in and able to bring influence to bear on, all business decisions to ensure immediate and longer term implications, opportunities and risks are fully considered, and aligned with the financial strategy. They lead and encourage the promotion and delivery of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively.

2.2.5 Partnership working

The Force is committed to working in partnership to deliver its priorities. By working with other organisations and agencies the Force can provide the very best service to its communities. It is essential that working in partnership with others is underpinned by a common vision that is understood and agreed by all parties.

City partnerships

There are strong governance processes in place for the City partnerships. Each of the partnerships under the One Nottingham umbrella, including the Crime Drugs Partnership (CDP), have clear terms of reference including a clearly defined purpose, arrangements for information sharing, community engagement and governance and finance.

The CDP Plan 2015-20 sets out the overall aims and delivery and performance framework of the partnership to deliver the 'safer' agenda of the 'Nottingham Plan to 2020'. The Partnership Plan has been developed with regard to the priorities of the Police and Crime Commissioner. It is informed by an annual assessment of threat, risk, harm, volume and response, which identified priorities for the City.

There is a robust governance framework in place to oversee the delivery of the Plan. This is directed by the Partnership Board, which provides strategic governance of the partnership. There is also a Citywide Priority Tasking Group, which provides leadership in operational matters and Themed Strategic Groups and Task and Finish Groups, which coordinate action at an operational level. Neighbourhood Action Teams coordinate action with a strong focus on high impact neighbourhoods.

The Partnerships Support Team have a clear remit to build and manage strategic and tactical plans, monitor performance, identify risks and provide coordination between agencies.

County partnerships

There is robust governance in place to manage County partnership working. The strategic partnerships to which the Division belongs are underpinned by a common

vision and objectives, which are outlined in terms of reference for the Safer Nottinghamshire Board (SNB).

The SNB is responsible for setting strategic direction for community safety and substance misuse. The Board ensures the effective delivery of the Nottinghamshire Community Safety Strategy, supports the statutory local Community Safety Partnerships (CSPs) to deliver their community safety strategies and ensures effective performance management arrangements are in place.

The four statutory CSPs are responsible for the delivery of local community safety strategies and action plans. The SNB Delivery Groups support the SNB and CSPs to implement the community safety strategies.

Each of the three CSPs in the County produce performance information on a monthly basis. This includes reporting on current performance against targets, comparison against most similar force peers and performance of Partnership Plus areas. The SNB Performance Group brings together the CSP Chairs to discuss performance risks and highlights.

Performance is managed through a process of Strategic Assessment which highlights the business areas that need addressing. Problem profiles support a greater understanding of established and emerging crime or incident series, priority locations and other identified high risk issues in an area. Action plans are developed from this process to help deliver measurable outcomes for local communities.

2.2.6 Collaborative working

Collaborative opportunities are increasingly being explored and arrangements put in place within the East Midlands region in order to maintain and improve service delivery whilst continuing to deliver significant cost savings.

The Collaboration Programme has established a governance structure to support the development of collaboration. This includes the East Midlands Police and Crime Commissioners Board (EMPCCB), which meets every two months and is attended by the regional PCCs, their Chief Executives and Finance Officers and the Chief Constables. The Board is constituted as a business meeting to coordinate strategic oversight and performance management of strategic assets. Members receive updates on collaborative projects, performance, threat and risk assessment and collaboration budgets. This is supported by the PCC and CEO Business Meeting, attended by the CEOs and PCCs and the Collaboration Efficiency Board.

In September 2015 the EMPCCB agreed to nominate a lead Police and Crime Commissioner for each area of regional collaboration to provide further scrutiny and assurance across that specific area. It was proposed that each head of each service would provide access to all appropriate strategic, tactical and performance information including finance reports and budgets to provide the level of assurance necessary to enable appropriate support and challenge through the PCC Board.

Building on the success of existing regional collaborations such as EMOpSS, EMCJS, Legal Services and EMSOU, a Strategic Alliance is now being pursued between Leicestershire, Northamptonshire and Nottinghamshire to explore the potential of further collaboration, to share resources and better protect the public.

Clear roles, responsibilities and meeting structures have been established to ensure robust governance arrangements as the Strategic Alliance is developed. The three DCCs and PCC Chief Executives have been given lead responsibility for developing a detailed design for each of the proposed portfolios within the Strategic Alliance.

A Design Authority meeting is held every two weeks, chaired by the Leicestershire DCC, this meeting brings together the three DCCs, three Chief Executives and the Programme Director. The Strategic Alliance Board meeting is held monthly, and allows the three Chief Constables and three Police and Crime Commissioners to hear the latest programme developments and make key decisions, based on recommendations from the Design Authority.

Each of the established collaborations has a Collaboration Agreement in place in line with Section 22a of the Police Act 1996 which outlines arrangements between two or more forces when working in collaboration. This includes the aims of the collaboration, the governance and accountability framework, roles and responsibilities, financial contributions, audit and inspection and information management arrangements. The Agreements are formally signed off by the PCCs and Chief Constables for the forces concerned and are continually reviewed and amended by the East Midlands Police Legal Services (EMPLS) to ensure they are fit for purpose.

2.3 Principle 3: Promoting values for the Force and demonstrating the values of good governance through upholding high standards of conduct and behaviour

2.3.1 Our Values and the Code of Ethics

The PROUD Value campaign, which was launched in 2012, included a full communications plan, personal briefings to teams by managers and incorporation of PROUD values in promotion processes.

When the Code of Ethics was introduced in July 2014, the Force explicitly linked it to the PROUD values. An email was sent to all officers and staff from the DCC informing them of the Code of Ethics, with links to the video and information from the College of Policing.

A clear structure of responsibility was established for embedding the Code by appointing strategic, operational and tactical leads.

The plan for the initial phase of embedding the Code was informed by national best practice from the College of Policing, as well as links with regional forces. It included briefings to senior managers and the NOPCC, communications on the intranet page and identification of business area champions across the organisation. The approach focused upon making staff aware of the Code of Ethics and how to use it, it was not a process based approach of a 'standing item' on policy documents and operational orders.

In 2015, the Force moved to the next phase of embedding the Code. This included a review of best practice from other forces. The next stage of communications, involving ethical dilemmas on the force intranet was started in March 2015. This included a weekly dilemma to encourage staff to consider and apply the Code of Ethics to.

The force Professional Standards and Integrity Board was amended to a 'Professional Standards, Integrity and Ethics Board'. The first ethical issue considered at this board was the offer of free bus travel to officers by local bus companies.

The Code of Ethics sits at the centre of the National Decision Model, so is explicitly referenced and considered in any decision making situation. It is emphasised during training such as Officer Safety Training, where decision making about use of force is

covered. It is clearly set out in the policy booklets used by officers in command situations. It is also applied to personnel processes, policies and explicitly included in areas of work such as dealing with grievances.

2.3.2 Monitoring standards

Conduct and behaviour

Standards of conduct and personal behaviour required of all officers and staff are embedded in the Police Conduct Regulations, 2012, and the Police Staff Misconduct Policy and Procedure.

Standards are governed by the Professional Standards, Integrity and Ethics Board, which is chaired by the Deputy Chief Constable (DCC). The meeting's remit is to oversee integrity and monitor standards of behaviour and conduct within the Force, ensuring that they are in line with the Force values and have a positive impact on Force reputation and public confidence.

A report on IPCC Investigations is presented at the NOPCC's Audit and Scrutiny Panel to inform the PCC on cases the Force has referred to the Independent Police Complaints Commission (IPCC). It also details any outcomes and recommendations the IPCC has referred back to the Force during this period, and other learning identified.

The 'early intervention process', which was introduced in 2014/15, has proved effective in enabling PSD to intercede as soon as possible where Officers or members of staff highlighted at being at particular risk of breaching conduct standards.

Complaints

There are robust mechanisms in place with respect to the governance of complaints in Force. Complaints are managed in accordance with statutory guidance provided by the IPCC. To provide internal assurance, a Performance and Insight Report, monitoring the complaints process, is produced on a monthly basis. This report provides statistical data and analysis on public complaints and allegations recorded by Division and Department, diversity monitoring of complainants and Officers and Staff receiving complaints, mode of resolution, timeliness and outcomes. The report is discussed in detail at the Professional Standards, Integrity and Ethics Board. All learning is captured and fed into a service improvement plan. Full detailed reports are also produced on a quarterly basis, which are a retrospective of the previous 12 months.

A monthly progress report is provided for Divisional and Departmental Heads detailing officers who are currently under suspension notices and restricted duties, outstanding local resolutions, employees subject to three or more complaints and stop and search complaint allegations.

The Force's AGS for 2014/15 highlighted a recommendation made by HMIC following the inspection of 'Police Integrity and Corruption', that the Force should 'review its capacity and capability to carry out proportionate investigations into public complaints to minimise delays¹'. Assurance has been provided that resources within PSD are regularly reviewed and fixed term contracts used where necessary to manage workload; recent data from the Independent Police Complaints Commission (IPCC) shows that the Force is now in line with national averages.

During 2015/16 HMIC inspected the Force to ascertain 'how legitimate the Force are at keeping people safe and reducing crime'. The overall judgement was 'good' and it was found that the Force dealt with complaints and misconduct fairly and consistently

¹ HMIC: Police Integrity and Corruption, November 2014, <http://www.justiceinspectorates.gov.uk/>

and investigations were free from bias. Furthermore the report stated that 'there were procedures in place which ensured consistent decision-making complaint investigations across officers and staff'.

Confidential reporting

There are clear processes in place around confidential reporting. The Professional Standards Reporting Procedure sets out the ways in which individuals within the Force can report breaches of PSD in a supportive and confidential environment. The Procedure was reviewed and refreshed in 2014 to reflect the introduction of Integrity Messenger, the Force's online confidential reporting tool.

Local resolution

Where appropriate, for less serious conduct issues, a process of local resolution may be used to address a complainant's concerns quickly and effectively, without the need for formal investigation. A 'guide to locally resolving complaints against police or police staff' is provided by PSD. The IPCC target time for locally resolving complaints is 28 days from the date it was first recorded. The Force's performance is measured against this target and against other forces.

Conflicts of interest

Force procedure regarding Business Interests and Additional Employment for Police Officers and Police Staff was revised during 2015/16 following HMIC's report 'Police Integrity and Corruption'. It was recommended that the Force should ensure that any secondary employment or business interest applications which have been declined or withdrawn are followed up on to ensure compliance. The Procedure has since been updated to ensure all refused interests are subject to review by line managers.

A redacted version of the Register of Approved Business Interests is published on the Force website annually; any changes are reported on a monthly basis to the Professional Standards, Integrity and Ethics Board.

The Notifiable Associations for Police Personnel Procedure was also reviewed during 2015/16. It identifies the procedures that should be followed should police personnel consider themselves the subject of, or suspect another member of staff to have, a notifiable association.

Integrity Health Check

A new process was introduced in 2014/15 whereby staff and officers receive an annual Integrity Health Check alongside their Personal Development Review (PDR). It has been identified, however, that as PDRs have not been carried out consistently during 2015/16 Integrity Health Checks have also not been completed for all officers and staff. A new electronic PDR process has now been introduced which incorporates the Integrity Health Check. It is recommended that the completion of PDRs is reported to Divisional and Departmental Heads to ensure compliance with the Integrity Health Check process.

2.3.3 Information assurance

Information management

Information management is governed through the Force Information Assurance Board (FIAB), chaired by the DCC as the Senior Information Risk Officer (SIRO). The role of the Board is to manage the effectiveness of information management arrangements to ensure that information held, processed and accessed by members of the Force and stakeholders is managed in line with legislative requirements.

During 2014/15 HMIC conducted 'Building the Picture', an inspection of police information management. As part of a local response to the 'Building the Picture'

recommendations, a new Information Management Strategy (IMS) was developed and published. The purpose of the IMS is to set out a roadmap for further developing information management capability and effectively embedding an information assurance culture across the Force in line with guidance and standards issued as part of Authorised Professional Practice.

Information management training is managed and commissioned regionally via the Regional Information Assurance Group (RIAG). Due to the prioritisation of Niche implementation during this time it was decided that the new information management training package will be scheduled for completion later in 2016.

Information Asset Owners (IAOs)

In 2014, the Force undertook an Information Asset Register Project. This project constituted of three stages, the first being engagement with identified IAOs in order to identify their information assets, their sensitivity/importance and through life management. Stage 2 constituted engagement with nominated Information Asset Delegates (IADs), who have day-to-day administrative responsibilities of each asset, in order to ensure correct protection and use of each asset.

The project has now entered Stage 3 'Continuous Improvement'. The sensitivity/importance of the identified information assets has been catalogued, allowing for closer scrutiny of each. This allows for the continual identification of Information Assurance improvements.

During the governance review it was identified that further training with IAOs is required during 2016/17 to ensure they fully understand their roles and responsibilities, including ownership of information risk and attendance at FIAB.

Data protection and 'Freedom of Information'

Nottinghamshire Police as a public authority have a legal responsibility to respond to Freedom of Information Act (FOIA) and Data Protection Subject Access Requests (DP SARs) within legislative deadlines. An annual report is presented to the Audit and Scrutiny Panel to provide the Panel with data on legislative compliance with the FOIA and DP SARs. This data is also presented at the FIAB quarterly.

The Force has a number of Information Sharing Agreements (ISAs) in place with partners and other agencies. ISAs identify the statutory or common law basis for sharing personal information and the extent and nature of the personal information to be shared. They also set out common standards for the processing and handling of such information, including quality, retention and security considerations.

All ISAs are formally approved by the SIRO who holds the National Police Chief's Council (NPCC) Portfolio for Information Sharing. In order to ensure all ISAs are fit for purpose they were reviewed during 2015/16.

Records Management requirements are currently identified as an area for review under the Standards and Change programme for the Strategic Alliance. A Strategic Initiative Plan for Records Management has also been established under the umbrella of the Information Management Strategy. Each action is allocated ownership and the progress against actions is reported on quarterly at the FIAB.

Information security and assurance

The Information Security Team ensures that the Force continues to meet the required security standards to allow it to connect to the Public Services Network for Policing (PSNP) in line with Codes of Connection. The team engages with the National Accreditors and maintains a current PSN certificate of accreditation.

The team liaises with the National Policing Information Risk Management Team (NPIRMT), based at the Home Office, on national initiatives and projects. They also attend the local Regional Information Assurance Board (RIAG), chaired by DCC Fish, for regional initiatives and projects and the Police Information Assurance Forum (PIAF), biannually.

Information risk

An Information Risk Management Strategy was developed and published in 2015/16. The Strategy describes how the Force Risk Management Policy will be applied across all business areas, so that the management of risk becomes an integral part of the management of information assets. An Information Risk Register has been developed and risks are reported quarterly to FIAB.

It is acknowledged that the Information Risk Management process requires further development and this has been identified in an earlier action with the development of Corporate Risk Management.

2.4 Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

2.4.1 Decision making

Corporate Development and Finance are jointly responsible for implementing mechanisms to ensure all appropriate considerations are made when making a key decision, for example when writing business cases, scopes, project initiation documents, policies, procedures and strategy.

Decision making is recorded as part of minutes, action plans and decision logs. Key decisions from the FEB are no longer published on the Force's intranet, it is recommended that this requirement is reviewed and addressed in 2016/17. Additionally it is a requirement of the ICO Publication Scheme that the Force publish how key decisions are made on the external website. This should take the form of minutes of key Force meetings, such as the FEB. This is not currently done and has also been identified as an area for improvement for 2016/17.

An internal review of the current Force meeting structure was commissioned following a Chief Officer Team restructure in 2015. The objective of the review is to streamline the current meeting structure to facilitate an efficient and effective decision making framework. Outcomes will also include up to date, concise terms of reference for each meeting, standardised templates for agendas and action and decision recording and clear meeting guidelines. This review is on-going.

Business planning

The Force has made significant developments in the introduction and governance of new activity during 2015/16. The 'Activity Request' process has been developed to implement further control over the introduction of new activity, outside of business as usual. The objective of this process is to ensure prioritisation of available resource in supporting departments, including Finance, HR, Assets and IS, and full oversight of improvement activity taking place in Force. This process has omitted duplication of activity and appropriate allocation of resource for prioritised activity.

There has also been improved governance and oversight of efficiency savings with a more robust process for identification and subsequent monitoring of realisation. Senior Responsible Officers (SROs) are responsible for producing business case for the efficiency targets and how these will be achieved; it will then be validated by both Finance and HR. This process ensures that all costs are accounted for and staff savings are accurately identified and not double counted across departments.

Delivery of the savings programme and the achievement of efficiency targets are monitored and reported to the Transformation Board. To ensure comprehensive management overview of the DtF Programme and associated efficiency savings, a dashboard has been developed which will be presented at the Board on a monthly basis. This includes an update on workstreams, key risks and issues and individual updates from Finance, HR and Procurement. This tool will enable proportionate monitoring and achievement of savings for the forthcoming year.

2.4.2 Joint Audit and Scrutiny Panel

In accordance with the Financial Management Code of Practice for the police service, issued by the Home Office, the PCC and the Chief Constable established a Joint Audit and Scrutiny Panel (the Panel) in 2013. The role of the Panel is to advise the PCC and Chief Constable on the adequacy of the corporate governance and risk management arrangements in place and the associated control environment, advising according to good governance principles and proper practices.

The Panel also assist the PCC and the Chief Constable in fulfilling their responsibility for ensuring value for money and they oversee an annual programme of scrutiny of key areas of policing activity on behalf of the PCC.

The Panel meets four times a year and consists of five independent members. The terms of reference for the Panel, meeting agendas, minutes and associated reports are published on the NOPCC's website in the interests of transparency and accountability.

The role of the Head of Internal Audit

In compliance with CIPFA guidance, the NOPCC and the Force have appointed a Head of Internal Audit. This role is contracted out to Mazars, who are responsible for the organisation's internal audit service, on behalf of the CFO, including drawing up the internal audit strategy and annual plan and giving the internal annual audit opinion.

2.4.3 Risk management

The joint Risk Management Policy of the Force and the Office of the PCC has been in place since mid-2015. A Risk Management Process Guide has been produced alongside this to support managers in understanding how to apply the policy to the decision making process. Since the departure of the registered Risk Practitioner in July 2015, professional support and advice on corporate risk management has been provided to the Force and the NOPCC by the Planning and Policy Team within the Corporate Development department.

Whilst the current process satisfies the Force's risk management responsibilities it is not as effective or proactive as the agreed procedure was. It has been agreed with the DCC that the formal risk reviews process will be reintroduced and that the process for identifying potential new risks would be further developed.

An Information Risk Management Strategy has been approved by the FIAB and is now being implemented by IAOs. Risk management strategies for other business portfolios and programmes are still in development. Risk management maturity within the Force remains relatively low, but is expected to improve as processes becomes embedded and experience in its use increases.

The Planning and Policy Team provides a quarterly report on strategic risk management to the FEB and the Audit and Scrutiny Panel. This includes a summary of current strategic risks and an overview of risk management activity during the reporting period.

2.4.4 Audit and inspection

Internal audit

The Force's risk based Internal Audit Plan (the Plan) for 2015/16 was agreed and presented to the Joint Audit and Scrutiny Panel (the Panel) in June 2015. The Plan was informed by the assurance mapping process which gives a dashboard view of assurance levels against functional areas and Force risks. Where an area is deemed to have limited assurance it will be recommended for inclusion in the Plan.

External audit

In respect of external audit, progress reports are provided to the Panel by KPMG to provide a summary of the work they plan to undertake for the audit year, together with a high level assessment of the risks that have been considered as part of the initial planning process.

KPMG conduct an 'interim audit visit', which takes place in April, and a 'final accounts visit', which takes place in July. Communication is on-going with the Force Finance team throughout the year and feedback is provided to the Panel on any potential risk areas arising during the year.

Outcomes from audit and inspection

An Audit and Inspection Report is presented to the FEB and the Panel on a quarterly basis to enable the Panel to fulfil its scrutiny obligations to oversee and consider Force arrangements to deliver against audit and inspection recommendations.

2.4.5 Managing legislative change

EMCHRS L&D provide a monthly horizon scanning report for the East Midlands Region. 'Skyline' draws on a number of sources including West Yorkshire's 'On the Horizon', the IPCC 'Learning the Lessons Bulletin' and the 'College of Policing Digest'.

Any changes to finance legislation is monitored through professional network subscriptions, such as CIPFA. Potential changes are discussed by the Finance team and action taken as appropriate.

Planning and Policy have identified a requirement for improvement in the proactive identification of risk and opportunity arising from changes to legislation and national crime and justice policy. It is recommended a process is implemented to ensure robust oversight of horizon scanning outcomes and subsequent identification and assessment of risk and opportunity in consultation with the relevant lead officer.

2.5 Principle 5: Developing the capacity and capability of the Force to be effective

2.5.1 Delivering the Future (DtF)

The Capacity and Capability workstreams which were launched in 2015, they are key to the Force meeting its objectives under 'Principle 5' 'developing the capacity and capability of the Force to be effective'. The Capacity workstream will look to ensure that the Force understands the workforce as it is now and how it will be until 2020 and how to match resource to demand. It will explore our current systems and processes, allowing the Force to identify how to make them lean, yet effective, releasing capacity for the Force.

The workstream aims to review the Force's capacity, with a view to ensuring it can meet current and future demand, with the resources it has at its disposal. The Force needs to consistently review how it works and why (Check, Plan, Do), and by

reviewing the processes and systems in place, the work stream will aim to provide recommendations to improve/increase Force capacity, thereby ensuring the Force continues to deliver an efficient and effective service to the public and the communities it serves.

The workstream has initiated a formal review process, based on an annual continuous review cycle, with a right first time approach to dealing with and managing demand, reducing duplication, time delays and handovers, completing tasks in an effective and efficient way, reassessing proportionality, particularly concerning the investigation of crime and reduction in the victim journey.

The main aims of the Capability workstream are to understand what officers and staff can do, what skills they have and what skills will be required in the future. The Force must ensure that officers and staff have the training, equipment and technology to meet the demand faced in protecting its communities. To achieve this, the Force has recently agreed five recommendations:

- Explicitly use the Strategic Threat and Risk Assessment as a specific category within all training request templates;
- Where there is an agreed minimum level of trained officers for statutory requirements e.g. Public Order and Civil Emergencies; the force monitors these levels and reports by exception to the Training Priorities Panel (TPP);
- Where the skills fall outside of the minimum levels prescribed by the National Policing Requirement the force agrees what levels the force requires and ensures these are both maintained and monitored via the TPP;
- The external training request template be amended to show current numbers of officers who are trained and currently hold that skill;
- To allocate an operational client lead for each area of training.

2.5.2 Induction

On commencement of 'employment' all new police officers complete the Police Constable Student Officer Learning and Assessment Portfolio (PC-SOLAP) as part of their Initial Police Learning and Development Programme (IPLDP). An equivalent SOLAP is also completed by PCSOs and Special Constables. The Professionalising Investigations Programme (PIP) provides accredited training for the development of investigative skills.

Following their initial training on the IPLDP programme all student officers complete the Police Constable Student Officer Learning and Assessment Portfolio (PC-SOLAP). A role-focused assessment portfolio is also completed in a similar way by PCSOs and Special Constables. The Professionalising Investigations Programme Level 1 (PIP) forms a part of the PC-SOLAP, and is an accredited assessment of initial investigative skills for priority and volume crime.

An 'Induction Checklist' was developed by HR which all line managers are required to complete within three months of new members of staff commencing their role, however, this was never fully implemented. It is recommended that this action is refreshed to ensure a robust and consistent induction process for new starters.

2.5.3 Training

Learning and development is delivered collaboratively by EMCHRS L&D. Each force within the collaboration holds quarterly Training Priority Panels which set the learning and development priorities. Training priorities are based on consideration of risk and forthcoming legislative changes; they are informed by both emerging national issues and local priorities.

Completion of training is formally monitored with regular reports being produced and completion / non completion records sent to BCU and department leads. Completion is discussed at every TPP meeting as part of the KPI reports.

The National Centre for Applied Learning Technologies (NCALT) Managed Learning Environment (MLE) is used to provide a range of e-learning courses to officers and staff, who are required to complete mandatory packages on topics such as Health and Safety and Information Assurance.

A link to the force e-learning calendar is provided on the EMCHRS L&D Intranet page to give advanced notification of the release of NCALT packages. E-learning is also promoted via Weekly Orders and the Intranet to encourage completion. Reports are received from EMCHRS on staff and officer who have completed NCALT exercises. This is also reported to the Training Priorities Panel.

Individual training needs should be assessed as part of the PDR process however there is limited assurance that PDRs have taken place consistently across the Force during 2015/16. This finding is supported by HMIC's PEEL Legitimacy Inspection. In response to this, a new PDR process went live in April 2016 which will allow officers and staff to store evidence and update objectives online throughout the year. Competency gaps can also be recorded and training and development needs identified as a result. Reports will be generated for divisional and departmental heads to assess the level of compliance within their respective areas.

2.5.4 Career pathways

Career pathways have been introduced for investigating officers during 2015/16. There is also a Senior Detective Panel which seeks to identify requirements and develop officers in specific areas. 2015/16 is also the second year of the Annual Detectives Conference which comprises of four days training for all Force detectives.

2.5.5 Succession planning

A Succession Planning Framework was agreed at the FEB in June 2015. The existing process for senior detective succession planning was extended and enhanced to include all senior police officer posts within the Force at Chief Inspector and above. Due to limited resources, the agreed Framework has not yet been implemented. Succession planning does take place in Force although not in a consistent and structured manner, it is recommended this is reviewed as part of the Strategic Alliance.

2.6 Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability

2.6.1 Community engagement and consultation

Neighbourhood policing engagement

There are a number of engagement mechanisms in place for services delivered in the community. Formal mechanisms include Victim Satisfaction Surveys, Neighbourhood Watch Meetings, Locality Boards, Key Individual Networks and Independent Advisory Groups.

The Force has developed a robust structure of strategic and local Independent Advisory Groups (IAGs) which represent different community groups across the City and County Divisions. They provide an invaluable service to the Force in three core areas; critical incidents, building trust and confidence and advising on strategies, policies and procedures.

The Neighbourhood Alert Electronic Communication System is designed to help members of the public communicate with their local Neighbourhood Policing Team and their local Neighbourhood Watch Coordinator. The system can be used to report information about suspicious behaviour and antisocial behaviour and to allow users to be sent information about crime trends in their area and community safety and crime reduction advice. The aim is to provide up-to-date information direct to registered members to support two-way communication between members of the public, Nottinghamshire Police and Neighbourhood Watch.

There are also a number of partnership mechanisms in place to consult and engage with communities in the City. The City Council Community Cohesion Team work to reduce inequalities, discrimination and levels of deprivation and increase community engagement, promote interaction and increase safety and respect of individuals and communities.

The Respect for Nottingham Survey is commissioned by the CDP. The Survey explores the views of local residents about their local area in relation to ASB, crime and community safety and the strategic partnership between the Police and Council.

HMIC's PEEL Legitimacy inspection identified that officers and staff have a good understanding of the people they serve, however this understanding is not formally recorded, which means it cannot be shared across teams. It was recommended that 'the Force should ensure that its local teams have sufficient information available to them to improve their understanding of local communities²'. This action is being progressed by the City and County divisions to ensure adequate assurance can be provided in this area.

Digital media

At a universal level engagement takes place through social media platforms, including Facebook, Twitter and YouTube. The Force website also provides a forum for local updates from each Neighbourhood Policing Team (NPT) area along with priorities, contact details and details of engagement events. The Neighbourhood Priority Survey was introduced as part of a commitment to creating safer neighbourhoods; it allows individuals in the community to influence how their area is policed by completing a short survey which is available on the Force website.

Thematic online events are held regularly to enable the public to interact with the Chief Officer Team, with other members of the Force and the NOPCC on relevant matters.

Victim Satisfaction Surveys

The Market Research Team currently undertakes a large survey project with victims of crime, in addition to other ad hoc pieces of consultation, such as Staff Surveys, Professional Standards Directorate External Complainant Survey and engagement support.

Market Research currently manage the sampling, feedback and reporting of approximately 5,500 telephone surveys with members of the public, per year, for victim satisfaction purposes. Victim Satisfaction Surveys are structured around a number of core questions, exploring satisfaction around contacting the police, the actions taken by the police, being kept informed, how the victim was treated. The results are reported within monthly the Performance & Insight Report, Confidence and Satisfaction dashboard, Satisfaction by Team report and also at Organisation Performance Review meetings.

² HMIC: PEEL Legitimacy, February 2016, p.29, <http://www.justiceinspectorates.gov.uk/>

2.6.2 Workforce engagement and consultation

The Force consults with the trade unions when proposing changes in pay and conditions which are not set nationally. Consultation with Police Staff Associations takes place at the Joint Negotiating and Staff Consultative Committee, chaired by the Chief Constable.

A Memorandum of Understanding between the Force and the Diversity Staff Support Associations (DSSAs) documents agreed arrangements between the Force and DSSAs in terms of funding, use of ICT and facilities and the implementation of a DSSA Support Manager who will receive regular updates on DSSA agendas.

The People Survey, which was developed by Durham University, took place in June 2015. Outcomes were explored by Senior Managers through further interviewing of officers and staff. The resulting data was assessed qualitatively by the Research function and discussed at a Senior Leadership Conference in order to identify and prioritise actions. Implementation of the actions is being monitored via the People Board, which provides a forum for attendees from across the organisation to discuss ideas and suggestions to improve the working environment.

The Force intranet provides an informal forum for internal feedback including online chats and discussion forums which enable staff to voice issues that matter to them with members of the Chief Officer Team or relevant department such as the MFSS discussion forum.

3.0 Review of effectiveness

Nottinghamshire Police has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework. The review of effectiveness is informed by the work of the Chief Officer Team, the Heads of Divisions and Departments and other senior managers within the Force who have responsibility for the development and maintenance of the systems of internal control. It is also informed by the reports of the Force's internal auditors and external inspectorates, such as HMIC.

During the review, each Chief Officer Team member and Divisional and Departmental Head have provided the Chief Constable with a comprehensive, signed Statement of Assurance which outlines their compliance with the Force's governance framework during 2015/16. An overall Force response has been summarised in this Statement.

Where weaknesses in internal controls have been identified, improvement actions have been established, which will be addressed during the forthcoming financial year. Outcomes will be monitored by the FEB and the Joint Audit and Scrutiny Panel, on a quarterly basis.

4.0 Improvement actions

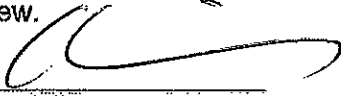
The review process to support the production of the Annual Governance Statement in 2015/16 identified a number of improvement actions, which are summarised in Appendix A of this report. These have been agreed with the respective Divisional and Departmental Heads to address weaknesses identified in the Force's systems of internal control. These issues are significant in that they cover a large proportion of the organisation's activities and/ or are key risk controls and therefore require a corporate solution.

Please see Appendix B to this Statement for an update on the improvement actions identified in the Force's 2014/15 Statement.

Chief Constable and Chief Finance Officer Declaration

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

Signed

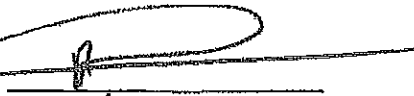


Date

19th May '16

Chris Eyre
Chief Constable

Signed



Date

18/5/16

Paul Dawkins
ACO Finance and Resources
Chief Financial Officer

Appendix A: Identified improvement actions from 2015/16

The following improvement actions were identified for 2015/16, these are summarised according to the relevant governance principle.

Principle 2: Leaders, officers and partners working together to achieve a common purpose with clearly defined functions and roles

Identified improvement action(s):	Lead Dept.
Negotiation should take place between the PCC, Nottinghamshire Police and MFSS to establish how the current authorisation limits, as agreed within the scheme of delegation, can be embedded into the current purchasing process. All approval of purchases should then be in line with the agreed Scheme of Delegation and Financial Regulations. (Mazars, Core Financials)	Finance
The Force should review its Expenses Policy to ensure it remains fit for purpose and includes clear guidance on all categories of expenses and those which are appropriate to be claimed through the self-serve systems. The review should also ensure that authorised limited for categories of expenditure remain valid. (Mazars, Core Financials)	Human Resources
The NOPCC 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. (Mazars, Joint Code of Corporate Governance)	NOPCC
Contracts should be in place for all purchases over £25000 and these should be signed by all parties prior to the commencement of the contract. (Mazars, Procurement)	EMSCU
A formal approval process should be established within the Force before new suppliers are entered into the Oracle system. (Mazars, Procurement)	Finance
Management should look to implement an exception reporting system in conjunction with the MFSS to monitor payments which are outside of the approved process. (Mazars, Procurement)	Finance

Principle 3: Promoting values for the Force and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Identified improvement action(s):	Lead Dept.
Conduct further training with IAOs during 2016/17 to ensure they fully understand their roles and responsibilities, including ownership of information risk and attendance at FIAB.	Information Management
Implement a strategy for the further development of MoPI in Force, which provides a detailed improvement delivery plan.	Information Management

Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

Identified improvement action(s):	Lead Dept.
Introduce a mechanism for publishing key decisions made at the FEB, both internally and externally, in line with the ICO Publication Scheme.	Corporate Comms
Ensure consistency in publishing key decisions from the FEB on the Intranet to promote internal transparency and engagement.	Corporate Comms
Introduce a quarterly update to the FEB on improvement actions identified in the AGS to ensure robust oversight of implementation.	Corporate Development
Evaluate, review and further develop the risk management and information risk management process to enable effective decision making within the Force and the NOPCC.	Corporate Development
Re-establish a formal quarterly risk review and reporting process and further develop the process for identifying potential new risks.	Corporate Development
Implement a process to ensure robust oversight of horizon scanning outcomes and subsequent identification and assessment of risk and opportunity in consultation with the relevant lead officer.	Corporate Development

Principle 5: Developing the capacity and capability of the Force to be effective

Identified improvement action(s):	Lead Dept.
It is recommended that proper recording and reporting mechanisms are developed for skills and training of officers and staff through MFSS. This is critical to ongoing delivery of appropriate training.	MFSS
Review the requirement for formal succession planning framework as part of the Strategic Alliance.	Human Resources

Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability

Identified improvement action(s):	Lead Dept.
The Force should ensure that its local teams have sufficient information available to them to improve their understanding of local communities. (HMIC: Legitimacy)	City and County Division

Appendix B: Update of Improvement actions from 2014/15

The following is a summary of recommendations for improvement identified in the 2014/15 AGS alongside the Force's response.

Identified improvement action(s)	Force response
<p>The Force should implement its plans for a new and affordable operating model in order to reduce long term risks to policing services.</p> <p>(HMIC: Valuing the Police Inspection, October 2014)</p>	<p>This recommendation continues to be addressed under the Designing the Future Programme (DtF). New Response and Public Protection operating models were implemented during 2015. A new Thematic Policing Model is set to be introduced during mid-2016.</p>
<p>Address concerns about inconsistencies with investigation offending, the importance of supervision and the need for professional training.</p> <p>(HMIC: Crime Inspection, October 2014)</p>	<p>The Force is dedicated to professionalising investigations. In order to address inconsistencies and to improve supervision the following has been implemented. Every month there is a Professionalising Investigations meeting that has several work streams including Disclosure, Investigative Interviewing, Proportionality and Investigations Standards. These areas are dip tested to ensure consistency and high standards are maintained.</p> <p>Supervisors' briefings have been implemented for investigations, which include hints and tips around the Golden Hour and the 5 Building Blocks. Sergeants have also been on a back to basics training course that looks to refresh their knowledge on disclosure and file quality. The Force has also implemented Career Pathways which aims to rotate the skills of the DC's and DS' to ensure an omni-competent workforce. In March 2016 there were four Crime Conferences for DC's, PIO's and DS' which delivered CPD learning to about 400 officers.</p>
<p>Address the potential for improvements in management oversight of child protection work, including the benefits of service reviews and the use of performance data to improve services and develop work with partner agencies.</p> <p>(HMIC: National Child Protection Inspections, September 2014)</p>	<p>Work continues in this area to address a number of interdependent recommendations from HMIC with regard to child protection. Implementation of actions will be overseen by the FEB and the Joint Audit and Scrutiny Panel.</p>
<p>The Force should review its capacity and capability to carry out proportionate investigations into public complaints to</p>	<p>Action complete. Resources within PSD are regularly reviewed to manage workload; recent data from the</p>

<p>minimise delays.</p> <p>(HMIC: Police Integrity and Corruption, November 2014)</p>	<p>Independent Police Complaints Commission (IPCC) shows that the Force is now in line with national averages with regard to investigations into public complaints.</p>
<p>Recommend development of an information management strategy, which should clarify responsibilities and procedures across areas including records management, information security and data quality.</p> <p>(Baker Tilly: Information Management, July 2014)</p>	<p>Action complete. An Information Management Strategy was developed in 2015/16 to set out a roadmap for further developing IM capability and effectively embedding an information assurance culture across the Force. Implementation is on-going.</p>
<p>Recommend tighter procedures and documenting of actions taken in compliance with the Code of Practice for Victims, and also a more formal approach to the delivery and monitoring of training with the Code.</p> <p>(Baker Tilly: Code of Practice for Victims of Crime, July 2015)</p>	<p>Action partially complete. A briefing has been published on the Force Intranet to give officers and staff 'Important Victim of Code of Practice Pointers' to ensure compliance with the Code. Sergeants on Division have also been asked to brief their teams with regard to changes and requirements. These will also be communicated through weekly orders.</p> <p>Officers are required to document details of the needs assessment at the point of entering a crime occurrence onto Niche, unless there are extenuating circumstances.</p> <p>Training continues to be monitored through EMCHRS.</p>
<p>Develop and deliver the Force's Special Constabulary and Volunteers Strategy.</p> <p>(Baker Tilly: Volunteering, April 2015)</p>	<p>Action complete. The Citizens in Policing Department Strategic Plan and associated delivery plan is now being implemented.</p>

ANNUAL GOVERNANCE STATEMENT

Introduction

This statement is our Annual Governance Statement for 2015-16 and builds upon those of previous years. It summarises the governance mechanisms and records the significant governance issues of the Group that need to be addressed over the coming year. The full code of Corporate Governance and how it relates and interlinks with the Force can be found on the Commissioner's website and forms part of the Corporate Governance and Working Together Agreement

(<http://www.nottinghamshire.pcc.police.uk/document-library/publicinformation-policies-and-procedures>).

The Nottinghamshire Police and Crime Commissioner is responsible for the totality of policing and arrangements in place for reducing crime and protecting the vulnerable people that come into contact with police services as well as victims and witnesses.

The Group comprises of two legal entities that of the Chief Constable and that of the Office of the Police and Crime Commissioner (OPCC). Therefore, the Commissioner is responsible for ensuring that business is conducted in accordance within the law and proper standards and that public money is safeguarded, properly accounted for in support of this a governance framework has been in place at the OPCC for the year ended 31 March 2016 and up to the date of approval of the Statement of Accounts.

This statement enables the Commissioner and Group to meet its requirements under the Accounts and Audit Regulations 2015, which requires that the Commissioner prepares an Annual Governance Statement.

The Governance Framework

Corporate governance refers to the process by which organisations are directed, controlled and held to account. Major elements of this framework are to monitor the achievement of strategic objectives, manage the finances and provide a framework for public engagement. The Governance Framework the Commissioner operates ensures full compliance with these requirements.

The Commissioner must and does consider high-level strategic plans. Currently under consideration is a deeper collaboration with Leicestershire and Northamptonshire specifically in relation to a shared Control Room and further integration of all functions that "Enable Services". This is currently in the early stages of development and builds upon regional collaboration across the 5 East Midlands Forces.

The level of Council Tax for each financial year is set through a detailed process of budget setting and review. Although for the next four years the Home Office has

assumed that we will increase our precept by 2% and has reduced the amount of Police and Crime Grant by an equivalent amount.

The Force produce draft revenue and capital budgets which consider Force requirements and regional requirements. Draft budgets are made available for consultation with Commissioner in the autumn and further refined once the provisional settlement is announced in December. This process is closely linked to the Annual Strategic Assessment undertaken by the Force, partner agencies and at a national level. Thereby ensuring resources are targeted at the greatest risk from threat and harm.

The commissioner's Chief Finance Officer (CFO) also produces a three year Treasury Management Strategy; within which it manages the Commissioner's cash flows, lending and borrowing activities and the mitigation of risk associated with these activities. The Commissioner considers and approves this strategy by the beginning of February each year.

Members of the public are welcome to attend the public meetings of the Commissioner and are welcome to ask questions about the business and its policies. Such questions would be answered and published on the website. In addition to this public inspection of the accounts being audited is welcomed.

In support of the framework the system of internal control is very important and is designed to manage risk to a reasonable level. It cannot eliminate all risks of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness.

The Group Governance

The Group is set up throughout the Corporate Governance and Working Together Agreement. This document set out a clearly the roles and responsibilities within the OPCC and Force. The overarching document is supported through the Scheme of Consent, Financial Regulations and Standing Orders.

The Commissioner holds the Chief Constable to account through both informal (non-public) and formal (public) meetings. This ensures that the objectives set and agreed within the Police and Crime Plan are achieved.

In addition to this the Police and Crime Panel holds the Commissioner to account for the delivery of the Police and Crime Plan, setting of precept and appointment of the Chief Constable. This is a public meeting administered independently by the County Council.

Annual Governance Review

For the Group this is undertaken in two stages. Firstly, the Force Annual Governance Review the detail to which is provided with in the Chief Constables Annual Governance Statement. The second part is that undertaken within the OPCC, where the key statutory officers (Chief Executive and Chief Finance Officer) provide their statements and is supported by a framework of supporting evidence.

The following diagram outlines the Commissioners Framework around three streams of core activity – corporate governance, strategic management and delivering services.

Corporate Governance	Strategic Management	Service Delivery: Economically, efficiently and effectively
Corporate Governance and Working Together Agreement	Roles and Responsibilities of key statutory officers	Management of risk
Joint Audit and Scrutiny Panel	Delivery of the Police and Crime Plan	Effectiveness of internal controls
Internal and External Audit	Business and Financial Plans	Public engagement and accountability
Independent external resources (eg HMIC)	Office and staff codes of conduct	Budget and financial management arrangements
Formal public meetings <ul style="list-style-type: none"> • Strategic resources and performance • Chairs of CSPs meeting • Police and Crime Panel 	Performance Management Framework	Standards of conduct and behaviour
Police and Crime Plan	Timely production of Statement of Accounts	Compliance with laws and regulations, internal policies and procedures
Medium Term Financial Plan	External and Internal Audit Recommendations	Budgetary Control
Complaints system	External Inspections findings and recommendations	Financial Regulations
Professional Standards	Scheme of delegations	Compliance with Procurement Code
Policies and procedures	Strategic Risk Register	Stakeholder engagement
Whistle blowing and counter fraud arrangements		Evaluation of benefits gained from business cases and projects
Risk Management Framework		Partnership governance
Performance Management system		
Codes of Conduct		

Each are of the areas outlined in the above table are considered when undertaking the Annual Governance Review.

Audit and Scrutiny Panel

The Audit and Scrutiny Panel receives reports throughout the year which deal with issues of good governance as well as those in need of improvement. During 2015-16 the Panel met in June 2015, September 2015, December 2015 and February 2016.

The Panel considers standing agenda items as well as specific items at particular times of the year, in part driven by the annual accounts preparation and finalisation and any matters that require further reporting.

During the year the Panel reviewed:

- Internal audit and counter fraud activity, reports, implementation of recommendations.
- Internal audit annual plan
- External audit annual letter
- External audit annual plan
- External audit governance report (ISA260)
- Annual statement of accounts
- Strategic risk register
- Corporate complaints
- Professional Standards reports
- Regional Collaboration arrangements
- Appointment of new Internal Auditors

This Panel also undertake additional scrutiny work when required.

Risk Management Strategy

It is recognised that risk management is an integral part of good governance. The Joint Strategic Risk Management Strategy sets out the intended approach to risk management. All officers and staff are responsible for ensuring that risk implications are considered in the decisions they take.

The successful delivery of the Strategic Risk Management Strategy depends on the organisation's ability to manage risk, rather than eliminate it all together.

Risk Review Process

The main is to ensure that:

- Risk management becomes a natural component of the organisations management and change processes
- Risks are identified, understood and managed to an acceptable level
- Opportunities are seized

The Strategic Risk Register is regularly reviewed and updated. It is reported to the Audit and Scrutiny Panel during the year and together with the operational risk register provides detail for compilation of the Annual Internal Audit Plan.

Managing the Risk of Fraud

The Financial resources available to the Commissioner need to be maximised, in order to help achieve the Police and Crime Plan. One aspect to assisting with maximising resources is to reduce the opportunity for fraud and misappropriation. The Commissioner will not tolerate fraud or corruption by any officer, employee, supplier, contractor, volunteer or services user and will take all necessary steps to investigate any allegation of fraud or corruption and pursue sanctions available in each case, including the removal from officer, dismissal and/or prosecution.

The Anti-fraud and Corruption Strategy summarises the Commissioners position and builds on the content of a number of corporate policy statements, namely:

- Officers code of conduct
- Staff code of conduct
- Whistleblowing
- Financial Regulations and Standing Orders
- Procurement code

The East Midlands Strategic Commercial Unit are under Nottinghamshire as the lead force and as such report twice annually on anti-fraud and corruption procedures in place and any instances of fraud to the Audit and Scrutiny Panel.

All Officers and staff are aware of anti-bribery and corruption policies and their responsibility to respect any offer of a gift, hospitality, benefit of a service, even if this offer is not accepted.

Partnership Governance

Governance arrangements in respect of partnerships have been in place for some time. However, as the volume and complexity of partnerships have increased, so have the governance arrangements. This is not helped by the Government creating funding streams for Forces to bid for additional funding (e.g. Innovation/Transformation funding).

A piece of work is currently being undertaken by RSM UK to provide a basis for obtaining assurance from all of the different regional collaboration arrangements currently in place. Interim updates have been provided verbally to the Audit and Scrutiny Panel, but the final stages of this review are currently being put in place.

On a positive note there are section 22 agreements (collaboration contracts) in place for collaborations whether these are 2, 3, 4 or 5 force collaborations. The Regional Commissioners also make all decisions relating to collaboration.

Managing Finances

The Commissioner is able to confirm that the organisation complies with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer. The Section 151 Officer is a qualified and suitably experienced accountant who is responsible for the proper administration of the Commissioners financial affairs, and for ensuring the lawfulness and financial prudence of financial transactions.

The Commissioners Chief Finance Officer is a senior officer within the OPCC, with responsibility for leading and advising on the strategic financial decisions, impacting on the delivery of objectives and the Police and Crime Plan; ensuring continuing effective financial controls, risk management and leadership.

Legal cases

The A19 case continues with a further appeal being heard in January 2017. This has been identified as a contingent liability.

GAD v Milne and the Bear Scotland cases – the implications of these are being managed within existing budgets. The majority of payments have been made with 2015-16.

A further case relating to the Police Pensions Regulations 2015 – Transitional Arrangements may have implications if it is deemed to be unlawful discrimination. This has been identified as a potential Contingent Liability.

Internal Audit and External Audit Assurance

The Commissioner and Group receive a substantial amount of assurance from the work that is undertaken by its internal and external auditors (Mazars and KPMG).

The role of internal audit is to provide independent assurance that the Commissioners risk management, governance and internal control procedures are operating effectively.

The role of external audit is to review the financial statements, obtain evidence that they are materially correct and provide an opinion as to whether these represent a true and fair view of the financial position of the Group. In addition, external audit also provide a value for money opinion assessing whether proper arrangements are in place for securing financial resilience and challenging how the Group secures economy, efficiency and effectiveness.

Internal Audit

Internal Audit operates in accordance with Public Sector Internal Audit Standards, which have been developed specifically for the Public Sector by CIPFA. Compliance with the standards is assessed on a cyclical basis.

One of the assurance statements that the Group receives is the annual opinion of the Head of Internal Audit (Senior Manager – Mazars) in respect of the financial control framework. The annual report in respect of work completed in 2015-16 is that the internal control systems in the areas audited were adequate, with the exception of the transition to new transactions finance systems where improvements were recommended and were classified as high risk.

External Audit

The External Auditor, KPMG issued an unqualified value for money conclusion for 2015-16. This means that they are satisfied that the Group had proper arrangements for securing financial resilience and for challenging how it secures economy, efficiency effectiveness.

Audit Opinion

KPMG issued an unqualified opinion on the 2014-15 financial statements. This means that they believe the 2014-15 financial statements give a true and fair view of the financial position of the Group and of its income and expenditure for that year.

KPMGs audit of the financial statements found 3 significant adjustments, all of which were adjusted. The audit raised recommendations on improving working papers. This is been addressed.

Annual Governance Statement

KPMG reviewed the Annual Governance Statement 2014-15 and concluded that it was sound, consistent with the principles the CIPFA/SOLACE Framework and correlated with their understanding of the governance arrangements of the Group.

Whole of Government Accounts

KPMG reviewed the data prepared to support the whole of Government Accounts by HM Treasury. The auditors reported that the data was consistent with the audited final accounts.

Significant Governance Issues

Matters reported in the 2014-15 Annual Governance Statement have where appropriate been addressed during 2015-16.

Levels of Reserves

During the year the need to use more reserves than planned came to light and by the end of the year £7.7m has had to be used to balance the Force budget. This has had a significant impact on the level of useable reserves that we now hold.

The consequence of which has been put in writing to the force – any failure to achieve the required £12m of efficiencies this year and any budget overspend identified during the year, will have to be met from further in year efficiencies as there will be no use of reserves to balance the budget. This is being closely monitored throughout the year.

The Medium Term Financial Plan does now include plans to reimburse the reserves in the 2018-19 and 2019-20 at £3m per annum. This will ensure we remain above our minimum level of reserves required, but lower than our desired level. Of course this is dependent on the economic position at those points, but is something that needs to be achieved.

Collaboration

Nottinghamshire continues to collaborate further in order to derive out the significant savings still required to fill funding gap over the Medium Term Finance Plan.

Deeper collaboration with Leicestershire and Northamptonshire is in early stages of development. But it is clear that the Governance arrangements in relation to this collaboration need to be clearly defined. The inter-relationships with other collaborations will need to be considered and carefully managed.

Budget Management

During the year it became apparent that achievement of the planned efficiencies would not be possible and this was further impacted by budget overspends and errors in the initial budget.

The consequence of this was a £7.7m overspend for which there was no mitigation during the year and which had to be met from reserves, severely depleting them.

The Force is therefore now required to provide detailed reporting in 2016-17 of potential overspends and non-achievement of efficiency plans. They are also required to provide details on how these shortfalls will be met from the existing budget, during the financial year.

A new temporary Head of Finance has been appointed to assist the Strategic Alliance Director of Finance in ensuring a balanced budget is achieved.

Internal Audit Findings

During 2015-16 Internal Audit issued limited assurance particularly in relation to the Core Financial Systems audit. The issues related to the new system that came into place in April 2015. This system did not have all of our previous systems internal controls and therefore weaknesses were identified.

Other limited assurances were given in relation to the audits on Payments and Processes, Victims Code of Practice, Savings Programme and Procurement.

Whilst these audits are of concern and will be closely monitored through the Audit & Inspection reporting and follow-up audits, it is the audits specifically relating to core financial systems, payments, saving programmes and procurement that are of significant concern as these could ultimately impact on the financial statements and viability of the Group.

Economic Outlook

The economic outlook continues to be a significant governance issue. However, Nottinghamshire Police is in a better financial position for the medium term than hoped for due to the better than expected settlement announcement for 2016-17.

Savings are still required to meet the budget gaps, but plans are well underway to ensure that this can be achieved.

The impact of leaving the European Union on the country's economic forecast has yet to be seen, but early indications are that this will be negative, despite the arrangements in place with the Bank of England. Public finances are likely to tighten again, together with potential tax increases and we need to be preparing for this possibility.



ANNUAL ASSURANCE STATEMENT

2015-16

SIGNED:

**Mr Paddy Tipping
Police & Crime Commissioner
15 September 2016**

**Mr Kevin Dennis
Chief Executive - OPCC
15 September 2016**

**Mrs Charlotte Radford
Chief Finance Officer – OPCC
15 September 2016**

For Decision	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	15th September 2016
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Pamela Taylor
Agenda Item:	07

SUMMARY STATEMENT OF ACCOUNTS 2015-16

1. Purpose of the Report

- 1.1 To provide members with a copy of the summary statement of accounts for 2015-16.

2. Recommendations

- 2.1 Members are requested to:
- Having examined the summary statement provided to recommend the document to the Police & Crime Commissioner for publication on the website.

3. Reasons for Recommendations

- 3.1 This complies with the Accounts and Audit regulations and good financial governance.

4. Summary of Key Points

- 4.1 The statements themselves are becoming more technical each year. The biggest anomaly in the accounts is the inclusion of the pension funds. Therefore this summary of accounts simplifies the key elements of the accounts in an easily understandable format.

5. Financial Implications and Budget Provision

- 5.1 None as a direct result of this report.

6. Human Resources Implications

- 6.1 None as a direct result of this report.

7. Equality Implications

- 7.1 None as a direct result of this report.

8. Risk Management

8.1 None as a direct result of this report.

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

9.1 This complies with the Financial Regulations which underpin the achievement of all Police & Crime Plan priorities.

10. Changes in Legislation or other Legal Considerations

10.1 This complies with the current Accounts and Audit Regulations.

11. Details of outcome of consultation

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

12. Appendices

A – The Summary Statement of Accounts 2015-16 for the Group – **to follow**

For Information	
Public/Non Public*	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	15th September 2016
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
E-mail:	
Other Contacts:	Pamela Taylor
Agenda Item:	08

RESERVES AND PROVISIONS OUT-TURN REPORT 2015-16

1. Purpose of the Report

- 1.1 To inform members on the level of reserves and provisions balances held at the end of the financial year 2015-16.

2. Recommendations

- 2.1 Members are requested to note the attached report.

3. Reasons for Recommendations

- 3.1 This complies with good financial management and assurance.

4. Summary of Key Points

- 4.1 The Police & Crime Commissioner is required to maintain a prudent level of reserves and provisions for items/risks that are known to be accruing and for unforeseen items that might be incurred.
- 4.2 Provisions are held for risks that we know are accruing and where we can reasonably calculate the financial impact.
- 4.3 Reserves are held for potential risks and for items which may become provisions, but where the full cost cannot accurately be calculated at this point in time. The most significant risk we have is in relation to the A19 judgement.
- 4.4 In 2013-14 the DCLG undertook a review of local government reserve levels including Policing. At that point we were deemed to have low levels or reserves when compared with many other local government bodies and in comparison with other Police & Crime Commissioners.
- 4.5 The position for 2015-16 has deteriorated. Like other organisations we have had to utilise the use of reserves to deliver a balanced budget and to meet the shortfall on savings not achieved during the year. For 2015-16 this has been significant and has been identified as a risk within the Reserves Strategy and Strategic Risk Register.

- 4.6 It should be noted that not all of our reserves and balances are cash backed. A significant amount of them are recurrently utilised as part of our planned under borrowed position.

5. Financial Implications and Budget Provision

- 5.1 This report complies with reporting requirements, good financial management and financial regulations.
- 5.2 The risk identified in relation to the level of reserves will continue to be monitored and during this medium term financial plan period there is an intention that £6m will be re-imbursed to the reserves we hold.

6. Human Resources Implications

- 6.1 None as a direct result of this report.

7. Equality Implications

- 7.1 None as a direct result of this report.

8. Risk Management

- 8.1 The holding and use of reserves is done to manage significant risks as they arise. See also 5.2 above.

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

- 9.1 The use of reserves is linked to the achievement of the Police & Crime Plan priorities.

10. Changes in Legislation or other Legal Considerations

- 10.1 None as a direct result of this report. This report complies with financial accounting requirements.

11. Details of outcome of consultation

- 11.1 Not applicable.

12. Appendices

- 12.1 A – Reserves and Provisions Out-turn Report 2015-16

Appendix A

Reserves & Provisions Out-turn

	Balance 31.3.15	Movement in the Year	Balance 31.3.16	Balance 31.3.16 JO's	Total
	£m	£m	£m	£m	£m
General Reserve	7.000	0.000	7.000	0.075	7.075
Ear Marked Reserves					
Property act fund	0.123	0.007	0.130		0.130
Drug fund	0.071	0.003	0.074		0.074
PFI	0.294	0.038	0.332		0.332
Grants	2.286	0.227	2.513		2.513
MTFP	10.324	-9.258	1.066		1.066
Tax Base	0.230	-0.007	0.223		0.223
Animal Welfare	0.019	0.000	0.019		0.019
PCC	0.487	0.108	0.595		0.595
PCC - Night-time Levy	0.000	0.161	0.161		0.161
Grants & Commissioning	1.024	0.875	1.899		1.899
VAT	0.036	-0.036	0.000		0.000
JO Ear marked				1.211	1.211
	14.894	-7.882	7.012	1.211	8.223
Capital Reserves					
Useable Capital Receipts	1.369	-0.821	0.548		0.548
Capital Grant	0.109	0.221	0.330		0.330
	1.478	-0.600	0.878	0.000	0.878
Provisions					
Liability Insurance	2.119	-0.240	1.879		1.879
Motor Insurance	0.201	0.183	0.384		0.384
Dilapidations	0.106	0.174	0.280		0.280
Industrial Tribunals	0.037	0.000	0.037		0.037
Medical Retirement contribution	0.000	0.454	0.454		0.454
Redundancy	0.000	0.558	0.558		0.558
	2.463	1.129	3.592	0.000	3.592

For Information	
Public/Non Public*	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	15th September 2016
Report of:	CC Fish
Report Author:	T/PS Kylie Westlake
E-mail:	Kylie.westlake@nottinghamshire.pnn.police.uk
Other Contacts:	
Agenda Item:	09

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

Regional Collaboration Update

1. Purpose of the Report

- 1.1 The purpose of this report is to provide the Audit and Scrutiny panel members with an update on the progress made in relation to regional collaboration.

2. Recommendations

- 2.1 It is recommended that members note the content of this report and the attached appendix (appendix A).

3. Reasons for Recommendations

- 3.1 To ensure that members are aware of the latest developments and future arrangements in relation to collaboration in the East Midlands.

4. Summary of Key Points

- 4.1 The attached appendix (appendix A) provides the latest position in relation to the collaborative projects currently being undertaken in the East Midlands region.
- 4.2 It should be noted that Nottinghamshire Police has collaborated with other local service providers, such as Community Protection in the City, as well as co-location options with District and Borough Councils
- 4.3 Nottinghamshire Police is dedicated to providing a first class service to the public of Nottingham and Nottinghamshire, as well as to communities across the East Midlands region, through effective collaboration.
- 4.4 The Force, along with every other Police Force nationally, is facing continual financial cuts to funding this year and we anticipate that these cuts will continue. This has driven the work with our Delivering the Future Programme and work within the Tri-Force Collaboration.
- 4.5 It is, therefore, essential that we find the best way to deliver the best service to members of the public in Nottinghamshire and the regional areas in the East Midlands.

5. Financial Implications and Budget Provision

- 5.1 Continued, successful, collaboration in the East Midlands between Police Forces has many benefits, not least financial benefits for Nottinghamshire Police.
- 5.2 EMSOU has its own budget provisions for the Departments that come within this arena.

6. Human Resources Implications

- 6.1 There have been a number of Officers from Nottinghamshire Police who have been successful in applying for roles in regional teams, such as Counter Terrorism, Serious and Organised Crime, and Homicide.
- 6.2 By sharing resources across East Midlands Forces we can ensure best value for money through a consistency of approach and efficiency in our response from specialist teams to members of the public in each of the counties who are part of the collaborations.

7. Equality Implications

- 7.1 There are no equality implications arising from this report.

8. Risk Management

- 8.1 There are no risks highlighted in this report.

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

- 9.1 The work of the East Midlands Collaboration team is clearly linked to the seven priorities of the Police and Crime Plan. Collaboration is not only pragmatic, but will help achieve results that enhance the way the police service in the region does business.

10. Changes in Legislation or other Legal Considerations

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

11. Details of outcome of consultation

- 11.1 There is no requirement for consultation as a result of this paper, which is for update only.

12. Appendices

- 12.1 Appendix A – Regional Collaboration Update, August 2016



August 2016

East Midlands Regional Collaboration Update



COLLABORATION

Nottinghamshire Police have been actively involved in leading collaborative services and have been actively involved in the Tri-Force Collaboration, previously known as the Strategic

Nottinghamshire's pioneering Tri-Force Collaboration with the Leicestershire and Northamptonshire forces has secured more than £5m in Home office funding over the next two years.

£2,224,000 of that funding in 2016/17 for Nottinghamshire collaborative work with Northamptonshire and Leicestershire, for a project to eliminate duplication between forces.

The money will fund the provision of a single Wide Area Network, which will enable staff across the three forces county borders to share information, it will also fund other projects such as the three force telephony system linking the three individual control rooms to offer a single consistent service.

Other areas of collaboration are taking place at local levels through work with Community Protection and the Aurora II programme, which has involved co-location sites with the City Council. This has been mirrored in other areas of the force with Rushcliffe Borough Council, Broxtowe Borough Council and progressing in the Mansfield area

EAST MIDLANDS SPECIALIST OPERATIONS SERVICE

The integrated East Midlands Operational Support Service (EMOpSS) went 'live' on the 5th May 2015.

The structure for EMOpSS consists of 7 core collaborative operational teams:

- Roads and Armed Policing (RAPT)
- Tactical Armed Policing (TAPT)
- Tactical Roads Policing (TRPT)
- Tactical Support Teams (TST)
- Serious Collision Investigation (SCIU)
- Specialist Dogs
- General Purpose Dogs

The Business Plan is a development on last years to providing continuity and evolving into the second year focus on delivering performance, embedding processes and procedures, cultural development and cohesion/integration.

The Strategic Objectives have been set which include delivering the necessary uplift in specialist capabilities; cultural integration and continuous improvement programme as well as identifying and supporting opportunities for potential joint work between the police, fire and ambulance services.

Across the region there has been increased resilience and capacity; better teamwork, interoperability and response; greater flexibility and a more consistent command.

The EMOpSS Performance Board monitor performance, identify efficiencies and manage risk; regularly reporting to Chief Officers across the Region.

EAST MIDLANDS CRIMINAL JUSTICE SERVICE

The East Midlands Criminal Justice Service is currently working to an agreed business plan based around the three overall objectives of embedding a regionally standardised and effective EMCJS, achieving national and local CJ Board objectives and delivering efficiencies. A further objective is around maximising the benefits from digital technology.

These objectives are aimed at making criminal justice a fully regional service that is as efficient and effective as possible, gives best value for money for the general public and is also able to quickly respond to national initiatives and directives. Main pieces of work that are on-going at the moment include; NICHE enabled prosecutions models, remodelling of Custody and performance monitoring. EMCJS continues to chair the regional Prosecution Team Performance Meeting and the EMCJB Core Performance Group.

A new objective for the year's Business Plan is to create a leadership and development programme for EMCJS; a draft plan has been developed with HR business partner and will be shared with Forces prior to publication.

The RTC Policy is being reviewed, in February 2016 Leicestershire Police commenced a pilot of a revised RTC investigation policy. An early (two month) evaluation of the pilot showed positive results. A further evaluation is underway and will inform future recommendations around a consistent regional approach.

A digital meeting was hosted in May. A representative from Digital First provided an input from the national perspective. Digital First are undertaking a national "Landscape Review" of force capacity and capability around digital working within the Criminal Justice system. It is anticipated that this review when complete will provide some focus for areas to develop.

Work is continuing around Transforming Summary Justice and Better Case Management, aimed at improving the processes around getting cases through court (both Magistrates and Crown) and dealt with in a timely manner.

REGIONAL ICT

The Regional IT Transformation Programme is a portfolio of technology based, collaborative initiatives that are designed to support and improve the efficiency and flexibility of operational policing across the East Midlands Region. The projects include a number of Forces across the Region, working together to consolidate systems, centralise functions, share the costs involved and realise the joint benefits through economy of scale, increased flexibility offered by improved mobility and accessibility.

Specialist technical resources from each of the five forces have been assigned to assist the design of the EMSOU – FS Digital Forensics system.

Work is continuing to develop the Tri-Force Enabling Services for IT and having been awarded funding for this work stream we have Tri-Force IT resources developing the detail of work to be undertaken, this work will include such objectives as single Core Telephony System, Wide Area Network that enables “Work Anywhere” and Video Conferencing transformation across the Tri-Force area.

We are developing a Tri-Force Enterprise Architecture and road map with a planning horizon to 2020. The purpose of this architecture is to plan our technology goals to enable modern policing, reduces decades of unnecessary complexity, standardises on proven technology that integrates and inter-operates seamlessly from the back office to the Police front line.

Whilst we are heavily focused on Tri-Force technology direction we are positively engaging Derbyshire and Lincolnshire IT to see if Tri-Force initiatives can become regional initiatives.

We held our first meeting with Corporate Communications and Media Services to identify common business requirements for a new Tri-Force Intranet. From the perspective of the high level requirements it appears we have a common vision of what would be required from a 21st century Intranet.

The above work is continuing along with the following current portfolio to fully implement the NICHE project which is an intelligence, custody, crime and command and control system, which took information, held locally by each Force and making it accessible to each other. The project is funded by the Transformation fund of £6 million over a three year period.

EMSOU

The East Midlands Special Operations Unit (EMSOU) is a regional tasking structure which has, for more than a decade now, made effective use of expertise and resources from within the East Midlands police forces to investigate many of the most serious crimes which affect our region.

EMSOU is not separate from the five forces, it is an amalgamation of certain key resources provided by the forces to be deployed throughout the region as and when there is an investigative need.

There are five main branches of EMSOU's work:

Serious and Organised Crime (EMSOU-SOC): Made up of a number of specialist teams; Regional Intelligence Unit, the Regional Asset Recovery Team, Fraud and Financial Investigation, and Cyber Crime Unit

Major Crime (EMSOU-MC); Investigates homicides and kidnap with demands and extortion, and other serious cases, as well as managing issues of threat, risk, and harm across the 5 forces.

Special Branch (EMSOU-SB)

Forensic Services (EMSOU-FS)

Regional Review Unit (RRU)

EMCHRS L&D

Since our inception in February 2013 East Midland Collaboration Human Resources Services Learning and Development (EMCHRS L&D) remains the largest Police Learning and Development Collaboration.

EMCHRS L&D can be proud of its achievements to date, costs have reduced year on year whilst delivering contemporary and modern learning and development.

Cumulative savings achieved since establishment of Regional L&D Collaboration

EMCHRS	Costs Prior to Collaboration £	2012/13 Budget £	2013/14 Budget £	2014/15 Budget £	2015/16 Budget £	2016/17 Budget £
Annual Budget	3,204,591	3,037,144	2,591,345	2,591,345	2,413,213	2,398,301
Cumulative Saving		167,447	780,693	1,393,939	2,185,317	2,991,607

For the second consecutive year EMCHRS L&D has been shortlisted by the Chartered Institute of Personnel and Development National Award for the Public Sector L&D Team of the year. This year the nomination recognised EMCHRS L&D's role in enabling the launch of Niche (an IT platform implemented across the 5 East Midlands Police Services) where over 30,000 training days have been delivered over an 18 month period. Alongside classroom training officers and staff were supported by on-line learning developed by EMCHRS L&D.

Priorities for 2016/17 will be the growth of business development opportunities, the continued digitisation of learning and development and the implementation of national Learning and Development Programmes where: Public Protection, Mental Health and Stop and Search Training are key priorities.

EMCHRS L&D are working closely with the College of Policing on the development of a Higher Level Apprenticeship for Police Officers where it is anticipated that this will launch in the autumn of 2017.

EAST MIDLANDS POLICE LEGAL SERVICES

East Midlands Police Legal Services provide legal services for all 5 East Midlands Police forces and the Office of the Police and Crime Commissioner.

The service support the Police as work continues in relation to on-going public inquiries.

EMSCU (East Midlands Strategic Commercial Unit) was formed in 2013 and is owned by Nottinghamshire and Northamptonshire Police Forces. It provides procurement and commercial services, strategic supplier management, offering flexible procurement to deliver with pace and with collaboration at the heart of all it does.

EMSCU is uniquely placed acting as the commercial integrator for all Police Forces to access the commercial market, using the most appropriate and effective routes. This provides benefits to Police Forces and also to suppliers.

The focus is around Customer Engagement, Market Management, Efficient and Effective Processes and Team Development.

EMSCU was appointed a Commercial Partner to the Police ICT Company in June 2015. Although EMSCU was commissioned to undertake a review of three ICT local systems, it identified and supported a number of other areas of work in order to assist the Company.

Utilising EMSCU to deliver this work dramatically reduces the risk to the Police ICT Company, as EMSCU already has the specialised knowledge and skills to procure on behalf of police forces, as well as a resilient structure to support work flow.

For Information	
Public	
Report to:	Audit and Scrutiny Panel
Date of Meeting:	15 September 2016
Report of:	R. Adams, Commercial Director, East Midlands Strategic Commercial Unit
Report Author:	Jayne Gowler, Head of Supplier Services
E-mail:	Ronnie.adams@emscu.pnn.police.uk
Other Contacts:	Jayne.gowler@emscu.pnn.police.uk
Agenda Item:	10

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

Public Finance Initiative Contracts (August 2016)

1. Purpose of the Report

- 1.1 Nottinghamshire Police currently have two public finance initiative contracts (PFI), Venson – Provision of vehicles & vehicle services and Miven – Accommodation Services Riverside. Both suppliers are categorised as strategic suppliers and the East Midlands Strategic Commercial Unit (EMSCU) are working closely with the Fleet Manager and the Facilities Manager to manage the contracts at the appropriate level.
- 1.2 EMSCU Supplier Services have introduced a number of initiatives for the Venson contract and undertaken a deep dive review of the Miven contract to improve management of both PFI contracts as set out in Appendix A.
- 1.3 The report informs the Audit and Scrutiny Panel of the work being undertaken by the EMSCU Supplier Services team to improve the management of the PFI contracts for the period August 2016 until November 2017.

2. Recommendations

- 2.1 There are no recommendations this report is for information only.

3. Reasons for Recommendations

- 3.1 Not applicable

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 PFI contracts.

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

Appendix A

PUBLIC FINANCE INITIATIVE CONTRACTS

APPENDIX A

Venson PFI

The annual budget for the contract is made up of pence per mile (PPM), charge of £1,817,115 and a daily slot availability fee (DSAF), charge of £1,299,060 giving a total of £3,116,175. This is off-set with income of £1,269,540 leaving the balance of contract at £1,846,635.

The costs are determined by a five year repricing/benchmarking exercise. The DSAF and PPM costs cannot be reduced until the next repricing exercise is signed off. This is due to be completed early 2017 but will not come into force until November 2017 unless Venson agree to bring the exercise forward.

Supplier services work closely with the fleet manager to manage the contract at a strategic level. The fleet manager manages the operations of the contract with daily interrogation and cost challenging. A thorough review of vehicle utilisation in conjunction with the contract review has enabled the return of twenty vehicles to Venson in October.

Supplier services have introduced a number of initiatives to improve contract management of the PFI and attempt to hold the supplier to account. These include:

- Quarterly strategic meetings with supplier chaired by regional ACO.
- Fleet reduction exercise completed and signed off by EMPLS
- Review of replacement tyre process and costs
- Review of fuel management system
- Agreed fleet procurement programme with cost avoidance savings of £15,000 per Band A vehicle by adopting an output specification process for high value EMOpSS vehicles.
- Ensuring future amendments are agreed and signed off through a legal process

Miven – Riverside PFI

The annual budget is made up of estates costs of £1,161,823, off-set by income of £588,180, leaving a balance of contract at £573,643.

EMSCU Supplier Services started a deep dive review of the contract in March this year which will be ongoing until a satisfactory resolution is in place. The contract has not been performing for a number of years. Operational meetings have taken place with the supplier but performance has not been robustly challenged. EMSCU and Estates have completed a full walk round audit of the building in the last few weeks and are meeting with the supplier on 31st August to address a number of issues including:

- Poor upkeep of the building internally and externally
- Non replacement of fixtures and fittings such as fridges, freezers, desks, chairs
- Maintenance of assets

A number of areas have been identified where potential savings may arise:

- Confirming the benchmarking exercise which has not been undertaken in the 15 years of the contract history
- Amounts have been factored in for lifecycle replacement. Approx £87K for year 10 and £294K for year 15. On first inspection it would seem that no lifecycle replacement/upgrades have taken place. Now working with Eversheds/EMPLS to ensure missing documentation and contractual information is provided to challenge Miven about this.
- Termination of various services that Miven have implemented and charge NP for in the monthly amount
- Terminate the contract negotiated with Miven to sub let to HMRC. Essentially Miven are taking 50% of the income generated. NP already paying for the accommodation so effectively paying twice. Approx £30k due in income by re letting the contract with HMRC
- Retrospective credits for furniture purchased by NP as it should be part of the contract.

The short term plan, 2 – 4 weeks is to raise all of the concerns with Miven and give them 14 days to detail an action plan to address the poor state of the building. Alongside this is to estimate a value for potential compensation of the poor service provided. Further work with EMPLS is required to achieve this and estimated around six weeks to achieve a full understanding of exactly what can be challenged.

The medium term plan between October and December is to review the whole contract and reduce the monthly commitment/payments to Miven. However, it is likely we may have to engage expert support to achieve significant savings and a further report will be provided for decision once the exact amount is confirmed.

Both Venson and Miven are categorised as strategic suppliers and therefore are managed with an operational contract owner, OCO, for the day to day management and an identified strategic lead from Supplier Services, EMSCU.

Jayne Gowler
Head of Supplier Services - EMSCU

For Consideration	
Public/Non Public*	Public
Report to:	Joint Audit & Scrutiny Panel
Date of Meeting:	15th September 2016
Report of:	Paddy Tipping Police Commissioner
Report Author:	Kevin Dennis
E-mail:	kevin.dennis@nottinghamshire.pnn.police.uk
Other Contacts:	Kevin Dennis
Agenda Item:	11

POLICE AND CRIME PLAN (2015-16) – ANNUAL REPORT

1. PURPOSE OF THE REPORT

- 1.1 The purpose of this report is to provide the Joint Audit & Scrutiny Panel (JAS Panel) with the Commissioner's Annual Report in respect of his Police and Crime Plan for 2015-16. **Appendix A** contains the full report.
- 1.2 The report identifies the end of year performance against targets and a summary of the range of activities that have been implemented during 2015-16.

2. RECOMMENDATIONS

- 2.1 That the JAS Panel discuss and note the progress made.
- 2.2 That the JAS Panel scrutinises performance against the strategic priority themes and activities set out in the Police and Crime Plan (2015-18)
- 2.3 With regard to the JAS Panel's terms of reference that the JAS Panel considers giving specific scrutiny to the HMIC update report section on page 38 of the report.

3. REASONS FOR RECOMMENDATIONS

- 3.1 The Police Reform and Social Responsibility (PR&SR) Act 2011 places a statutory duty on the Commissioner to produce an Annual Report on the exercise of his functions in each financial year, and the progress which has been made in meeting the police and crime objectives in the Commissioner's Police and Crime Plan.
- 3.2 As soon as practicable after producing the Annual Report, the Commissioner must send the report to the Police and Crime Panel (PCP Panel). The Commissioner must attend before the PCP Panel at the public meeting arranged by the PCP Panel to present the report to the Panel and answer the PCP Panel's questions on the report. The Commissioner fulfilled this requirement on 5h September 2016.

- 3.3 The Commissioner must give the PCP Panel a response to any report or recommendations on the annual report and publish any such response.
- 3.4 The [Terms of Reference](#) of the JAS Panel include:
- 1) *To ensure there is appropriate co-ordination between the internal audit plan, Her Majesty's Inspector of Constabulary (HMIC) inspection and the annual scrutiny programme to avoid duplication (page 2).*
 - 2) *To maintain, within an agreed timescale, the implementation of agreed recommendations relating to internal audit reports and HMIC inspections and scrutiny reports (page 3).*
- 3.5 This report should assist Panel members in their responsibilities.

4. Summary of Key Points

- 4.1 The Annual Report details progress in respect of the Commissioner's election pledges (first term), performance against his Police and Crime Plan targets/objectives (2015-18) and a summary of the various activities undertaken by Police, Partners and the community to make Nottinghamshire a safer place to live, visit and work.

5. Financial Implications and Budget Provision

- 5.1 None - this is an information report.

6. Human Resources Implications

- 6.1 None - this is an information report.

7. Equality Implications

- 7.1 None

8. Risk Management

- 8.1 Risks to performance are identified in other reports.

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

- 9.1 This report provides Members with the Commissioner's Annual Report on progress in respect of the Police and Crime Plan for 2015-16.

10. Changes in Legislation or other Legal Considerations

10.1 None which affects the content of this report.

11. Details of outcome of consultation

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

12. Appendices

A. The Commissioner's Annual Report (2015-16).

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

- Police and Crime Plan 2015-2018 (published)

Kevin Dennis, Chief Executive of the Nottinghamshire Office of the Police and Crime Commissioner

Kevin.dennis@nottinghamshire.pnn.police.uk

Tel: 0115 8445998

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

philip.gilbert11028@nottinghamshire.pnn.police.uk

Tel: 0115 8445998



Nottinghamshire

POLICE & CRIME COMMISSIONER

Nottinghamshire Police and Crime Commissioner's

Fourth Annual Report

2015 – 2016

Draft V4

Table of Contents

Foreword	i
Introduction	3
Consultation and Engagement	5
Pledges	6
Police and Crime Panel	6
The Seven Strategic Themes	6
Theme 1: Protect, support and respond to victims, witnesses and vulnerable people	7
Performance	7
Progress	8
Theme 2: Improve the efficiency, accessibility and effectiveness of the criminal justice process	10
Performance	10
Progress	11
Theme 3: Focus on those local areas and priority crimes that are most affected by crime and anti-social behaviour (ASB)	12
Performance	12
Progress	14
Theme 4: Reduce the impact of drugs and alcohol on levels of crime and anti-social behaviour	16
Performance	16
Progress	17
Alcohol Strategy and Action Plan	17
Theme 5: Reduce the threat from organised crime (SOC)	21
Performance	21
Progress	21
Theme 6: Prevention, early intervention and reduction in reoffending	24
Performance	24
Progress	24
Theme 7: Spending your money wisely	27

Performance	27
Progress.....	28
PCC Volunteer Schemes	32
Investing in Volunteers	32
OPCC Volunteer Demographics	32
Independent Custody Visiting.....	32
Performance	33
Progress.....	33
Animal Welfare Lay Visiting Scheme	33
Police Dog Pension Scheme.....	33
Performance	34
Progress.....	34
Mystery Shopping Scheme	34
Performance	34
Progress.....	35
Future Funding (2016-17)	35
HMIC Validation and Audit	38
Completed HMIC Inspections:.....	39
Internal Audit and External Audit Assurance.....	41
Internal Audit.....	41
External Audit	41
APPENDIX A - CRIME REDUCTION PERFORMANCE BY CRIME TYPE (2015-16).....	42
APPENDIX B – CRIME REDUCTION PERFORMANCE BY AREA (2015-16)	43
APPENDIX C – PARTNERSHIP LOCALITY PROGRAMME	44
APPENDIX D – DEMAND FOR SERVICE	45
APPENDIX E – 2016-17 BUDGET (£m)	46

Foreword

Policing is all about helping people. There are many people living in Nottinghamshire who need that help and we are constantly pushing the boundaries to deliver it. My Annual Report 2015-16 shows the exceptional progress made over the past 12 months to support ordinary people; people who through no fault of their own have suffered at the hands of crime, people who are at risk of violence or brutality, people who face physical or mental abuse just because of their race or sexuality and people who need desperate help to break free from their addictions.

Policing can have a transformative influence on people's lives – change that cannot be captured through crime figures. Who knows how many more offences we have prevented through early intervention or how many victims we have saved from abuse by education and counselling? I'm immensely proud of the difference we're making to peoples' lives through strong, partnership working.

The next chapter of our progress will continue to see enhanced services for victims of domestic and sexual violence and further work to tackle low-level harassment and crimes against women and girls. We recently became the first force in the country to categorise misogyny as a hate crime – sending a hugely symbolic message to victims about how seriously we take their experiences.

We will also welcome our new victims' services model in January 2017, a model which empowers community-based organisations to deliver help to hard-to-reach individuals in the very communities in which they live or frequent. Hate crime remains a priority and we will be increasing our work to encourage victims to report incidents to the police so we can support them.

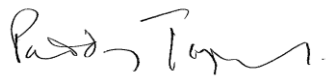
We ended 2015-16 in a very strong position but it is a position we have earned through hard work, innovation and foresight. Crime in Nottinghamshire is falling faster than almost anywhere else in the UK. On top of this, Nottinghamshire Police is the fastest improving police force in England and Wales and continues to lead the way in innovative policing, particularly in domestic violence and brutality against women.

Our pioneering approach will be boosted by £2.2m of additional funding over the next 12 months through the Police Transformation Fund. This money will be invested in a partnership project with Leicestershire and Northamptonshire aimed at eliminating duplication between the three forces and ensuring they have access to a larger pool of information and intelligence to help officers make faster and more informed decisions. A further £3,536,000 will be available to the project in 2017/18 through the same fund

Among other successes, I'm exceptionally pleased to see the amazing progress made in terms of Stop and Search which now sees Nottinghamshire Police with one of the lowest stop and search rates in the country but the highest positive outcome rate. I'm determined this policing strategy is used in a way that reassures our communities and will continue to ensure it is robustly monitored in the future.

It has been a true honour to serve Nottinghamshire since 2012 and an even greater privilege to be asked to serve it again. Our county is already a safe and thriving place to live, work and visit and with a firm agenda for action and change, it is my ambition that it will continue to be so.

Finally, I would like to acknowledge the work and achievements of my deputy Chris Cutland who retired in April. Chris provided me invaluable support throughout my first term in office and I know that she made a huge difference to victims and witnesses, especially women, who are now better protected and supported as a result of her work.

A handwritten signature in black ink, appearing to read 'Paddy Tipping'.

Paddy Tipping

**Nottinghamshire Police and Crime
Commissioner**

Introduction

This is the Commissioner's fourth Annual Report relating to his 2015-16 Police and Crime Plan and his first term of office which commenced on 22 November 2012. The Commissioner commenced his second term of office on 11th May 2016 following his election on 5th May 2016.

During these three and half years the Commissioner has been working with the former Deputy Commissioner to put into action the pledges and strategic activities made as part of his first election campaign. Each year the Commissioner has chosen to refresh his Police and Crime Plan.¹

The Commissioner is required by law to produce an annual report and to share it with the Police and Crime Panel for consideration. He will publish his response to their comments and recommendations following the Panel's meeting in September 2016.

This report covers the financial year from April 2015 to March 2016, and highlights some of the key achievements made since he became the first Police and Crime Commissioner for Nottinghamshire.

The Police and Crime Plan draws strongly on the experiences of the public, shared during an extensive engagement and consultation programme. It aims to put their views – and the interests of victims – at the heart of policing for Nottingham and Nottinghamshire and sets out the main priorities for action over the next year, reflecting what the public has told us needs to happen to increase their feelings of safety and reduce their fear of crime.

The Police and Crime Plan is built on:

- The Commissioner's commitments;
- The seven priorities identified through partnership working and consultation; and
- Supporting actions aimed at reducing crime and which, in turn, will lead to fewer victims.

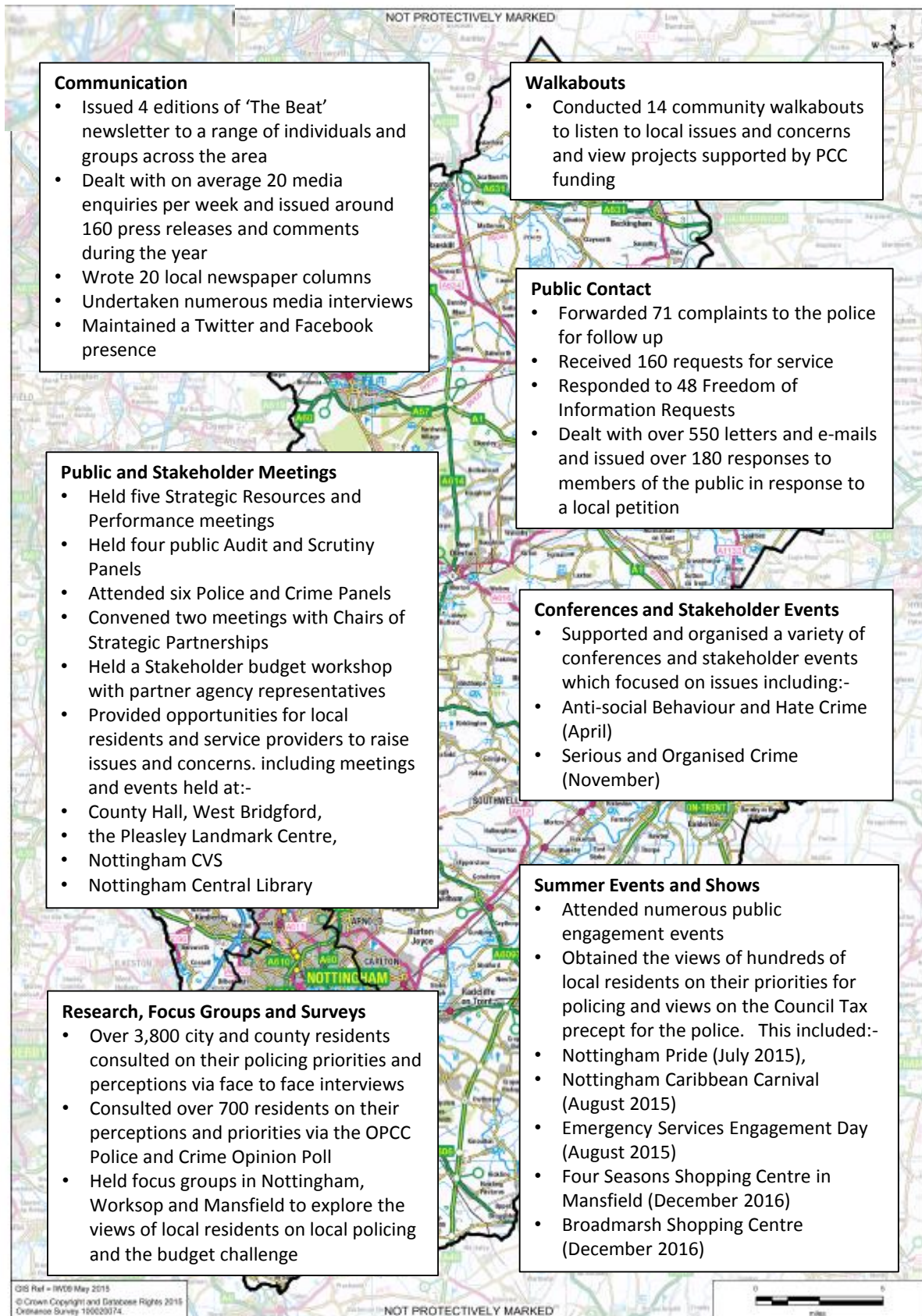
Vision

The Commissioner's vision is to be the 'People's Commissioner,' making himself available to individuals, victims of crime and communities and listening to their concerns. He has undertaken extensive consultation, giving his Police and Crime Plan a clear direction and path of action over the next three years. The focus of

¹ <http://www.nottinghamshire.pcc.police.uk/Document-Library/Public-Information/Policies-and-Procedures/Consultation-and-Engagement-Strategy-2016-2020.pdf>

everything he and his Office does will be on: “...*giving victims and citizens a bigger voice in policing to achieve a safer Nottingham and Nottinghamshire*”.

Consultation and Engagement



During the year the Commissioner has been fulfilling his pledge to be the People's Commissioner. The map above illustrates the extent of his reach across the City and County.

The Commissioner and Deputy Commissioner have met and talked with numerous communities and individuals during the year at walkabouts, carnivals and festivals, and one-to-one meetings. The Commissioner has refreshed his Consultation and Engagement Strategy in May 2016 which provides comprehensive information on the various ways the Commissioner and his office consults and engages with the communities.²

Pledges

The Commissioner made six pledges (as shown below) during his first election campaign. These were incorporated into his seven strategic themes.

1. Campaign against Government funding cuts to Nottinghamshire's Police and Crime Budget
2. Improve Community Policing across Nottinghamshire by taking on 150 extra Police Officers and 100 Police Community Support Officers (PCSOs)
3. Work in partnership to reduce anti-social behaviour (ASB) by 50%
4. Give extra priority and resources to domestic violence and crimes against girls and women
5. Ensure that victims of crime are treated as people, not cases, and Victim Support is properly funded
6. Be fair, honest and protect taxpayers' money

Police and Crime Panel

This Panel is responsible for reviewing and scrutinising the Commissioner's work and decisions and the Commissioner and his Deputy attend bi-monthly meetings to report on progress. In approving the precept level, Members of the Panel were also given an opportunity to share their views on the Commissioner's proposed budget. The Panel also helped to shape the Police and Crime Plan to ensure it reflects the needs of Nottingham City and Nottinghamshire.

The Seven Strategic Themes

The Commissioner's Police and Crime Plan has seven Strategic Themes. This report details the end-of-year performance in respect of the Plan's targets (2015-16) and the range of activities supporting each strategic theme.

² <http://www.nottinghamshire.pcc.police.uk/Public-Information/Newsletters-and-Publications.aspx>

In support of these seven strategic themes, the Commissioner works with, and in some cases helps to fund, a broad range of partners to maintain the safety and wellbeing of people who live, work and visit in Nottinghamshire.

As part of an on-going commitment to tackle the root causes of criminality, he also provides direct funding to a variety of community-based and public-facing organisations which deliver support to vulnerable people at risk of offending or those who fall victim to crime.

Theme 1: Protect, support and respond to victims, witnesses and vulnerable people

Pledge 4: Give extra priority and resources to domestic violence and crimes against girls and women

Pledge 5: Ensure that victims of crime are treated as people, not cases, and Victim Support is properly funded

Performance

- 84.8% of victims of crime are completely, very or satisfied with the service they have received from the police and was ranked second best in its MSG.³
- 85.3% of people surveyed in Nottinghamshire have respect for the Police.⁴
- 96.8% of victims and witnesses responding were satisfied or very satisfied with the services provided in Court.
- 56.5% of respondents agree that the Police and Council are dealing with local anti-social behaviour and other crime issues.⁵
- 89.8% of domestic abuse victims were satisfied with the Police action. This has been consistently high since the surveys commenced in 2015.⁶
- The number of domestic abuse incidents and crimes has decreased by 28% (5,351 less offences) in 2015/16 and domestic abuse crimes have increased 8%.
- Just less than 300 girls and young women have reported that they feel safer, more confident and are recovering from domestic abuse.

³ Iqanta Data - Satisfaction for incidents in the 12 months to March 2016. MSG means Most Similar Group of forces.

⁴ Iqanta Data – Crime Survey for England and Wales (CSEW) Data to December 2016.

⁵ Iqanta Data - This is based on 12 months interviews ending December 2015.

⁶ Force Survey - 12 months to January 2016.

- Well over 2,000 domestic abuse survivors have reported they feel safer and/or have recovered from crime.
- Almost 3,000 victims of non DSV crimes were supported between Oct 2014 and Dec 2015,
- Almost 2,000 sexual violence survivors have reported increased feelings of safety and/or greater confidence.
- Over 4,000 young people have benefited from schools based initiatives to help them understand healthy relationships better, their rights about consent and where to go for help.
- 84.3% of Hate Crime victims are satisfied with the service they have received from the Police.
- The number of Hate Crimes increased by 4% (+40) during the year and repeat victimisation increased by +2.9% (+2 crimes).
- Numbers of repeat victims of ASB has reduced by 5.8% and also the number of ASB incidents, down 4.3% during the year and 36.4% since 2011-12.
- Almost 600 ASB victims supported by the PCC's commissioned service since 2013 no longer require help, either because their situation is resolved or victims feel empowered to resolve the case themselves.
- The number of people Killed or Seriously Injured (KSIs) on Nottinghamshire's roads has reduced 33.3% since the baseline (2005-09 average). For children under 16 years it's reduced 35.3% against a target of -40% by 2020.
- During the year there have been no instances whereby people with mental health related illnesses have been presented to custody as a first place of safety. This significant improvement in performance is a direct result of the introduction of the Street Triage Team
- The Force attended 81.7% of Grade 1 incidents against within the prescribed timescale against a target of 85% and 68.7% of Grade 2 incidents against a target of 80%.⁷

Progress

Support for Victims

- The former 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 began on 1 October 2015.

⁷ Historically the targets for attendance to 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.

- 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.
- A new integrated support service, which the Commissioner co-commissioned with Nottinghamshire County Council, is operating in the County, delivered by Nottinghamshire Women's Aid and WAIS.
- A new support service, which the Commissioner co-commissioned with Nottingham City Council, is operating in the City, delivered by WAIS.
- In January 2015 the Commissioner part-awarded a contract to Victim Support to deliver an integrated victim support service to support all victims of crime and antisocial behaviour, identity theft, road traffic collisions and hate incidents. The new service is fully delivered within Nottinghamshire.
- In addition, the Commissioner has awarded a contract to Remedi to deliver victim-initiated restorative justice support and grant funded other services to support specific groups of very vulnerable victims such as victims with mental ill health and complex needs and elderly repeat victims of scams and fraud.

Demand for Service

- In order to secure further efficiencies, during the year the Force revised its response model by creating a number of Response Hubs across the City and County: Riverside, Newark and Mansfield. Demand for service and attendance rates for each hub are monitored and reviewed and remedial action taken where performance requires improvement.
- The Force has established a CRIM team⁸ to deal with all 'non-attend' and standard graded incidents, allowing response officers to focus on attending immediate and urgent (Grade 1 and Grade 2) incidents within the target times. The Force plans to increase the number of incidents dealt with appropriately through the CRIM to ensure that incidents involving a high level of threat, risk or harm to people can be responded as quickly as possible.
- The Force has recently launched the OPTIK (Operational Policing Tool and Information Kit) mobile data solution which will further support response officers to manage their daily business effectively, and it is anticipated that response times will improve as a result of officers spending more time away from their base station. Senior managers are taking action to address any cultural practices e.g. officers being drawn back to the Police Station to complete administrative tasks rather than using new technology to complete such tasks out on patrol.

⁸ CRIM: Contact Resolution and Incident Management team.

- The Force demand profile is currently being refreshed in line with the national demand work stream in order to inform a review of resource allocation. This will ensure that response hubs are appropriately resourced in order to meet demand.

Theme 2: Improve the efficiency, accessibility and effectiveness of the criminal justice process

Performance

- The conviction rates in Crown Court were 1.3% above the national average (86.3%). In the Magistrates Courts the rate was 1.3% lower (82.3%).
- The Early Guilty Plea rate for the Crown Court was 7.5% higher than last year (42.3%) and 8.9% above the national average. In Magistrates' Courts this rate was 3.4% higher than last year but slightly lower (-1.1%) than the national average (70.8%).
- There has been a year-on-year improvement in the effective trial rates in both Crown Court (+0.4%) and Magistrates Court (+2.1%).
- Furthermore, the number of ineffective trials (due to prosecution team reasons) compared to 2014-15 has improved by 7.8% in Crown Court but deteriorated slightly in Magistrates Court (-1.7%).
- Compliance with Victims Code has improved month on month since April 2015 (from 50% in City and County close to 90% in November 2015).
- Stop and Searches are much more proportionate for BME communities (reduced disproportionality by 22% between 2012-13 and 2015-16); in addition the Force has the third lowest stop and search rate per 10,000 population nationally and also one of the highest positive outcomes rates. The use of Taser is also third lowest rate nationally.⁹
- Compliance with the National Crime Recording Standard (NCRS) has improved from 88% in 2012 to 98% in 2015.
- Over 50% of victims contacted agreed to participate in the Restorative Justice process managed by Remedi of which 100% were satisfied.
- 8% (13) of victims referred to Remedi (RJ Service) participated in the Restorative Justice programme directly, meeting the offender in a safe environment face to face, to tell them how they felt, get questions answered and let the offender know what impact their actions have had on them.

⁹ The direction of travel for stop and search has reversed more recently largely due to the number of stop and searches undertaken connected with intelligence based knife crime tasking operations.

- 56% (94) of victims referred to Remedi (RJ Service) participated in-directly through shuttle mediation. This is where the victims do not want to meet the offender face to face so shuttle mediation is used via trained practitioners to get questions put by the victim answered by the offender.

Progress

- The Commissioner has worked with other PCCs and Chief Constables to establish a regional Police Criminal Justice Service and commissioned successful restorative justice service.

Prosecution Team Performance Management

- Electronic prosecution file transfers have been introduced to increase efficiency of Police-led prosecutions and reduce costs.
- The Force has introduced a revised performance framework in line with the new national Prosecution Team Performance Management (PTPM) model. This involves dip sampling a number of files to identify meaningful issues and to raise them with the PTPM. Key issues identified and continue to be monitored are:
 - Lack of supervision around initial files,
 - Missing MG9 (Witness lists) from initial files,
 - Lack of the use of Court Orders section of the MG5.
 - Other issues include not using the DIP testing section of the MG5, not identifying key witnesses correctly and not 'investigating' retraction statements
 - A number of initiatives were put in place to reduce these issues from occurring and therefore have improved file quality and timeliness, such as:
 - A 'Gold File' intranet-based message board highlighting frequent problems with files and the solutions required
 - A roll-out of 'Back to Basics' training for Sergeants
 - Daily reporting through the VOLT (Victim, Offender, Location Tasking) Dashboard on files due in the next 7 days

Transforming Summary Justice (TSJ)

- Transforming Summary Justice (TSJ) is a national cross-agency initiative to reform how the Force does business in the Magistrates Court. It is designed to reduce the number of hearings and improve system-wide efficiency. The aim is to have only one hearing for a guilty plea case in the Magistrates Court and only two for a not guilty plea case. All agencies within the system are engaged and the judiciary has intertwined the Summary Disclosure Review within TSJ.
- The national 'go live' date for TSJ was 31 May 2015; Nottinghamshire provided national leadership and went live on 1 February 2015 closely followed by the rest of the East Midlands. Benefits include:

- A 'whole' system approach
- Simplification of the disclosure process
- Bringing key processes forward in time so as to make the first hearing effective
- Reduction in the number of upgrade files for the Magistrates Court (less file building for Officers)
- A quicker resolution for victims and witnesses
- Initial Details of the Prosecution Case (IDPC) is now prepared and served on the Court and defence 5 days before the hearing allowing them to be better prepared for the initial hearing and the defence to enter their plea.

Restorative Justice (RJ)

- In 2015 the Commissioner appointed Restorative Justice (RJ) specialist 'Remedi' to provide RJ interventions for victims. This work commenced in June 2015 and although it has taken some time to establish the performance results reported above are encouraging as 56% of victims would recommend this service to other victims. Some comments include:

"I don't feel like a victim anymore. Last night I slept properly for the first time in a year"

"It's as simple as I have got my life back"

"Every victim should get the opportunity to do this. Surely it should be about being able to make a choice; it was completely the right thing for me to do"

Theme 3: Focus on those local areas and priority crimes that are most affected by crime and anti-social behaviour (ASB)

Pledge 3: Work in partnership to reduce anti-social behaviour (ASB) by 50%

Performance

- In 2015-16, crime reduced by 0.15% and 5.58% since the 2011-12 baseline. **Appendix A** details the full breakdown of crime types and **Appendix B** shows the changes by area.
- In terms of volume, the largest increases (top 3) were Violence Without Injury (up 822, +12.07%), Violence With Injury (up 616, +6.4%) and Criminal Damage (up 292, +2.92%).
- In terms of volume, the largest decreases (top 3) were Burglary Dwelling (down 699, -17.2%), Possession of Drugs (-15.91%, -436) and Other theft Offences (down 416, -4.82%)
- ASB reduced over the year by 4.32% (or -1,663 recorded incidents) and -36.4% (-21,117 incidents) compared to the 2011-12 baseline. Whilst the

Commissioner's 50% reduction target was not met, some local authorities were very close as shown in the table below:

Areas	2015-16	Since 2011-12
Force	-4.32%	-36.43%
City	-2.81%	-23.85%
County	-5.71%	-45.08%
Ashfield	-7.42%	-43.36%
Bassetlaw	-3.31%	-48.24%
Broxtowe	-12.71%	-46.35%
Gedling	-5.45%	-42.71%
Mansfield	-4.89%	-46.11%
Newark & Sherwood	-2.22%	-42.24%
Rushcliffe	-5.08%	-46.14%

- Victim-based crimes accounted for nearly 90.2% of the Force's overall increase with 248 additional offences (+0.38%), most of which were Violence offences. The County division recorded an increase in crime (3.25%, or 1,329 offences), whilst the City Division saw a reduction (-4.56% or -1,439 offences).
- The City saw reductions in all five of its High Impact Areas especially the Arboretum (-9%,-150), whilst the Priority Areas (PPAs) in the County had mixed results; Netherfield and Colwick saw a 12% (-67) reduction, whilst Sutton in Ashfield saw a 20% (+120) increase.
- There were a total of 8,741 offences identified as rural crimes to the end of 2015-16, equating for just over 12% of all crime recorded by Nottinghamshire Police. This is fairly similar to the proportion in 2014-15. In terms of performance in rural areas, the Force recorded a 5.4% increase, or 450 additional crimes, compared to the Force reduction of -0.15%.
- The detection rate for All Crime fell from 30.6% last year to 27.1%. The necessity test and changes to the criminal justice system mean that fewer arrests are made. This may be contributing slightly to the reduced detection rate. However, more importantly, due to the NCRS¹⁰ counting rules the Force now has to record a crime even if the victim doesn't wish to cooperate or the victim cannot be traced.¹¹

¹⁰ [NCRS means : National Crime Recording Standard](#)

¹¹ For example, if a member of the public phones the Police and states they have been assaulted outside a Public House, but on Police arrival they are not there and cannot be traced, the incident is still recorded as a crime is still recorded yet there is no chance of detection. Similarly, where someone reports a crime (it will still be recorded) but won't provide evidence or assistance (it will remain undetected). With Sexual offences, the Force will record a crime unless there is evidence beyond doubt that the crime did not occur. This is the right thing to do, but impacts on detection rates.

- Whilst the proportion of Community Resolution disposals has fallen slightly when compared to the previous year (from 16.7% to 14.6%) the volume has fallen by 22.2% or 693 disposals which are at a greater rate than the fall in overall detections.
- The [Respect Survey findings](#) for 2015¹² show that perceptions of anti-social behaviour once again continue to improve. The headline findings are:
 - Perceptions of the level of ASB continue to decline.
 - In Neighbourhoods, litter and dog fouling are most prevalent concerns
 - Begging is of most concern for perceptions of ASB in the City
 - People feel safer after dark
- The [Nottinghamshire Annual Satisfaction Survey](#) (2015)¹³ identifies that 82% of respondents were satisfied with their local area (35% very satisfied and 47% fairly satisfied), an increase of 2% since the 2014 survey and 3% higher than in 2013. Satisfaction was highest in Newark & Sherwood, where 93% were either satisfied or fairly satisfied, and lowest in Ashfield (74% overall satisfaction).
- 74% of respondents reported feeling safe (either very or fairly safe) in their local area when outside after dark, however 15% felt unsafe (9% fairly unsafe and 6% very unsafe), a decrease of 4% since the 2014 survey. A large proportion of Newark & Sherwood (84%) respondents felt safe, compared to 68% of Ashfield and Bassetlaw respondents.
- 95% of the overall sample felt either very safe (77%) or fairly safe (18%), an increase of 1% since last year's survey. Only 2% overall felt either fairly unsafe or very unsafe.

Progress

Funding

- In 2015-16, the Commissioner invested £3.5m toward a Community Safety Grant and £500k toward other partnership costs in support of the Crime and Drugs Partnership (CDP) and the Safer Nottinghamshire Board (SNB) to enable District Community Safety Partnerships to support initiatives to reduce anti-social behaviour, support victims and improve community safety.¹⁴
- The Commissioner continues to provide funding to support the work of community-based projects designed to reduce ASB and alcohol misuse, and support victims and vulnerable people. (See [Small Grants](#) section).

¹² <http://www.nottinghamcdp.com/wp-content/uploads/2016/04/Respect-for-Nottingham-Survey-2015.pdf>

¹³ <http://www.nottinghamshire.gov.uk/media/113644/satisfaction-survey-report-2015.pdf>

¹⁴ <http://www.nottinghamshire.pcc.police.uk/Document-Library/Our-Money/2015-2016-Documents/Budget-Report-2015-16.pdf> (see page 5)

Tackling ASB

- The Anti-social Behaviour Crime and Policing Act (2014) enacted in October 2014 brought a range of new powers that enable both Police and partners to tackle ASB more effectively.
- The Commissioner's office worked with the City Council's Community Protection ASB Team to develop an ASB leaflet and an ASB Practitioner's Advice Booklet to provide guidance on the new ASB Tools and Powers and case studies of how these powers can be used to good effect.
- Subsequently, the Commissioner hosted a Best Practice ASB and Hate Crime event facilitated by the Commissioner and attended by both Police and Partner practitioners so that new knowledge would help build capability in the use of the ASB powers.
- The Commissioner has provided funding to rollout ECINS (a computer software case management system to improve the sharing of information between partners) to help both Police and Partners manage ASB cases and a wide range of other incidents.

Rural Crime

- 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. The Force has a Rural Crime strategy which sets out the Commissioner's and Chief Constable's commitment to policing and promoting community safety in rural neighbourhoods.
- The Force has actively recruited 8 Rural Crime Special Constables.
- 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 has extended its agreement with Neighbourhood Alert. A review was undertaken to consider how the Force can more effectively target communities with 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.
- Following this review a new rural crime alert scheme funded by the Commissioner commenced in March this 2016.¹⁵ People living and working in three rural areas of Nottinghamshire can now receive news, information and appeals from their local police team straight to their mobile phone, thanks to a new text messaging pilot. Anyone living in the Bassetlaw, Newark and Sherwood areas can register to receive free text message alerts from officers

¹⁵ <http://www.nottinghamshire.pcc.police.uk/News-and-Events/Archived-News/2016/PR-458.aspx>

about issues affecting their area, including information about recent incidents and advice to help them avoid becoming victims of crime.

- The Commissioner's office has developed a specific website¹⁶ for rural matters which should assist in this objective in terms of gaining access to information to protect local environments and wildlife. In addition, a rural crime news leaflet has been developed and was sent in hard copy to all 200 Parish Councils across the County and is available for download from the Commissioner's web site.¹⁷
- In respect of cross border working, the Force has signed up to Operation Traverse which looks to tackle angling issues. The Force has previously undertaken some joint rural crime training with Leicestershire and Lincolnshire. NICHE provides excellent opportunities to share data re offending and intelligence picture.

Theme 4: Reduce the impact of drugs and alcohol on levels of crime and anti-social behaviour

Performance

- Possession of Drugs reduced 15.9% (-436).
- Trafficking in Drugs reduced 6.45% (-49).
- Production of Drugs reduced 21.1% (-76).
- Supply of Drugs however increased 8% (+32).
- Public order offences reduced -7.39% (-178).
- The number of crimes which appear to be Alcohol-Related has reduced by 11.9% but ASB incidents has increased by 2.2%.
- Nottingham the 2nd highest performer in the Core City group for successful completions (35%) re substance misuse (drugs and alcohol).
- Overall there has been a reduction in the NTE violence despite changes to crime recording rules. Also, a reduction in serious NTE violence of 14%. The City's Respect survey shows 55% of people feel safe in NTE (up 7% in a year)
- Nottingham has successfully retained its Purple flag status for the sixth consecutive year and Mansfield in the County awarded the flag in 2015.

¹⁶ <http://www.nottsruralwatch.co.uk/>

¹⁷ <http://www.nottinghamshire.pcc.police.uk/Document-Library/Public-Information/Newsletters-and-Publications/Rural-Crime-Leaflet.pdf>

- The Force estimates that between 13% and 15% of All Crime and ASB is Alcohol-Related and as such is less than half the level reported nationally (although the Force is aware that tagging issues may affect this figure).
- The proportion of Alcohol-Related Violence (now 21.4%) appears to be falling and is less than half that is estimated nationally, based on findings from the Crime Survey for England and Wales.
- There were 7 additional night-time economy Violence Against the Person offences recorded in 2015-16 compared to 2014-15 representing a small increase (+0.4%).
- The most recent Crime Survey for England and Wales (CSEW) identifies that the number of people perceived to be being drunk or rowdy is down from 20.9% (Sept-16) to 17.8% (Dec-16) and current perceptions are in line with the Force's MSG (Most Similar Group of Forces)..
- The County Annual Satisfaction Survey (2015) identified that one in six (18%) respondents said that people using or dealing drugs was a problem, which is 2% lower than in 2014. 68% of people said it was not a problem as all. In respect of People being drunk or rowdy in public places, 82% said it's not a problem at all and this has not changed in 3 years.
- However, the Nottingham City Respect Survey (2015) identifies that the number of people perceived to be using or dealing drugs in local neighbourhoods increased slightly from 1.51% (2014) to 1.63% (2015) although this was only ranked fifth highest. People perceived to be drunk or rowdy in public spaces in local neighbourhoods also increased slightly from 1.49% (2014) to 1.54% (2015) and was only ranked 8th highest with both types of perception being significantly less than they were in 2012.

Progress

Alcohol Strategy and Action Plan

- The Commissioner has contributing to a national project to develop guidance to promote more effective practice with street drinkers and Co-commissioned substance services for Nottingham and Nottinghamshire.
- The Commissioners Office has led on fully implementing the Alcohol Action Plan with Partners to reduce crime in the night time economy (NTE) and improve health and wellbeing including:
 - Implementing Operation Promote in the City Centre and County for drugs and weapons
 - Renewing 'Drinkaware' to provide Club Hosts in major venues
 - Promoting the Purple Flag and Best Bar None schemes in NTEs
 - Initiating projects to tackle street drinking in the Arboretum

- Alcohol-related offending remains a priority crime type as reflected in the Commissioner's [Alcohol Strategy](#)¹⁸ and the strategies of Partners. With the Commissioner's leadership and support in 2014 Nottingham and Nottinghamshire became a Home Office Local Alcohol Action Area (LAAA).
- The Responsible Drinking Initiative (RDI) was launched in November 2014, providing breathalysers and industry best practice 'vulnerability training' to door and bar staff as well as police and partnership NTE officers. The RDI has been endorsed by the Portman Group, the British Beer and Pub Association, and National Pub Watch. Invitations to join the scheme were opened up through the Nottingham Pub Watch and BID in August 2014 with venues showing considerable enthusiasm.
- City Division has launched a multi-agency communications plan which will inform citizens and protect and enhance the reputation of the city while motivating behavioural change with regard to harmful drinking. The plan will look at all aspects of alcohol-related problems under the campaign name '[Ending Alcohol Harm](#)'.¹⁹ The Force has also secured for both the city and the county a unique, high-value partnership with Drinkaware through the LAAA, aimed at motivating behavioural change for those aged 18 to 29 on 'drunken' nights out.
- 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. Pubwatch and City Licensing team regularly work in partnership to address 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 are tackling perceived vulnerability. Work has been undertaken with EMAS (East Midlands Ambulance Service) to try & provide support to NTE (Night Time Economy) staff. Work has been undertaken with the Nottingham City Community Protection around super strength & Saturation Zone to manage the number of Off & On licences in City centre and times of licensable activity.

Alcohol Licensing

- The City and Districts have ensured that a robust enforcement of licensing conditions is taken for pubs and clubs causing the most concerns. However, 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

¹⁸ <http://www.nottinghamshire.pcc.police.uk/Document-Library/News-and-Events/Alcohol-Conference/Alcohol-strategy-refresh.pdf>

¹⁹ <http://www.endingalcoholharm.co.uk/>

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 the Police 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 the Police undertake and/or oversee compliance visits, legislative compliance checks (test purchase operations), mystery customer operations etc.

- All of this information is recorded onto the InnKeeper database which is specific to license premises. 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 (NTE) policing and further targets the teams' efforts towards those premises causing the most risk.
- Other activities 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.
- With other partners review the action as a standard agenda item at their Partnership Plus meetings and actions are contained within Delivery Plans. Doorwatch, nights of action.

Drugs

- [Operation Promote](#)²⁰ was set up to tackle the use of stimulant drugs such as cocaine in the City centre which can drive violent behaviour when taken with alcohol. In addition there is a full time Cannabis Dismantling Team who dealing with an average of 17 grows per month.
- As reported above reported drug offences have reduced. These reduction offences may be attributable to the increased use of the former 'legal highs'. For example, The National Treatment Agency for Substance Misuse report indicated that young adults are turning to so-called legal highs as they seek alternatives to other drugs. The National Treatment Agency (NTA) for Substance Misuse report warned the drugs had emerged as an alternative to the "low quality" of other substances. Nationally, over the past few years, the number seeking help for cocaine, crack cocaine and heroin use all fell. This was largely down to large reductions in the under 25 age group, as the number of over 40s actually increased.²¹ This is why the Psychoactive Substances Act 2016 was enacted in May 2016 to control so called legal highs NPS (see below).
- The NTA figures showed that over the past year the number of people needing treatment for cocaine fell by 15% to 7,304, for crack cocaine by 17% to 3,686

²⁰ <http://www.nottinghamcdp.com/news/successful-operation-re-launched-to-keep-nottinghams-nightlife-safe/>

²¹ <http://www.dualdiagnosis.co.uk/news/Progress48895.ink>

and for crack and heroin together by 16% to 21,341. This is almost entirely due to large falls in the under 25s seeking treatment as the over 40s have been rising in recent years.

- Locally, in Nottinghamshire NPS is considered to be a problem and believed to be present in the NTE (Night time Economy), so it's likely to be contributing to problematic behaviour in the NTE but difficult to identify at moment. CRC Partner's believe there is a problem with Prison recalls linked to NPS use and the profit which can be made selling the drugs in prison.
- The consequences of drug abuse often results in death and near death misses as articulated in a recent Nottingham Post report.²² Partners continue to monitor the impact of NPS and take action where possible.

The Psychoactive Substances Act 2016

- The Psychoactive Substances Act 2016 was the Governments response to the problem described above and became law in May 2016.
- The Act now bans the import, export, supply and production of a psychoactive substance (NPS) in the UK and will carry a maximum prison sentence of 7 years. However, simple possession of psychoactive substances (NPS), including nootropics, will remain legal.
- Information on what is known about psychoactive and legal substances locally will be contained in the annual Joint Police and Crime Plan Needs assessment which will be started in July 2016. A county wide working group has been set up by Nottinghamshire County Council, Public Health to better understand and respond to Psychoactive Substances in April 2016.
- The 2010 National Drug Strategy has been updated and to be published imminently which will set the direction in respect of activity to address this objective. Locally, Partners are working together to better understand the problem and how to address it.

Crime Reduction Initiative (CRI)

- From the 1st October 2014 the 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.

²² <http://www.nottinghampost.com/Police-Nottingham-issue-drugs-warning-clubbers/story-28779371-detail/story.html>

- 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. A new performance framework is now in place and management information is being provided to OPCC and SNB.

Theme 5: Reduce the threat from organised crime (SOC)

Performance

- The recent HMIC report into Regional Organised Crime Units (ROCU) published in December 2015 identified the East Midlands as best practice.²³
- The Force recorded 1 additional Confiscation and Forfeiture Orders under the Proceeds of Crime Act (POCA) in 2015-16 compared to last year, placing the Force 9.9% below the +10% target. The overall value of POCA orders has increased however by 7.2% or £73,197, with the average value now at £4,828 compared to £4,522 in 2014/15.
- The Threat, Harm and Risk (THR) assessment is 17.1% below the 2014-15 level.
- There were 44 less supply and production drug offences recorded in 2015-16 compared to the previous year (a reduction of 5.8%). The number of supply offences increased by +8.0%, or 32 additional offences.
- Based on the search used for the Home Office Annual Data Return for Cyber Crime, just over 1% of All Crime in 2015/16 was classed as Cyber Crime. Numbers and proportions will appear relatively low due to the removal of Fraud & Forgery offences which are referred to the National Fraud Agency. In addition, the low level also suggests a high level of cybercrime remains underreported.

Progress

Understanding Risks and Challenges

- At a regional level EMSOU (East Midlands Serious and Organised Crime Unit) has a detailed Control Plan covering all known aspects of SOC including but not limited to Cyber Crime, Child Sexual Exploitation and Abuse, Foreign Nationals Offenders, Illicit Commodities i.e. Tobacco, Drugs & Firearms, Human trafficking and Exploitation (modern slavery).

²³ <http://www.nottinghamshire.pcc.police.uk/Document-Library/Public-Information/HMIC-Reports/HMIC-Report-Regional-Organised-Crime-Units.pdf>

- At a local level the Serious and Organised Crime Board has recently been established for Nottinghamshire, setting out the risks and challenges. A new partnership structure has now been set up in the City to combat serious and organised crime and, following discussions with partners, similar structures will be set up in the County.
- The current intelligence picture relating to organised criminality, coupled with the upcoming prison release of key individuals linked to organised crime, suggests that the medium term threat from Serious, Organised Crime in Nottinghamshire will not change from its current threat status of 'significant and consistent'.
- A Police Officer is seconded full time to County Trading Standards team to enhance joint working around Serious and Organised Crime such as illicit tobacco etc. and a senior detective 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 GAIN²⁴ is also actively engaged.
- SPOCS from District Councils are undergoing vetting in preparation for the newly formed Partnership Boards for SOC that will ensure better information sharing.
- The Safer Notts Board (SNB) for the County has just carried out an extensive review. Part of this was the use of a Strategic Threat Harm and Risk matrix (STRA) that has determined new priorities for Partnership working that move away from crime type to CSE / Human Trafficking etc. This will drive performance through the already well-established Partnership delivery structures and ensure this becomes core business.
- Previous investment in POCA training and a remodelled process in terms of identifying opportunity are now paying dividends as the Force use of this legislation has become mainstream activity. The Unit is 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.

ANPR (Automatic Number-Plate Recognition)

- ANPR cameras continue to be used by Nottinghamshire Police especially in the County to monitor the movements of tagged vehicles. Bespoke police operations are now linked to the ANPR camera network tackling organised crime groups. The Commissioner provided funding in support of an ANPR shield across Bassetlaw which is now in place (Phase 2). A similar scheme was introduced in Ashfield (Phase 1) which assisted in the reduction of dwelling burglary by 36% (2013-14). A Phase 3 scheme will cover Broxtowe district.

²⁴ Government Agency Intelligence Network (GAIN)

ANPR provides state of the art technology for both prevention and detection of crime and is located in areas vulnerable to travelling criminals.

- The 'go live' of the Real Time Intelligence Unit in the control room is delivering a 24/7 capability to use the ANPR data, enhancing capability around crimes in action and vulnerable people.

Preventing Terrorism

- Sections 36 to 41 of the CT&S Act 2015 sets out a new legal duty on local authorities and partners of local panels to provide support for people vulnerable to being drawn into terrorism.²⁵ For this reason the Commissioner set an objective in his Police and Crime Plan (2015-16) to support Partnership work between Colleges, Schools, Prisons and Councils to prevent people being drawn into terrorism.
- The new duty came into effect on 1 July 2015 and the requirement was discussed at the Prevent Partnership Steering Group chaired by the Head of Cohesion in the City. Partner agencies are working to ensure its effective implication despite the lack of resources from Central Government.
- The City Council's Corporate Director for Children and Families has ensured that briefings have taken place across key management areas. A number of officers attended an East Midlands event on the implications of the duty.
- In support of this requirement a dedicated Prevent Officer to the City Council Cohesion Service has been established with a focus on community engagement but also will be able to develop a refreshed partnership improvement plan to tackle the general duty as well as some of the more specific requirements of the Act.

Impact of Migration

- A regional research project has been conducted on 'The Impact of International Migration on the East Midlands' and work conducted for the Commissioner by the CDP on 'Examining Crime, Ethnicity and Gender in Nottingham'. These will form part of the evidence base for the Police and Crime Needs Assessment.

Ending Gang Youth Violence Programme

- The Commissioner has continued to invest into the Ending Gang Youth Violence Programme. This includes community-based projects to divert gang members away from a life of crime and a small grants fund to support further community engagement and a cohesion worker.
- Vanguard Plus, the multi-agency Ending Gang Youth Violence team led by Nottingham City Council, has been established for just over three years. Its

25

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/425189/Channel_Duty_Guidance_April_2015.pdf

main focus is to address the activities and behaviours of urban street gang (USG) members. However, the team also manages a number of organised crime group members who have direct links to USGs. During the last 12 months the team has managed a number of high profile, high risk, offenders.

Theme 6: Prevention, early intervention and reduction in reoffending

Performance

- Data from both the Youth Offending Teams for City and County show that 31.9% of youth offenders (43) within the cohort have re-offended in the last 12 months, with a re-offending rate of 0.79 which is better than the national average performance (35.5%).
- In 2015-16 295 outcomes were issued to youth offenders who had previously received a community resolution in 2014/15 which is better than the previous year when 316 were issued.
- There have been 204 young persons identified as first time entries in to the youth justice system in 2015-16, 10 less than recorded in 2014-15.
- The average age of an offender is 15 years, though nearly a third of all offenders are aged 16. The majority of offenders identified are male, with over 20% recorded as female, with the ethnicity of the offender being just over 90% being white, just under 5% recorded as BME and the ethnicity in the remaining records not recorded.
- A third of all offences recorded were for Violence Against the Person, with Theft & Handling, Motoring Offences and Criminal Damage each accounting for around 9% of the total volume.
- Around 60% of youth offenders were given a caution, youth conditional caution or youth caution, with a further 28% receiving a referral order.
- In 2015-16 there were no people suffering mental impairment detained in custody suites.

Progress

Funding

- The Commissioner has provided £927K funding over the past three years to Partners to undertake positive activities for young people which has contributed to reduced ASB and crime.

Preventative Work

- The mainstream activity of the Street Triage Team continues to be successful. In addition the Force has carried out a review and revision of processes in accordance with national guidance, and has a joint protocol with partners which includes a Service Level Agreement with the East Midlands Ambulance

Service, and a coordinated approach with the two nominated places of safety (Highbury Hospital and Millbrook).

- The Commissioner grant funded 7 community led projects during 2015-16 to provide positive activities for young people and also grant funded the Princes Trust to provide positive activities for young people at most risk of getting involved in offending.
- During the year 33 GPS tags provided by G4S and Buddi. Assisted the IOM (Integrated offender Management Team) to manage offenders. Only 4 were specifically used for managing shoplifting offenders on a voluntary basis due the lack of legal enforcement legislation. 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.
- The Commissioner and Chief Constable lobbied the Ministry of Justice (MOJ) for Nottinghamshire Police to be part of a national GPS tagging pilot. On 7th April 2016 the MOJ notified the Commissioner and Chief Constable that the Force has been successful in its application and will form part of Pilot Area 1 together with Leicestershire, Staffordshire and West Midlands. A senior Police officer is now project managing the pilot.

Young People

- The Commissioner has set up a 'Youth Commission' with recruitment of 14-25 year olds in Nottinghamshire whose job has been to support, inform and challenge the Commissioner on policing for the City and County. 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.
- Since then, a diverse group of young people were recruited to gather views from 1,000 young people across the area on priority topics such as drugs and alcohol, Stop and Search, relationships with the police, education, prevention, reoffending and rehabilitation. Key findings and recommendations were presented to the Commissioner, Chief Constable and senior representatives from partner organisations on 21st March 2016 and will be used to help shape and inform policy and planning over the 2016-17 period.²⁶
- 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.

²⁶ <http://www.nottinghamshire.pcc.police.uk/Document-Library/Get-Involved/Youth-Commission/Nottinghamshire-Youth-Commission-Final-Report-April-2016.pdf>

- 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 2,500 school children is currently underway. Both City Council and County Council are agreeable to reshaping the PSHE curriculum to ensure it meets the stated aim and objectives.

Integrated Offender Management (IOM)

- The IOM approach is well embedded and successful in Nottinghamshire. Several other force areas have visited Nottinghamshire Police in order to replicate success. The governance structure for IOM at strategic level has been affected by staffing and organisational changes and is currently in a state of 'evolution'.
- IOM in Nottinghamshire has been recognised as a national model of good practice. (HMIC, MAZARS, Academic work), it has been shown as responsible for a 'statistically significant drop in reoffending' amongst the most prolific offenders.
- The Forces IOM (Integrated Offender Management) programme was reviewed by the College of Policing and HMIC. Nottinghamshire was highlighted nationally for its work in HMP Nottingham and the Multi-Agency Intelligence Team. IOM performance management through convictions has now begun, with more than 400 individuals currently managed through the Force IOM programme. The Reducing Reoffending Board has commissioned a full review of Premium Service provisions and IOM tactical delivery.
- In January 2016 a new monitoring system was put in place to establish key measurable factors that had not been addressed within each cohort before. Results from this will be available when enough data has been gathered to allow for a comparison over time, it is likely that an initial analysis will be possible at the end of Q1 2016-17.

Troubled Families

- The National Troubled Families project was launched by Central Government in December 2011 to 'turn around' the lives of 120,000 of the most troubled families in the UK. It aims to deliver intensive support to families with complex needs in a bid to achieve long-lasting change.
- Following the launch of the National Troubled Families Programme. Nottinghamshire County Council is supporting 1,580 Nottinghamshire families with complex needs over the next three years through the Supporting Families Programme. Families are allocated a named worker responsible for delivering intensive whole-family support focussed on reducing criminal activity and anti-social behaviour, improving school attendance and supporting adults into work.

Theme 7: Spending your money wisely

Pledge 1: Campaign against Government funding cuts to Nottinghamshire's Police and Crime Budget

Pledge 2: Improve Community Policing across Nottinghamshire by taking on 150 extra Police Officers and 100 Police Community Support Officers (PCSOs)

Pledge 6: Be fair, honest and protect taxpayers' money

Performance

- The Government's grant has reduced significantly and in order to balance the budget, further savings of £11m should have been made in 2015-16. At the year-end there was a shortfall of £2.4m. £12m savings have been set for 2016-17.
- The latest 12-month rolling sickness data for the Force identifies officer sickness has increased from 3.58% in March 2015 to 4.71% in May 2016 and Police staff from 3.68% to 5.63% respectively representing a cost of £6.331m.
- Current BME representation in Force stands at 4.5% overall, lower than the BME population of Nottinghamshire, which stands at 11.2%. Recent Home Office data identifies Nottinghamshire has the 11th highest BME officer representation (4.4%) nationally (the range being 1.1% to 11.7%).
- During the year, 72 additional Special Constables (SCs) have been recruited with a total of 288 and a BME representation of 8%. 70 additional applications were received in March this year and 12 wish to become RURAL SC's.
- The Force has created an SC RURAL crime team based out of Ollerton Police Station which currently has 1 Sgt and 5 SC's attached to it (3 more officers are waiting to transfer into the team).
- The Force now has appointed 149 Police Cadets with a BME representation of 26%. The Force will resume recruitment during 2016/17 and intends to extend the programme to include 10 x 13-16yrs olds who will be based at the Worksop. If successful the Force will expand the scheme to include 13 years olds across all 8 bases.
 - There are 79 Police Support Volunteers (PSVs) with 11 applicants currently going through the recruitment process to join various Police departments.
 - In total the BME representation of the volunteer workforce is 9.9% (Cadets/Specials/PSV's).
 - Neighbourhood Watches have increased by around 10% during the year. The total number of registered users is 30,376.

Progress

Funding Formulae

- The Commissioner met with the Home Secretary and Policing Minister shortly after being elected in 2012 to lobby for fairer funding and more Police Officers for Nottinghamshire. Despite this, the Government still introduced further budget reductions.
- Nottinghamshire is disadvantaged by the present funding formula which is still under review by the Home Office. The Commissioner has been heavily involved in the discussions around the new formulae and its implementation.
- In the meantime, all possibilities to change the way we work and reduce costs are being considered and action taken. The Commissioner continues to represent Nottinghamshire at national and regional meetings. He is the chair of the Association of Police and Crime Commissioners' Standing Group for Resources, Efficiency and Strategic Finance and attends Home Office Gold and Silver Groups for Police Finance and Resources. He has made sure he is at the heart of decision making in order to champion a better deal for policing in Nottinghamshire.

Commissioner's Office Costs

- HMIC's value for money profile for 2015 ²⁷ identifies that the cost of the Commissioner's Office (£0.93m) is £250k less than former Police Authority and 24% less than national average (i.e. £0.83 per head of population compared to £1.03).

Budget Reductions

- Since setting his first budget for 2013-14, which was itself challenging, the pressure on the Commissioner's budget has increased substantially. Over the last four years efficiency savings of £42.6m have been needed to deliver annual balanced budgets.
- In 2012-13 and 2013-14 achieving efficiencies was comparatively easy and underspends in other areas also developed. But 2014-15 saw the start of it becoming increasingly difficult to achieve the required savings programme and an additional £2m was used from reserves (total over £4m) to balance the budget by the end of the year.
- 2015-16 has proved to be the toughest year to date. Efficiency programmes have not been delivered in full and in addition, the budget pressures were identified during the year. This has resulted in an estimated £9.3m being required from reserves to balance the budget.

²⁷ <https://www.justiceinspectorates.gov.uk/hmic/wp-content/uploads/nottinghamshire-2015-value-for-money-profile.pdf>

Delivering the Future (DtF)

- Nottinghamshire has changed drastically over the years but the focus remains, and always will, on protecting all of our communities and putting citizens at the heart of our police service. Such changes requires changing the way the Force does things i.e. changing policing structures to ensure it effectively responds to the new demands of emerging crime types and priorities.
- Nottinghamshire Police's strategic change programme, 'Delivering the Future', will deliver a policing model for Nottinghamshire which is affordable, effective and efficient in fulfilling its policing responsibilities.
- The change programme has come a long way and delivered over £42m savings since its original inception in 2010 as the Transformational Change Strategy, followed by the Target Operating Model programme and Designing the Future. Designing the Future was the first part of the most recent change programme, which looked to create an operating model that would be fit for the future, while reducing costs.
- Delivering the Future then took over the project with the aim of implementing all of the plans that had been designed, while reacting to the changing picture of policing.
- The programme is now focusing on the following areas of work to ensure the change is driven forward in a clear, concise and effective way, with the backing of the teams, who are working to provide the best service possible to our communities:

Managing Demand Effectively

- Current demand
- New and emerging demand
- What the future may bring
- Horizon scanning

Managing Capacity

- Workforce as it is now and how it will be until 2020
- How best to match limited resources to the demand faced and explore current systems, processes and identify how to make them lean, yet effective and release capacity for the Force.
- Make best use of technology to provide capacity to the Force

Managing Capability

- What our people can do - what skills our people have - what skills we will need in the future

- Using this information to ensure staff is effectively trained, equipped and using the right technology to meet the demand requirements.

The Right Force Structure

- Establish a new operating model which is sustainable and enables the Force to efficiently address the demands it faces now and in the future.

Effective Communication and Engagement

- Ensure staff is engaged and communicated with throughout the entire change programme; listening to them as the experts in their roles.
- Ensure staff feel trusted and supported in conducting their roles.
- Ensure communities and stakeholders are consulted with and listened to with regard to their views on proposed changes.

Effective Financial Management

- Ensure robust financial DtF monitoring, analysis and reporting, to track and achieve efficiencies and saving initiatives, evaluating risks and liabilities.
- **Appendix D** provides a graphical summary of the current demand for Police service.

Collaboration

- The Commissioner has continued to explore every opportunity to make the best use of available funding by securing efficiencies through regional collaboration overseen by the Regional PCC Board and the Regional Efficiency Board. He has chaired both Boards in 2014-2015 to ensure that Nottinghamshire has a strong presence in the region.
- He has worked with the other East Midlands Police and Crime Commissioners to agree regional budgets for major crime, serious and organised crime and other collaborative projects, and he plans to do more in the future. The East Midlands Police Collaboration Programme (EMPCP) has the task of delivering changes which will improve many areas of operational and non-operational policing functions.
- Nottinghamshire Police continue to collaborate with the East Midlands Special Operations Unit (EMSOU) to provide efficiencies for policing as well as financial benefits. On-going reviews look at items such as better utilisation of fleet to find further cost savings.
- The Force is collaborating on Specialist Service areas around regional Criminal Justice (EMCJS) and Operational Support Department (EMOpSS) as well as moving from a three Force to five Force Forensics service. Others areas of collaboration are Multi-Force Shared Service (MFSS), East Midlands Serious and Organised Unit EMSOU, Major Crime, Procurement, Learning and Development, Legal and Information Communication Technologies (ICT).

Tri-Force Collaboration (formerly Strategic Alliance)

- Following the PCC elections in May 2016 and a meeting of new PCCs, the former Strategic Alliance plans which sought collaboration across the Leicestershire, Northamptonshire and Nottinghamshire forces continue to be considered. The business case has been discussed at a number of key stages since December 2015 with the team building that business case investigating three main areas of change: contact management; optimising the NICHE shared crime recording system, which is now live across all five East Midlands forces - the others are Derbyshire and Lincolnshire; and Enabling Services, which covers the back office supporting services of HR, IT and Finance. The pace has slowed a little to allow time for the new PCCs to better understand the full implications of the collaboration proposals.

Community Safety Fund

- The Commissioner commissions the majority of community safety work through City and County Community Safety Partnerships (CSPs), which bring together local stakeholders who are well placed to understand local need and priorities. In addition, he supports grassroots community safety activity by grant funding third sector organisations through his Community Safety Fund.²⁸
- In 2015-6 the Commissioner awarded £273,323 in grants to 26 third sector organisations as part of the Community Safety Fund. Diverse initiatives are funded, including diversionary work with young people to prevent anti-social behaviour and further offending, work with young people to build their trust and confidence in the Police, support for a campaign to end female genital mutilation, specialist support for young survivors of sexual abuse and practical help for disabled people experiencing hate crime.
- The Commissioner launched his Community Safety Fund (2016-17) in December 2015. New projects will begin in April 2016. Priorities for funding include support for survivors of sexual abuse, help for vulnerable people who have complex needs and risk victimisation, initiatives aimed at driving down rural crime, innovative BME-led projects and those initiatives which support new and emerging communities to establish positive relationships with the Police.

Decision Making and Value for Money

- The Commissioner has set a strategic theme to 'Spend your money wisely.' Value for Money (VFM) is at the heart of every decision and is demonstrated in the opinion given by external auditors each year.
- All decisions in relation to the use of public money for policing are made public on the Commissioner's website. The Commissioner also has regular meetings

²⁸ <http://www.nottinghamshire.pcc.police.uk/Our-Money/Grants-and-Funding/Community-Safety-Fund-2016-17.aspx>

throughout the year with stakeholder representatives, offering the chance for their views and inputs to be taken into account.

PCC Volunteer Schemes

Investing in Volunteers

- Investing in Volunteers is the UK Quality Standard for all organisations which involve volunteers in their work, recognising good practice in an organisation's volunteer management.
- The IIV award consists of 9 indicators illustrated by 46 practices. To achieve the award an organisation has to demonstrate that it has sufficient practices to demonstrate all 9 indicators.
- In March 2016, the Office of the Police & Crime Commissioner was informed that they were being accredited with the Investing in Volunteers Award in April 2016 for the next 3 years. This is the second consecutive time the OPCC had gained this award.

OPCC Volunteer Demographics

- The Commissioner has sought to ensure that his Volunteer Schemes are as representative as possible to reflect community diversity in terms of ethnic origin, gender and age. In this respect:
 - 18% of the Volunteers are from the BME Communities.
 - 82% of the Volunteers are female and 18% male across an even spread of age groups.
 - 24% of the Volunteers have a disability.

Independent Custody Visiting

- The Independent Custody Visiting Scheme is a team of volunteers (ICVs) who make unannounced weekly visits, in pairs, to the City and County's three custody suites namely the Bridewell in the City, Mansfield and Newark. ICVs check that the detainees are receiving their rights and entitlements such as meals, medical attention and legal advice. The Scheme's main aim is to increase public confidence in the treatment and welfare of persons detained in Police Custody.
- ICVs ensure that vulnerable detainees are visited as a priority and that procedures are in place for ICV's to communicate with non-English speaking detainees using language cards and mobile phones to contact interpreters via Language Line.
- A small, qualified group of specially trained custody visitors are on standby to visit detainees held under the Terrorism Act.

Performance

- During 2015-16, there were 216 visits made.
- 694 detainees were offered a visit and only 57(8%) declined the offer. Last year the figures were 803 and 65(8%) respectively.
- Averages of 3 detainees were seen during each visit which is the same as last year.
- 79% of these visits took place during weekdays and 21% during the weekend. Last year it was 81% and 19% respectively.
- 85% of unannounced visits were given access to detainees within the first five minutes of the ICV's arrival. Last year it was 86%.
- Overall, feedback from ICVs show that detainees are generally very satisfied with the way in which they are treated and raise few complaints. This overall view was the same as last year.

Progress

- All concerns arising from visits were raised with Custody Inspectors so that remedial action could be taken quickly. They are documented and written responses are provided on action taken.
- The Commissioner's Volunteer Manager oversees the scheme and should any complaint not resolved to her satisfaction then it is escalated to a higher level within the Regional Criminal Justice system.

Animal Welfare Lay Visiting Scheme

- Animal Welfare Lay Visitors (AWSLVs) are independent volunteers from the local community who make unannounced visits to check on the welfare of animals engaged in Police work.
- The Nottinghamshire Scheme has 8 AWSLVs who visit the Police Kennels once a month or twice a month during the summer when the weather is hotter, to check on the welfare of any police dogs being kept in the kennels. The volunteers work in co-ordination with the RSPCA basing their visits on 'The Five Freedoms':
 - Freedom from hunger and thirst.
 - Freedom from discomfort.
 - Freedom from pain, injury and disease.
 - Freedom to express normal behaviour.
 - Freedom from fear and distress.

Police Dog Pension Scheme

- When police dogs retire, they remain in many instances with their handler at their family home. Veterinary fees are paid for in respect of working dogs, but financial assistance ends when the dog retires.

- Some dogs work up to their retirement age but others, who may have been injured on duty or are unable to carry out their duties due to illness, may retire earlier.
- When a dog approaches retirement either due to ill health or old age, a retirement fund will ensure that medical expenses relating to work-related injuries/illnesses are reimbursed for three years, up to £500 per year, based on an individual veterinary assessment. This policy is reviewed on an annual basis.
- 12 Police Dogs retired from service during this period.

Performance

- The Animal Welfare Lay Visitors made 16 visits to the kennels in 2015-16, 6 more visits than the previous year as extra visits had been programmed for the summer during hot weather conditions.
- 100 individual inspections of Police Dogs were made overall. Last year there were 107 individual inspections.
- 5 new AWS Lay Visitors were recruited during the year.

Progress

- The Commissioner has been working with the Force to upgrade and improve the provision of kennels for operational Police dogs. A new kennel build commenced in February 2016 for expected completion in June/July 2016.
- The existing kennels in the main complex will be replaced with new and energy efficient units, supported by modern management facilities.

Mystery Shopping Scheme

- The Mystery Shopping Scheme was created in 2013. The aim of the scheme is to provide the Commissioner with information about the quality of customer service provided by Nottinghamshire Police so that he can hold the Chief Constable to account should there be any issues.

Performance

- During 2015-16, Mystery Shoppers attended 40 Police Priorities Setting Meetings which are public meetings held in the local area where Police Officers can discuss with members of the public their policing priorities.
- All information regarding the time, date and venue of the meetings was taken from the Nottinghamshire Police Website. All meetings were advertised as 'open to members of the public'.
- Of the 40 meetings selected for a Mystery Shop, 31 took place (78%), 8 did not take place despite being advertised on the website (20%) and one venue could not be found by the Mystery Shopper (2%).
- Eleven of the venues had accessibility or car park issues (28%).

Progress

- The findings have been analysed and reviewed with the Force to enable them to respond to the issues raised. Mystery Shoppers were asked to make recommendations where further improvements could be made and thereby improve service provision further:
 - The meetings could have been better advertised to inform members of the public that they were taking place, which might increase attendance.
 - Some venues were felt to be inappropriate or intimidating.
 - Easier access for people with a disability.
 - Better clarity of some of the meetings so that everyone could raise questions.
 - Most meetings were well attended by Council representatives but members of the public should be encouraged to attend as well.
 - Meetings should start promptly and not overrun.
 - Better circulation of information at meetings.
 - Website could be better updated with correct meeting dates and cancellations.
- During 2016 the PCC's Mystery Shoppers will be piloting an exercise to provide the Commissioner with assurance that Victims of Crime are receiving their entitlements under the Victims Code. The Code of Practice for Victims of Crime entitles all victims to support from criminal justice agencies.
- The Mystery Shoppers will report to the Commissioner on their findings of good practice and improvements to practice here required. This will then be fed back to the Chief Constable.

Future Funding (2016-17)

Budget - 2016-17

- 2016-17 was always going to be a challenging year, not only were grant cuts expected against a picture of increasing usual costs (e.g. pay awards and price inflation), planning for an estimated £3.5m cost pressure from the change in National Insurance contributions was required.
- The Government Provisional Grant settlement was announced in December 2015 and this was much better than was planned for.
- In creating the budget for 2016-17 additional cost pressures of £11m have been identified and an efficiency plan of £12m has been developed. This is less than originally anticipated due to the better settlement and in part due to the increase in the council tax base which delivered £1m more than estimated. Despite this much has been achieved and continues to be delivered.

- The Commissioner's [Budget Report for 2016-17](#)²⁹ provides a budget breakdown of £190.2m revenue funding and net expenditure.
- Despite this, the Commissioner with the support of Government grants has maintained the same level of funding to local partnerships³⁰ to provide community safety and victims services.

Efficiency Savings

- The table below summarises the savings plans currently in place for 2016-17 financial year:

Efficiencies	2016-17 £m
MRP	1.0
Reduction of Officers and Staff (DTF)	5.0
Non Pay savings	1.7
Reduction in acting up	0.5
Voluntary redundancy, DTF Business cases, Shift review	3.5
Internal Efficiencies	12.0

- The Commissioner is mindful that should there be some slippage in implementing these efficiencies then further savings will need to be identified and delivered in year.
- Following the estimated requirement for £9.3m of reserves in 2015-16 there is insufficient reserves available should the efficiency programme not be delivered in full. Plans to replace the reserves utilised over recent years are planned to commence in 2018-19
- The Commissioner welcomed the new Comprehensive Spending Review announced in November 2015. The protection being given to policing by the Chancellor in the Settlement meant that the anticipated cuts in funding of 25-40% did not emerge.
- However, a standstill in funding means that savings are required to meet day to day increases in prices and pay. On top of this Nottinghamshire has to tackle the continuing impact of the 2015-16 budget shortfall.

Expenditure 2016-17	2016-17 £m
Previous Expenditure	191.2
In year increases	11.0
Sub-total Expenditure	202.2
Efficiencies	(12.0)
Transfer to Reserves	1.0
Total Net Expenditure	191.2

The net expenditure [budget for 2016-17](#) is £191.2m and is summarised in the tables left and below.³¹ A detailed breakdown is shown at **Appendix E.**

²⁹ <http://www.nottinghamshire.pcc.police.uk/Document-Library/Our-Money/2016-2017-Documents/Budget-Report-2016-2017.pdf>

³⁰ £0.5m provided to local community safety groups in the third sector.

- There will be a focus on the Force's efficiency savings programme which will be monitored by the Commissioner and reported to the Joint Audit and Scrutiny Panel to demonstrate delivering improved value for money policing.

Net Expenditure Budget	2016-17 £m
Employee	156.8
Premises	6.0
Transport	6.5
Supplies & Services	14.9
Agency & Contract Services	13.1
Pensions	4.0
Capital Financing	5.7
Income	(4.8)
Efficiencies	(12.0)
Net Use of Reserves	1.0
Total Net Expenditure	191.2

- The estimated funding for the Police & Crime Commissioner over the next four years (and compared with 2015-16) is shown in the table below:

<u>Funding Available</u>	2015-16 £m	2016-17 £m	2017-18 £m	2018-19 £m	2019-20 £m
Police & Crime Grant	126.8	126.1	123.4	120.7	118.1
Council Tax Legacy Grant ³²	9.7	9.7	9.7	9.7	9.7
Precept	52.4	54.4	55.8	57.2	58.6
Collection fund surplus/(deficit)	0.7	1.0 ³³			
TOTAL	189.6	191.2	188.9	187.6	186.4

Staffing Levels

- The table below details the workforce movements Budget 2015-16 v Budget 2016-17.

³¹ <http://www.nottinghamshire.pcc.police.uk/Document-Library/Our-Money/2015-2016-Documents/Budget-Report-2015-16.pdf>

³² Legacy Grant is subject to review as part of the funding formula review

³³ The surplus to be received in 2016-17 will be transferred to reserves

	2015-16 Budgeted Total FTE's	2016-17 Budgeted Total FTE's	Movements FTE's
Police Officers			
Local Policing	1,306	1,269	-37
Specialist Services	493	454	-39
Corporate Services	42	39	-3
Region	81	128	47
	1,922	1,841	-81
Police Staff			
PCSO	253	228	-25
Other Police Staff	1,221	1,312	91
	1,474	1,540	66
TOTAL	3,396	3,381	-15

HMIC Validation and Audit

- A number of audits and inspections conducted over the last 12 months have led to improved standards in policing services.
- During 2015-16, HMIC carried out a number of inspections and published a number of [reports](#).³⁴ The Commissioner reviews these reports and ensures that any recommendations are considered and implemented. His [written responses](#) to HMIC reports are published on his website.³⁵
- The public expects the Police to reduce, prevent and investigate crime, bring suspects to justice and, in conjunction with other services and agencies, care for victims. HMIC assessed three specific areas as shown in the table below and made a number of recommendations to help bring further improvements. It can be seen that overall the Force is considered Good:

• How effective is the force at reducing crime and preventing offending?	Good
• How effective is the force at investigating offending?	Good
• How effective is the force at tackling anti-social behaviour?	Good

³⁴ See HMIC Web Site:

<http://www.hmic.gov.uk/?type=publications&s=&cat=&force=nottinghamshire&year=2015>

<http://www.justiceinspectorates.gov.uk/hmic/?type=publications&force=nottinghamshire&year=2016&s>

³⁵ <http://www.nottinghamshire.pcc.police.uk/Public-Information/HMIC-Reports.aspx>

Completed HMIC Inspections:

A summary of HMIC inspections are shown below:

MISSING CHILDREN: WHO CARES? - THE POLICE RESPONSE TO MISSING AND ABSENT CHILDREN (MAR-16)

- Each year thousands of children go missing from their homes, although the majority of them return home or are found soon after, all children who go missing are potentially at risk of harm, and a significant number, because of their circumstances, will face the risk of sexual, criminal or economic exploitation.

STATE OF POLICING: THE ANNUAL ASSESSMENT OF POLICING IN ENGLAND AND WALES (FEB-2016)

- The Police Act 1996, requires Her Majesty's Chief Inspector of Constabulary to report each year on his assessment of the efficiency and effectiveness of policing in England and Wales. The assessment covers the full breadth of policing work inspected by HMIC, and an overview of police forces in England and Wales.

POLICE EFFECTIVENESS (FEB-2016)

- As part of its annual inspections into police effectiveness, efficiency and legitimacy (PEEL), HMIC's effectiveness programme assessed how effective the force is at keeping people safe and reducing crime and anti-social behaviour. This inspection focused on four aspects of policing: preventing crime and anti-social behaviour; investigating crime and managing offenders; protecting vulnerable people and supporting victims; and tackling serious and organised crime.

POLICE LEGITIMACY (FEB-2016)

- As part of its annual inspections into police effectiveness, efficiency and legitimacy (PEEL), HMIC's legitimacy programme assessed how legitimate is the force at keeping people safe and reducing crime. The inspection focused on whether a force was consistently behaving in a way that is fair, reasonable, effective and lawful, and if it has the consent of the public. HMIC assessed legitimacy at a force level, as well as drawing out overarching themes on a national level which are set out in the national overview.

NOTTINGHAMSHIRE – NATIONAL CHILD PROTECTION INSPECTION POST-INSPECTION REVIEW (FEB-16)

- Protecting children is one of the most important tasks the police undertake. Only the police can investigate suspected crimes, arrest perpetrators and monitor sex offenders. Police officers have the power to take a child who is in danger into a place of safety, or to seek an order to restrict an offender's contact with children. The police service also has a significant role working with other agencies to ensure the child's protection and well-being, longer term.

INCREASINGLY EVERYONE'S BUSINESS: A PROGRESS REPORT ON THE POLICE RESPONSE TO DOMESTIC ABUSE (DEC-15)

- Summary In March 2014, HMIC published Everyone's business: Improving the police response to domestic abuse. This report found significant weaknesses in the service provided to victims of domestic abuse, and made a series of recommendations aimed at helping forces to improve. Between June and August 2015, as part of its PEEL: Effectiveness inspection programme, HMIC

THE DEPTHS OF DISHONOUR: HIDDEN VOICES AND SHAMEFUL CRIMES - AN INSPECTION OF THE POLICE RESPONSE TO HONOUR-BASED VIOLENCE, FORCED MARRIAGE AND FEMALE GENITAL MUTILATION (DEC-15)

- This is the first HMIC inspection to focus on honour-based violence. Our findings are set out in the report, which also contains recommendations for the Home Office, the National Police Chiefs Council, chief constables, and the College of Policing.

WITNESS FOR THE PROSECUTION: IDENTIFYING VICTIM AND WITNESS VULNERABILITY IN CRIMINAL CASE FILES (NOV-15)

- This report sets out the findings of a review of the quality of criminal case files. It examines how effective the police are in providing accurate information of the circumstances of the case, identifying the vulnerability of victims and witnesses, and assessing and managing risks so the needs of witnesses and victims are met.

PEEL: POLICE EFFICIENCY (OCT-2015)

- As part of a new annual inspection of police forces in England and Wales, HMIC has published a thematic and individual force reports on the findings of inspections of policing efficiency. The reports are concerned with the question: How efficient are the police at keeping people safe and reducing crime?

BUILDING THE PICTURE: AN INSPECTION OF POLICE INFORMATION MANAGEMENT (JUL-15)

- This report sets out findings from our review of the business processes police forces in England and Wales use to collect, record, process, evaluate and share information in the wake of the mistakes that have been made in the handling of information relating to, and allegations of, sexual abuse.

RESPONDING TO AUSTERITY PROGRESS REPORT: NOTTINGHAMSHIRE POLICE (MAY-15)

- This report sets out the progress made by Nottinghamshire Police since the publication of the Policing in Austerity: Meeting the Challenge report was published in 2014.

RAPE MONITORING GROUP: DIGESTS AND DATA 2013/14 (MAR-15)

- On behalf of the national Rape Monitoring Group (RMG), HMIC has published 42 local area digests to provide a data set to enable more thorough analysis of how rape is dealt with in a particular area of England and Wales.

Internal Audit and External Audit Assurance

- The Commissioner and Group receive a substantial amount of assurance from the work that is undertaken by its internal and external auditors (Mazars and KPMG).³⁶
- The role of internal audit is to provide independent assurance that the Commissioners risk management, governance and internal control procedures are operating effectively.
- The role of external audit is to review the financial statements, obtain evidence that they are materially correct and provide an opinion as to whether these represent a true and fair view of the financial position of the Group. In addition, external audit also provide a value for money opinion assessing whether proper arrangements are in place for securing financial resilience and challenging how the Group secures economy, efficiency and effectiveness.

Internal Audit

- Internal Audit operates in accordance with Public Sector Internal Audit Standards, which have been developed specifically for the Public Sector by CIPFA. Compliance with the standards is assessed on a cyclical basis.
- One of the assurance statements that the Group receives is the annual opinion of the Head of Internal Audit (Senior Manager – Mazars) in respect of the financial control framework. The annual report in respect of work completed in 2015-16 is that the internal control systems in the areas audited were adequate, with the exception of the transition to new transactions finance systems where improvements were recommended and were classified as high risk.

External Audit

- The External Auditor, KPMG issued an unqualified value for money conclusion for 2015-16. This means that they are satisfied that the Group had proper arrangements for securing financial resilience and for challenging how it secures economy, efficiency effectiveness.

³⁶ <http://www.nottinghamshire.pcc.police.uk/Document-Library/Our-Money/Annual-Accounts/2015-2016/2016-Group-Annual-Governance-Statement-v2.pdf>





APPENDIX A - CRIME REDUCTION PERFORMANCE BY CRIME TYPE (2015-16)

	Year-to-date performance				Target Position			Month-to-date performance			
	2015/16	2014/15	Volume Change	Percentage Change	Current Target	Difference from Target	Percentage Difference from Target	March 2016	March 2015	Volume Change	Percentage Change
Homicide	10	9	1	11.11%	8	2	25.00%	0	1	-1	-100.00%
Violence with injury	10,175	9,559	616	6.44%	9,558	617	6.46%	741	854	-113	-13.23%
Violence without injury	7,631	6,809	822	12.07%	6,808	823	12.09%	544	598	-54	-9.03%
Rape	789	684	105	15.35%	683	106	15.52%	81	82	-1	-1.22%
Other sexual offences	1,284	1,201	83	6.91%	1,200	84	7.00%	79	142	-63	-44.37%
Burglary dwelling	3,371	4,070	-699	-17.17%	4,069	-698	-17.15%	288	219	69	31.51%
Burglary other	4,520	4,607	-87	-1.89%	4,606	-86	-1.87%	463	403	60	14.89%
Robbery of business property	84	100	-16	-16.00%	99	-15	-15.15%	5	6	-1	-16.67%
Robbery of personal property	822	911	-89	-9.77%	910	-88	-9.67%	68	63	5	7.94%
Theft from motor vehicle	4,634	4,778	-144	-3.01%	4,777	-143	-2.99%	384	413	-29	-7.02%
Theft of motor vehicle	1,392	1,150	242	21.04%	1,149	243	21.15%	153	113	40	35.40%
Vehicle interference	903	894	9	1.01%	893	10	1.12%	84	93	-9	-9.68%
All other theft offences	8,217	8,633	-416	-4.82%	8,632	-415	-4.81%	678	758	-80	-10.55%
Bicycle theft	1,929	2,123	-194	-9.14%	2,122	-193	-9.10%	136	118	18	15.25%
Shoplifting	7,686	7,856	-170	-2.16%	7,855	-169	-2.15%	684	723	-39	-5.39%
Theft from person	1,090	1,225	-135	-11.02%	1,224	-134	-10.95%	99	127	-28	-22.05%
Arson	436	408	28	6.86%	407	29	7.13%	27	31	-4	-12.90%
Criminal damage	10,220	9,928	292	2.94%	9,927	293	2.95%	945	808	137	16.96%
Victim-Based Crime	65,193	64,945	248	0.38%	64,944	249	0.38%	5,459	5,552	-93	-1.68%
Possession of drugs	2,305	2,741	-436	-15.91%	2,740	-435	-15.88%	194	175	19	10.86%
Trafficking in drugs	711	760	-49	-6.45%	759	-48	-6.32%	78	98	-20	-20.41%
Possession of weapons offences	734	579	155	26.77%	578	156	26.99%	56	65	-9	-13.85%
Public order offences	2,231	2,409	-178	-7.39%	2,408	-177	-7.35%	123	177	-54	-30.51%
Miscellaneous crimes against society	1,136	986	150	15.21%	985	151	15.33%	90	81	9	11.11%
Other crimes against society	7,117	7,475	-358	-4.79%	7,474	-357	-4.78%	541	596	-55	-9.23%
All Crime	72,310	72,420	-110	-0.15%	72,419	-109	-0.15%	6,000	6,148	-148	-2.41%

APPENDIX B – CRIME REDUCTION PERFORMANCE BY AREA (2015-16)

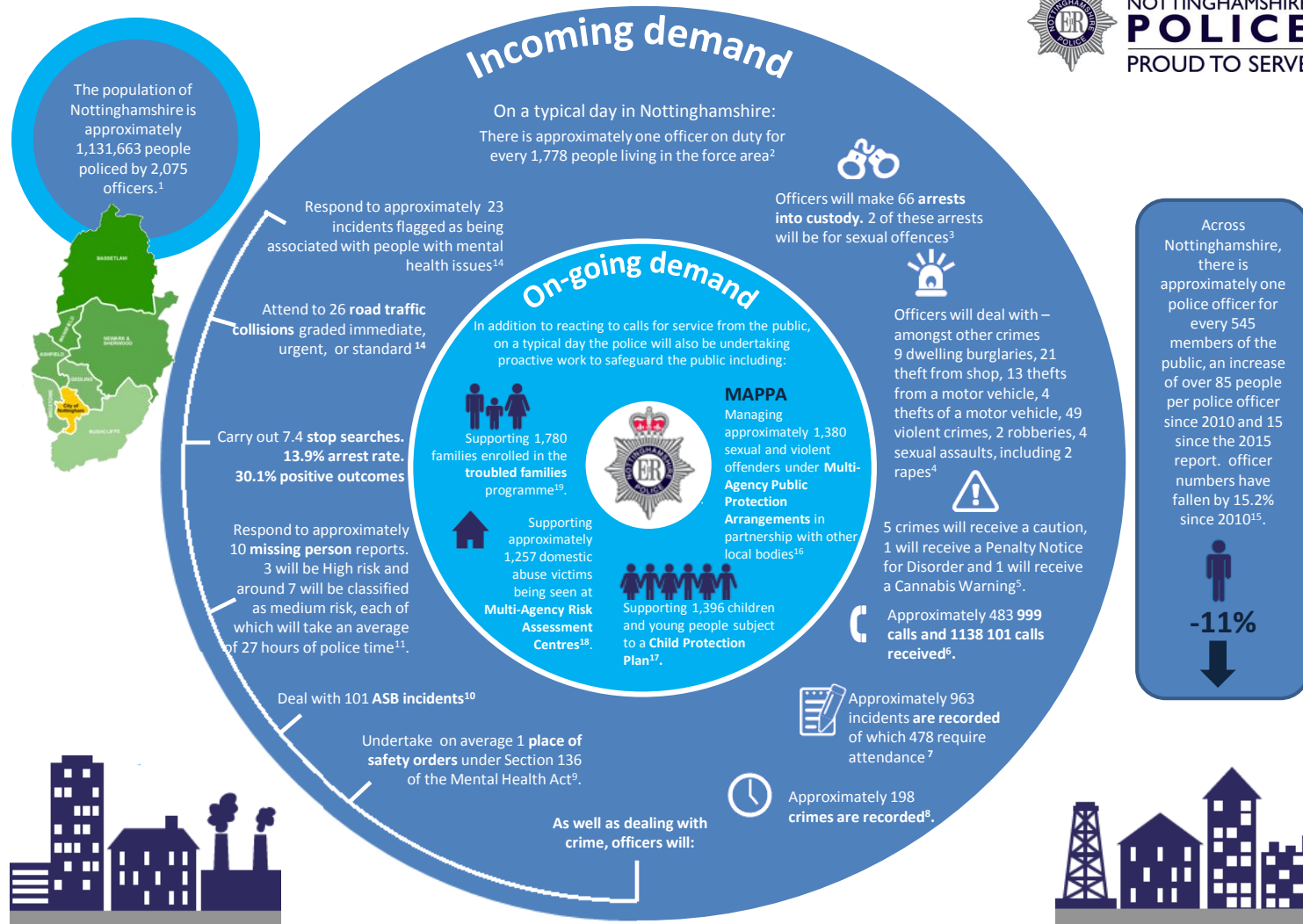
	Year-to-date performance				Target Position			Month-to-date performance			
	2015/16	2014/15	Volume Change	Percentage Change	Current Target	Difference from Target	Percentage Difference from Target	March 2016	March 2015	Volume Change	Percentage Change
Force	72,310	72,420	-110	-0.15%	72,419	-109	-0.15%	6,000	6,148	-148	-2.41%
City Division	30,112	31,551	-1,439	-4.56%	31,550	-1438	-4.56%	2,434	2,563	-129	-5.03%
County Division	42,198	40,869	1,329	3.25%	40,868	1330	3.25%	3,566	3,585	-19	-0.53%
County West	15,421	14,280	1,141	7.99%	14,279	1142	8.00%	1,155	1,285	-130	-10.12%
Ashfield	7,433	6,770	663	9.79%	6,769	664	9.81%	565	611	-46	-7.53%
Mansfield	7,988	7,510	478	6.36%	7,509	479	6.38%	590	674	-84	-12.46%
County East	13,918	13,430	488	3.63%	13,429	489	3.64%	1,233	1,153	80	6.94%
Bassetlaw	7,605	7,528	77	1.02%	7,527	78	1.04%	678	633	45	7.11%
Newark & Sherwood	6,313	5,902	411	6.96%	5,901	412	6.98%	555	520	35	6.73%
County South	12,859	13,159	-300	-2.28%	13,158	-299	-2.27%	1,178	1,147	31	2.70%
Broxtowe	4,783	4,731	52	1.10%	4,730	53	1.12%	442	412	30	7.28%
Gedling	4,537	5,050	-513	-10.16%	5,049	-512	-10.14%	406	431	-25	-5.80%
Rushcliffe	3,539	3,378	161	4.77%	3,377	162	4.80%	330	304	26	8.55%
City Division	30,112	31,551	-1,439	-4.56%	31,550	-1438	-4.56%	2,434	2,563	-129	-5.03%
City Central	8,582	8,810	-228	-2.59%	8,809	-227	-2.58%	692	704	-12	-1.70%
City Centre	6,763	7,162	-399	-5.57%	7,161	-398	-5.56%	593	631	-38	-6.02%
City North	8,368	8,879	-511	-5.76%	8,878	-510	-5.74%	633	705	-72	-10.21%
City South	6,399	6,700	-301	-4.49%	6,699	-300	-4.48%	516	523	-7	-1.34%

APPENDIX C – PARTNERSHIP LOCALITY PROGRAMME

 		Partnership Locality Working Programme				 					
Vision: Winning together – by better working together to improve the safety, health and confidence of individuals in our communities											
Principles		<ul style="list-style-type: none">• Commitment to local by default• Integrated early intervention / problem solving together• Community and individual empowerment• Shared definition of neighbourhoods• Integrated enforcement linked to problem solving• Information is shared• Pooled budgets / resources (spend on proven evidence base)• Medium to long term commitment									
Work streams	Leadership and Governance	Needs Assessment to Understand Demand	County wide Approach to Town Centres	Communication	Community Consultation and Engagement	New Ways of Working	Joined up Enforcement	Developing Community Assets	Joined up Problem Solving	Value for Money	
	<ul style="list-style-type: none">• Outline proposal for new governance and leadership for Town Centre and Neighbourhoods• Leadership development programme• Culture	<ul style="list-style-type: none">• Rapid needs assessment for each area• Evidence based• Intelligence picture• National Gathering data/ benchmarking	<ul style="list-style-type: none">• Good practice identified and shared• Common themes issues shared• Shared intelligence• Coordinated approach 24/7 solution rather than day time only	<ul style="list-style-type: none">• Communication programme• Supporting project communication plans• Stakeholder and community focused marketing	<ul style="list-style-type: none">• Community engagement and consultation plan• Identify gaps in existing engagement and consultation	<ul style="list-style-type: none">• Technology and information sharing• Systems thinking• New processes• Key performance measures• Lessons learned• Shared portal	<ul style="list-style-type: none">• Working with partners such as Trading Standards• Vulnerable families• Housing• Health• Local Authorities• Education	<ul style="list-style-type: none">• Community assets• Building volunteering	<ul style="list-style-type: none">• Prevention• Interdependencies with established programmes such as Troubled Families and IOM	<ul style="list-style-type: none">• Cost benefit analysis• Efficiency savings	
	Outcomes	<u>Benefits</u> <ul style="list-style-type: none">• Strong local leadership	<u>Benefits</u> <ul style="list-style-type: none">• Single locality needs assessment• Understanding demand	<u>Benefits</u> <ul style="list-style-type: none">• Single operating model• Clear definition and understanding of new ways of working and core service delivery	<u>Benefits</u> <ul style="list-style-type: none">• Improved communication with communities• Improved trust and confidence	<u>Benefits</u> <ul style="list-style-type: none">• More engaged communities	<u>Benefits</u> <ul style="list-style-type: none">• Single point of access• Single response• Single operating model	<u>Benefits</u> <ul style="list-style-type: none">• Increased productivity (through increased efficiency and effectiveness)	<u>Benefits</u> <ul style="list-style-type: none">• Lead locality team manager• Increased knowledge of communities	<u>Benefits</u> <ul style="list-style-type: none">• Joint business planning and review• Integrating programmes of work across services to achieve shared goal	<u>Benefits</u> <ul style="list-style-type: none">• Measure benefits• Assess the impact of the programme• Compare costs and benefits
Evaluation	<u>Outputs</u> <ul style="list-style-type: none">• Services designed around citizens – Demand and processes are person shaped and not service shaped.• Early intervention – Addressing causes in preference to symptoms.• Joined up problem solving – Highlighting the real rather than perceived problems which require joined up intervention for complex/wicked problems.• Improved relationships – Increase in trust, confidence and satisfaction by service users who are helped to help themselves.• Seamless services – One team approach and resolves the problem for the service user.					<u>Outcomes</u> <ul style="list-style-type: none">• Healthier communities – Health Specialist to decide.• Community empowerment – Communities engaged and making important decisions on what is actioned locally and holding service providers to account.• Increased trust, confidence, satisfaction – Use of current measures and by survey work.• Reduced demand – Partnership demand that is mapped and bench marked and is seen to be winning together – everyone benefits.• Increased efficiency and effectiveness – A reduction in cost and resourcing.• Reduced threat, harm and risk – To be agreed with partners.				<u>Development</u> <ul style="list-style-type: none">• Key performance Management Framework• Value for money – cost benefit analysis	
Cross cutting themes	<u>Cross cutting themes</u> <ul style="list-style-type: none">• Community leadership – Cllr led, community focussed, community buy in, solutions and actions.• Programme management – Change that is delivered to a set framework.• Resources to be spent on an approved tactical menu to deliver integrated services – clear commissioning on evidence base (To be moved to Principles)• Integrating programmes of work across services to achieve shared goals – opportunity to link key strategic pieces of work around integrated family services, prevention, offender management, neighbourhood management and partnership plus.• Identifying efficiencies – Shared systems thinking and application to address duplication and waste.										

APPENDIX D – DEMAND FOR SERVICE

STATEMENTS ABOUT DEMAND ON POLICING



APPENDIX E – 2016-17 BUDGET (£m)

	Total Budget 2016- 17
Payroll	
Police Pay & Allowances	102.0
Police Overtime	3.3
Police Staff Pay & Allowances	49.9
Police Staff - Overtime	0.6
Other Employee Expenses	1.0
	156.8
Other Operating Expenses	
Premises Running Expenses	6.0
Transport	6.5
Equipment, Furniture & Materials Expenses	0.5
Clothing, Uniform & Laundry	0.5
Printing & Stationery	
Comms & Computing	7.8
Miscellaneous Expenses	4.2
Supplies & Services	5.3
Agency & Contract Services	9.7
Pensions	4.0
Capital Financing	5.7
	50.2
Total Expenditure	207.0
Income	
Special Services	(0.3)
Fees, Reports & Charges	(0.3)
Other Income	(4.1)
Other Operating Income	(0.1)
	(4.8)
Efficiencies	(12.0)
Net Use of Reserves	1.0
Total	191.2

For Information	
Public/Non Public*	Public
Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	September 2016
Report of:	Julie Mair, Head of Corporate Development
Report Author:	Amanda Froggatt, Risk and Business Continuity Officer
E-mail:	amanda.froggatt@nottinghamshire.pnn.police.uk
Other Contacts:	Natalie Baker, Corporate Governance and Business Planning Manager
Agenda Item:	12

Strategic Risk Management Report for Force and OPCC, Quarter 1 2016/17

1. Purpose of the Report

- 1.1 To provide the Joint Audit and Scrutiny Panel (JASP) with an up to date picture of strategic risk management across the OPCC and Force.

2. Recommendations

- 2.1 JASP notes the current approach to strategic risk management and considers the assurance that this report provides as to the effectiveness of those arrangements within the Force.
- 2.2 JASP acknowledges the closure of the Forces financial risk for 2015/16 due to the budget end and the new risk relating to the Force achieving its financial savings during 2016/17. A full risk assessment has been undertaken by the Temp Head of Finance and the risk will be mitigated by an action plan reported monthly to the Force Executive Board. Please see Appendix 2, page 9, for further detail of new risks.
- 2.3 JASP notes second new risk relating to 'Resourcing the proposed Target Operating Model'. Currently the rate of leavers is exceeding the anticipated glide path and whilst this provides confidence in meeting financial targets, it presents risks in terms of operational effectiveness.
- 2.4 JASP notes proposed revision of the Joint Risk Management Policy and Procedure with a view to presenting to the meeting in December 2016.

3. Reasons for Recommendations

- 3.1 A Strategic Risk Report is provided to the JASP biannually in order to keep the Panel informed as to the level of strategic risk within the Force and OPCC and provide assurance as to the effectiveness of risk management arrangements.

4. Summary of Key Points

Risk management policy and process

- 4.1 The Force and the NOPCC previously agreed a joint policy for the management of risk, in line with the Cabinet Office approved Management of Risk (M_o_R) approach.
- 4.2 Due to the recent restructure within Corporate Development and the creation of the Corporate Governance and Business Planning Team, a decision has been taken to review the current risk management arrangements within Force and OPCC and whether they are fit for purpose. It is proposed that a way forward should be presented in a paper to JASP in December 2016.

5 Financial Implications and Budget Provision

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

6 Human Resources Implications

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

7 Equality Implications

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

8 Risk Management

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

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

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

10 Changes in Legislation or other Legal Considerations

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

11 Details of outcome of consultation

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

12. Appendices

- 12.1 **Appendix I** – OPCC Strategic Risk Register, 2016/17 Quarter 1
Appendix 2 – Force Strategic Risk Register, 2016/17 Quarter 1

OPCC Strategic Risk Register

Business Area	OPCC
Responsible Officer	Chief Executive
Period	Quarter 1, 2016/17

Identifier	Category	Risk Description	Owner/ Manager	Proximity	Probability	Impact	Rating	Trend	Response Plan	Risk Confidence Rating
OPCC 001	Financial	Force unable to achieve £12 efficiency savings and balance budget. Requiring further use of reserves and negative impact on recruitment of officers.	Charlie Radford, CFO, OPCC	2016/17	Low (2)	Very High (5)	Med (10)	↔	<ul style="list-style-type: none"> Letter to Chief Constable setting out budget requirements and parameters Business cases to be actively reviewed by Force/OPCC Monthly budget meetings with Force Escalation process to weekly PCC/CC briefings Base budget reviews to be completed in autumn 2020 workforce plan aligned to MTFP 	Reasonable

Identifier	Category	Risk Description	Owner/Manager	Proximity	Probability	Impact	Rating	Trend	Response Plan	Risk Confidence Rating
OPCC 002	Reputation	Reduction in crime recording compliance impacting on crime levels, which may lead to a negative Impact on Force reputation and public confidence.	Phil Gilbert, Head of Assurance and Performance, OPCC	Immediate	Low (2)	Very High (5)	Med (10)	↔	<ul style="list-style-type: none"> Quarterly dip sampling undertaken by Force Crime Registrar Crime & Incident Data Quality Board meets quarterly to review and respond to NCRS audits and compliance. NOPCC staff represented on above board. Compliance with NCRS is a measure in the Commissioner's Police and Crime Plan (Theme 7 measure 4) and reported in the Performance and Insight reports. 	Reasonable
OPCC 003	Finance	Increase budget pressure from A19 and other employment litigation.	Charlie Radford, CFO, OPCC	Jan 2017	Med (3)	Very High (5)	High (15)	↔	<ul style="list-style-type: none"> Contingent Liability in accounts 16/17 Review as part of reserve strategy 	Reasonable

Identifier	Category	Risk Description	Owner/ Manager	Proximity	Probability	Impact	Rating	Trend	Response Plan	Risk Confidence Rating
OPCC 004	Reputation	Instability and multiple retirements within the Chief Officer Team impacting on police leadership and delivery on performance and training.	Kevin Dennis, Chief Executive, OPCC	Immediate	Low (2)	Very High (5)	Med (10)	↔	<ul style="list-style-type: none"> • Delay retirement of DCC • Temporary Chief Constable arrangement until March 2017 PCC to set clear objective. • College of policing to lead executive search programme to help attract pool of external candidates • Active involvement of Partners and Stakeholders in recruitment process 	Reasonable

Identifier	Category	Risk Description	Owner/Manager	Proximity	Probability	Impact	Rating	Trend	Response Plan	Risk Confidence Rating
OPCC 005	Compliance/Operational Efficiency and Effectiveness	Inconsistent force referrals to victims support services which may lead to victims not getting the support they require and lack of compliance with Victim's Code.	Nicola Wade	Immediate	3 (Med)	3 (Med)	9 (Med)	↔	<ul style="list-style-type: none"> Head of PPU investigating referrals to domestic and sexual violence services. Consent based referrals to Victim Support piloted during summer/autumn 2016. Force lead on Victims' Code implementing plans to address officer compliance on capturing consent and enhanced entitlements. Nottinghamshire Victims' CARE service ITT will implement new model to substantially raise the profile and reach of victim support service within communities who may not report crime to the police. 	Reasonable


Identifier	Category	Risk Description	Owner/ Manager	Proximity	Probability	Impact	Rating	Trend	Response Plan	Risk Confidence Rating
OPCC 006	Reputation	Reduction in Partnership support and joint working between Nottingham City Council and Nottinghamshire Police.	Kevin Dennis, Chief Executive, OPCC	Immediate	Med (3)	Very High (5)	High (15)	↑	<ul style="list-style-type: none"> • Ongoing dialogue PCC and Chief Constable, Deputy Chief Constable with Senior officer with political leaders • One to one meetings to maintain relationships and attempt to resolve concerns and perceptions of risk • Active involvement of partners in designing structures • Partner and stakeholder involvement in new Chief Constable recruitment process 	Limited


Identifier	Category	Risk Description	Owner/ Manager	Proximity	Probability	Impact	Rating	Trend	Response Plan	Risk Confidence Rating
OPCC 007	Crime and Community Safety / Compliance	Work with Equinox Strategic Management Group to implement and monitor risk register relating to victims. Survivors support/ resources and information sharing data.	Kevin Dennis. Chief Executive, OPCC	Immediate	Low (2)	Very High (5)	Med (10)	↔	<ul style="list-style-type: none"> • Active attendance at SMG Strategic Management Meeting • Reviewing and monitoring risk register at each meeting • Mitigations/response plans to be actively implemented by lead agency. • Active engagement/listening to survivors events/research 	Reasonable






Force Strategic Risk Register



Business area	Force
Responsible officer	Deputy Chief Constable (DCC)
Period	Quarter 1, 2016/17


URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
NPF0018	Operational efficiency and effectiveness	<p>There is currently a backlog of Annex D and CRIMS checks dating back from January 2016 and September 2015, respectively. Due to staff sickness, retirements and resignations the organisation is unable to comply with its statutory requirements in relation to information sharing through the MASH or to civil courts. The result is that the Force is not aware of the risks that present themselves to the most vulnerable sections of society, including children.</p> <p>Update: Operation Socius commenced on 18th July. At this time there were 396 outstanding requests dating back to September 2015. As of 21st July, 147 had been completed. The task force is continuing for a further week to address the work</p>	Information Management Lead/ Head of Public Protection	Daily	Very high (5)	Very high (5)	Very high (25)		<p>Recruitment, pending HR and DtF approval</p> <p>Possible use of DV risk assessor to assist with MASH</p> <p>Move 2 x ISO roles to Information Management</p> <p>Overtime where resources available</p> <p>Use of task force – Operation Socius.</p>	Substantial


URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
NPF0017	Operational efficiency and effectiveness	<p>Reduction of MOSOVO and increase in the number of RSOs following Operation Hera resulting in failure to comply with offender management via MAPPA controls and inability to meet CSOD disclosure requests and ARMS assessments.</p> <p>Update: Five appointments have been made and staff are currently on specialised training. These staff will be fully operation w/c 1st August. Two staff have been moved from SEIU, 2 staff are from CAIU and one is from Section. The 2 posts from CAIU will be backfilled by 8th August.</p>	Head of Public Protection	Daily	Very high (5)	Very high (5)	Very high (25)		<p>Work commenced and agreed by ACPO under Op Kalends ensure other agencies can assist and have an impact on RSO management.</p> <p>Ensure effective intelligence structure to ensure on-going support for management of archived offenders under Op Kalends</p> <p>Recruitment process or change management process to select / backfill into identified vacancies within MOSOVO</p>	Substantial



URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
NPF0016	Operational efficiency and effectiveness	<p>DIEU has suffered equipment failure of its CCTV video identification recording facility. The provision of this equipment is a requirement of PACE/case-law. Equipment was supplied by an external contractor so it is unsupported by Information Services and contents are not managed in accordance with Force requirements. Lack of a robust equipment/IT solution may render prosecutions ineffective where conduct of an ID parade is a key evidential requirement.</p> <p>Update: The ID unit remains in operational service. Nottinghamshire Police await NAV providing an installation date.</p>	Head of Crime Support	Daily	High (4)	High (4)	High (16)		<p>Prioritise use of remaining stable equipment for cases where ID evidence is critical and heavily relied upon.</p> <p>Replace ageing equipment (business case to be developed).</p> <p>Information Services to investigate/provide in-house long term solution and ensure information is managed in accordance with Force standards.</p>	Reasonable

URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
NPF0011	Compliance	<p>Design of custody cell basins, water dispensers and air vent grilles does not meet requirements of APP as they create a potential ligature point, which may result in a detained person being placed in a non-compliant cell and may endanger life of a detained person.</p> <p>Update: A costed report has been received and a meeting is to be set up with Head of Custody to agree a way forward. Plans will be submitted to Transformation Board and Force Executive Group in August for sign off.</p>	Head of EMCJS / Head of Custody (North)	Daily	Very high (5)	Medium (3)	High (15)		<p>Prepare business case for replacement works (Assets dept)</p> <p>Complete installation of replacement fixtures (Assets dept)</p> <p>Feasibility study being progressed and examining what other forces do</p> <p>Wash basins at Bridewell and Mansfield have been replaced with Home Office approved basin.</p>	Substantial
NPF0003	Finances	<p>The Force's appeal against the employment tribunal ruling on use of Reg A19 fails, resulting in the award of compensation to c100 former officers.</p> <p>Update: The Forces appeal against the adverse finding was successful, but the officers appealed against the decision of the Employment Tribunal. The cases will be heard by the Court of Appeal on 31st January 2017.</p>	DCC / Head of East Midlands Police Legal Services	Jan 2017	Medium (3)	Very high (5)	High (15)		<p>Appeal process (EMPLS)</p> <p>Contingent liability in accounts for 2015/16 (NOPCC)</p>	Reasonable

URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
NPF0014	Crime and community safety	<p>Due to a shortage of trained pursuit TAC advisors, and inability to provide training through EMOpSS to increase capacity, a vehicle pursuit has to be abandoned when it would have been beneficial to continue.</p> <p>Update: Around 60 members of FCR across the region including Nottingham have been trained in both the Pursuit Manager and TacAd role. However, the force is still short of sufficiently trained staff but is working with driver training and EMCHRS to address the issue.</p>	Ch Insp, Contact Management	Daily	Medium (3)	High (4)	High (12)		<p>Decision to prioritise TAC advisor training is being pursued.</p> <p>Timing of shifts to ensure cover</p> <p>Regional training coordinated by EMOpSS and EMCHRS</p>	Reasonable
NPF0006	Operational efficiency and effectiveness	<p>Closure of Bridewell custody following mechanical or electrical failure, resulting in significantly reduced custody provision</p> <p>Update: A costed report has been received and a meeting is to be set up with Head of Custody to agree a way forward. Plans will be submitted to Transformation Board and Force Executive Group in August for sign off.</p>	Head of EMCJS / Head of Custody (North)	Next 2 years	Medium (3)	High (4)	High (12)		<p>Business case to replace ageing equipment (Assets department)</p> <p>Custody business continuity plan to divert to other forces (EMCJS)</p>	Substantial

URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
NPF0001	Operational efficiency and effectiveness	<p>Force telephony infrastructure is nearing the end of its operational life, increasing the probability of critical failure resulting in temporary loss of internal & external communications capability.</p> <p>Update: The replacement for the Control Room telephony is scheduled to go live on 12th September 2016. Our delivery partner, BT, has created a number of issues with regard to the progress of the project due to late turnaround of tasks. Due to a number of difficulties BT have agreed to extend the support for Control Room telephone from September 2016 to January 2017.</p> <p>Support for the Siemens DX that supports the force ends in 2017. The replacement for the force-wide telephony is ongoing and will continue into next year.</p>	<p>Head of Information Services/</p> <p>Infrastructure & Service Delivery Manager</p>	2016/17	Medium (3)	High (4)	High (12)		<p>Replace Force-wide & control room telephony (IS dept)</p> <p>The support for the Control Room telephony has been extended to Jan 2017.</p> <p>We have engaged the support of EMSCU to assist with delivery partner issues.</p> <p>Contact Management business continuity plans to divert calls to other forces (CM dept)</p> <p>Control Room telephony delivery is on track for 12th Sept 2016.</p>	Reasonable

URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
NPF0007	Life and safety	<p>Clogging of air ducting at the Bridewell impedes fire detection and containment measures, resulting in a fire safety incident which endangers the lives of officers, staff, detained persons and visitors.</p> <p>Update: A costing report has been received and a meeting is to be set up with Head of Custody to agree a way forward. Plans will be submitted to Transformation Board and Force Executive Group in August for sign off.</p>	Head of EMCJS / Head of Custody (North)	Next 2 years	Low (2)	Very high (5)	Medium (10)		Prepare business case for replacement fixtures or cleaning existing ducting (Assets dept)	Reasonable

URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
NPF0010	Environment	<p>Excessive fuel spillage at one of the Force's underground storage tank sites that does not have a fuel interceptor (Ollerton, Hucknall, Oxclose Lane & Sutton in Ashfield) results in pollution of the local watercourse</p> <p>Update: A business case is being produced on bunkered fuel. This will be submitted to Transformation Board for approval.</p>	Head of Assets / Building Surveyor	Next 12 months	High (4)	Very low (1)	Low (4)		<p>Review long term options for bunkered fuel sites (Assets dept)</p> <p>Spillage response measures in place - spill kits, notices (Assets dept)</p>	Reasonable
NPF0013	Life & safety	<p>The design of stainless steel WC pans in custody (70+ cells) enables a detained person to secure a ligature under the rim, resulting in an incident which endangers their life</p> <p>Update: A costed report has been received and a meeting is to be set up with Head of Custody to agree a way forward. Plans will be submitted to Transformation Board and Force Executive Group in August for sign off.</p>	Head of EMCJS / Head of Custody (North)	Daily	Very (1)	Very high(5)	Low (5)		Review the facilities and recommend whether the risk should be accepted or avoided (Health & safety, Assets and Custody)	Substantial

Proposed new risks

URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Response plan	Risk rating confidence
	Operational efficiency and effectiveness	<p>The Force has produced a Police officer reduction profile to 2020. This profile shows officers leaving through retirement and natural leavers. This profile enables the force to meet its reducing financial budgets. However there is a risk that by reducing officer numbers and not replacing officers as they leave the force will not be able to operate effectively.</p> <p>In 2016/17 the Force has a saving requirement of £12M. The rate of leavers is exceeding the anticipated glide path and whilst it provides confidence in meeting financial targets it present a risk in terms of operational effectiveness. A reduction in Officer numbers beyond the original target may lead to the Force being unable to maintain agreed service levels.</p> <p>This may lead to operational ineffectiveness which could ultimately impact on crime levels and community safety.</p>	DCC Torr/ Supt, DtF	April 2018	Low (2)	Very high (5)	Medium (10)	<p>Each thematic lead has been asked to produce a business case outlining how their area will operate within the targeted establishment. Business cases will be completed by end of October 2016. Once complete each business case will be assessed by a third party who will carry out a priority based budgeting exercise to determine where resource is required.</p> <p>A new Cohort of 14 officers, who were previously 'on hold', will commence training in November 2016.</p> <p>Recruitment of Police Officers is proposed in April 2017.</p>	Reasonable

URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Trend	Response plan
	Finances	<p>Due to the significant £7.7m overspend, the Force has less reserves to rely on. Contributory factors to this risk are –</p> <ul style="list-style-type: none"> - The Force didn't deliver £3.5m efficiencies - The Force encountered £3.6m budgeting errors - The Force had general overspend in specific areas such as overtime. <p>This may impact upon current and future activity</p>	Temporary Head of Finance	April 2017	Low (2)	Very high (5)	Medium (10)	<p>Appointment of Temporary Head of Finance</p> <p>Improved budget monitoring</p> <p>Force Executive Board's agreement to Action Plan</p>	Reasonable

Closed risks

URN	Risk description	Reason for closure	Date closed	Closed by
NPF 0015	Financial forecasting indicates higher spending than income. The Force currently anticipates that £9.3m of reserves will have to be utilised to balance the budget for the year end 2015/16. Reduction in resources spending will impact upon current and future activities and service delivery.	<p>£7.7m was taken from the reserves to balance the budget for the year end 2015/16. This will create a greater risk in relation to future spending for the force</p> <p>Closure recommended due to budget end</p>	29.06.2016	DCC/ Temporary Head of Finance

For Information / Consideration	
Public/Non Public*	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	15th September 2016
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
Other Contacts:	Brian Welch
Agenda Item:	13

INTERNAL AUDIT REPORT

1. Purpose of the Report

- 1.1 To provide members with an update on progress against the Internal Audit Annual Plan for 2016-17 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 2016-17



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

Internal Audit Progress Report 2016/17

September 2016

Presented to the Joint Audit & Scrutiny Panel meeting of: 15th September 2016

Contents

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

Appendices

- A1 Summary of Collaboration Reports 2015/16
- A2 Summary of Reports 2016/17
- A3 Internal Audit Plan 2016/17
- A4 Definition of Assurances and Priorities
- A5 Contact Details
- A6 Statement of Responsibility

01 Introduction

- 1.1 The purpose of this report is to update the Joint Audit & Scrutiny Panel (JASP) as to the progress in respect of the 2016/17 Internal Audit Plan that considered and approved by the JASP at its meeting on 11th February 2016.
- 1.2 The Police and Crime Commissioner and Chief Constable are responsible for ensuring that the organisations have proper internal control and management systems in place. In order to do this, they must obtain assurance on the effectiveness of those systems throughout the year, and are required to make a statement on the effectiveness of internal control within their annual report and financial statements.
- 1.3 Internal audit provides the Police and Crime Commissioner and Chief Constable with an independent and objective opinion on governance, risk management and internal control and their effectiveness in achieving the organisation's agreed objectives. Internal audit also has an independent and objective advisory role to help line managers improve governance, risk management and internal control. The work of internal audit, culminating in our annual opinion, forms a part of the OPCC and Force's overall assurance framework and assists in preparing an informed statement on internal control.
- 1.4 Responsibility for a sound system of internal control rests with the Police and Crime Commissioner and Chief Constable and work performed by internal audit should not be relied upon to identify all weaknesses which exist or all improvements which may be made. Effective implementation of our recommendations makes an important contribution to the maintenance of reliable systems of internal control and governance.
- 1.5 Internal audit should not be relied upon to identify fraud or irregularity, although our procedures are designed so that any material irregularity has a reasonable probability of discovery. Even sound systems of internal control will not necessarily be an effective safeguard against collusive fraud.
- 1.6 Our work is delivered in accordance with the Public Sector Internal Audit Standards (PSIAS).

02 Summary of internal audit work to date

- 2.1 As reported in the last progress report, as part of the 2015/16 Internal Audit Plan, Internal Audit were tasked with undertaking four audits of collaborative arrangements across the region. Further to the last progress report, where we had issued one final collaborative report in respect of Forensics, we have now issued the final reports in respect of the other three audits. Further details are provided in Appendix 1, whilst a summary is provided below.

Collaboration 2015/16 Audits	Report Status	Assurance Opinion	Priority 1 (Fundamental)	Priority 2 (Significant)	Priority 3 (Housekeeping)	Total
Forensics	Final	Satisfactory	-	3	2	5
Officers in Kind	Final	Significant	-	-	3	3
Covert Payments	Final	N/A	-	2	1	3
PCC Board Governance	Final	N/A	-	3	4	7
Total			0	8	10	18

- 2.2 We have issued one final report in respect of the 2016/17 plan since the last progress report to the JASP, this being in respect of Implementation of the Duty Management System. We have also issue a draft report in respect of Data Protection Act Compliance and management are currently considering their response. Additionally, we have undertaken a number of pieces of work outside of the audit plan, as requested by the OPCC Chief Finance Officer, the results of which have largely been in the form of a memorandum. Further details are provided in Appendix 2.

Nottinghamshire 2016/17 Audits	Report Status	Assurance Opinion	Priority 1 (Fundamental)	Priority 2 (Significant)	Priority 3 (Housekeeping)	Total
Implementation of DMS	Final	Limited	3	3	2	8
Data Protection Act Compliance	Draft					
Estates Strategy	Final	N/A				
Establishment Reconciliation	Draft	Satisfactory	-	2	2	4
Commissioning Framework	Final	N/A				
Overtime Payments	Final	N/A				
Total			3	5	4	12

2.3 In line with the commitment to follow up Internal Audit recommendations made, Internal Audit have followed up previous recommendations and a separate report gives an overview of activity undertaken to verify implementation of audit recommendations made as a result of 2015/16 audits. The review focused on priority 1 and 2 recommendations where agreed implementation dates had now passed, although lists all recommendations irrespective of implementation date. The report covers only those audits where a dedicated follow-up has not been planned for 2016/17. As a consequence, recommendations in respect of the following 2015/16 audit reports will be reported separately:

- Core Financial Systems
- Procurement
- Savings Programme

2.4 Linked with above, Internal Audit have also undertaken a follow-up of the recommendations made as a consequence of the 2015/16 audit of the Core Financial Systems as a consequence of the limited assurance opinion provided and concerns raised by management. Further details of our findings are provided in Appendix 2.

2.5 Work is currently in progress with regards the audits of the Savings Programme and Effective Audit & Scrutiny, whilst we are in the process of agreeing the scope of a number of audits that will be carried out over the coming months. These include Data Quality, Procurement and the Core Financial Systems, the latter of which will build upon the follow-up work referred to above and include detailed testing within the Multi-Force Shared Service (MFSS). Further details are provided within Appendix A3.

2.6 Following discussions between the OPCC Chief Financial Officers and the Chairs of the joint committees, five specific areas have been identified in terms of the collaborative audits for 2016/17. In each case a lead officer (OPCC CFO) has been identified as a single point of contact. The initial reviews will look at the business plan and S22 agreement in terms of whether it is being delivered and is fit for purpose going forward; the scope will also include value for money considerations and arrangements for managing risk. The areas of collaboration that will form the focus of these initial reviews are:

- EMCHRS Transactional Services
- EM Legal Services
- EMOpSS
- EMS Commercial Unit
- EMSOU

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 JASP	As agreed with the Client Officer	N/A
2	Annual Operational and Strategic Plans to the JASP	As agreed with the Client Officer	Achieved
3	Progress report to the JASP	7 working days prior to meeting.	Achieved
4	Issue of draft report	Within 10 working days of completion of final exit meeting.	100% (7/7)
5	Issue of final report	Within 5 working days of agreement of responses.	100% (12/12)
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 Collaboration Reports 2015/16

Below we provide brief summaries of the three collaboration final audit reports that were in draft at the time of the previous progress report:

Officers in Kind

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

The East Midlands Specials Operation Unit (EMSOU) is a regional tasking structure where officers from each of the five forces can be assigned to EMSOU on an ad hoc basis to investigate certain crimes. The resources for EMSOU are separated into two types of posts:

- Funded Posts
- Officers in Kind

The salary costs of Force Officers in funded posts will be reimbursed to the forces from EMSOU's budget whilst the salary costs of 'in kind' posts will be borne by each individual force.

The Section 23 Collaboration agreement that is in place states that the funding of these 'in kind' posts are to be attributed to each force based on the formula grant that each force received as a percentage of the total of the five forces grant combined.

However, as the number of officers seconded to work for EMSOU may not precisely reflect the above split, the agreement states that year-end adjustments are to be made to account for forces that have provided officers above or below their allocation. The adjustments take into account actual staffing costs incurred by Forces taking into account the ranks of officer provided.

Our audit considered the following area objectives:

- There are clear and agreed procedures in place between EMSOU and each regional force with regards the funding model for officers in kind.
- Costings in respect of officer in kind funding are understood, accurate, supported by a clear funding model and are communicated to the regional forces in a timely manner.
- Estimates of each forces contribution are given at the outset and supported by monthly outturn projections.
- Charges made to the regional forces are supported by clear documentation / funding assumptions.
- Variations to the number and grade of officers provided by each regional force are taken into account within the funding model, including year-end adjustments.
- There is clear, timely and complete management information in place to support the funding model and to enable forces to manage their budgets.
- Each regional force has sound budget processes in place that enable them to manage officer in kind payments, including projected year-end adjustments.
- The current accounting procedure and process for the treatment of Officers in Kind is an efficient and effective model for the secondment of officers working in regional units.

We raised three priority 3 recommendations of a housekeeping nature. These are set out below:

- A timetable for the year should be agreed and shared with the Forces to give them more notice of when their Officers in Kind returns are due.
- Once SMT have reviewed the Officer in Kind forecasts they should be emailed to the Forces to assist them by having a monthly update rather than await the quarterly meeting.
- The current year-end adjustments made under the Officers in Kind funding model should be reviewed with alternative approaches considered, including:
 - Removing the year-end adjustments for Officers in Kind contributions, accepting that some Forces will over allocate and some will under allocate but across all East Midlands collaboration work the costs are fairly spread.
 - Agreeing with the five forces a different methodology for the current ratios of resources expected e.g. use other indicators outside of the size of formula grant.

Management confirmed that most actions will be undertaken by 31st August, although some may take to the end of the financial year.

Covert Payments

Assurance Opinion	N/A
--------------------------	-----

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

The East Midlands Specials Operation Unit (EMSOU) is a regional tasking structure where officers from each of the five forces can be assigned to EMSOU on an ad hoc basis to investigate certain crimes.

The Covert Unit is one of the branches of EMSOU and due to the sensitive nature of their work it has a variety of separate systems in place to protect the identity of Covert Officers, the locations in which they operate and the payments made in relation of their work.

The Covert Unit have a small Finance and Admin Team who manage the finances of the unit using SAGE accounting software however it is not operated like a standard financial system with supplier set up and payments made out of it. Instead, a series of designated bank accounts are set up with transfers made via internet banking, with the transactions entered in the SAGE system to account for movement of funds.

The audit review considered the following control objectives:

- Procedures and policies are in place to support the effective administration of the function and are communicated to all relevant staff.
- There are clear and understood procedures in place for the authorization and setting up of bank accounts.
- Transfers between bank accounts are approved and documented.
- Systems and data are adequately protected to reduce the risk of them being open to abuse.
- New and amended vendor details can only be processed by authorised officers.
- There are agreed and effective processes in place for the authorisation of covert payments.
- Payments made in respect of covert activities are valid and appropriate.

- There are effective controls in place with regards accounting for covert payments.
- Timely and accurate management / payment information is available to support the delivery of covert activities.

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

- EMSOU should research the possibility of utilising business online banking where segregation of duty for authorising payments is possible.
- A regular review of payees on the bank accounts should be completed to ensure that no inappropriate amendments or additions of payees have been made on the covert bank accounts.

We also raised a housekeeping issue with regards signing and dating invoices.

Management confirmed that all actions will be undertaken by the end of October 2016.

PCC Board Governance

Assurance Opinion	N/A
Recommendation Priorities	
Priority 1 (Fundamental)	-
Priority 2 (Significant)	3
Priority 3 (Housekeeping)	4

The East Midlands Police and Crime Commissioners Board was established in 2012. Membership of the Board comprises the Police and Crime Commissioners, Chief Constables, the Regional Deputy Chief Constable and Office of the Police and Crime Commissioner (OPCC) Chief Executives. The Board meets on a bi-monthly basis with the Chairmanship held by one of the five PCC's and rotated on an annual basis.

The Boards initial remit (as per the 2012 Terms of Reference) included the review of financial and performance reports at each of its meetings and oversee the development of strategic collaborations and ensure appropriate financial and administrative infrastructures are in place to support regional activities.

Our audit considered the following area objectives:

- *Governance Arrangements* - There are defined arrangements for the Board with documented roles and responsibilities, accountability and decision making processes. Structure of meetings is effective and outcomes, actions and decisions are well documented.
- *Collaboration Arrangements* - There is effective oversight of Section 22 collaboration arrangements to ensure the effective use of resources and delivery of required outcomes.
- *Decision Making* - Decision making processes are clearly defined and operate effectively to ensure transparency in terms of value for money and effective use of resources.
- *Change Management* - Horizon scanning is undertaken to ensure informed change managements. Considerations of changes in responsibility and 'churn' of officers is embedded with the board operations.
- *Performance Management and Accountability* - There is a consistent approach to performance management and ensuring accountability of Chief Constables. Financial planning and budget approval for regional collaboration is consistent and effective.

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

- A Governance Framework should be produced to support the operation of the PCC Board. This should define and consider, as a minimum,:
 - Objective, role and purpose of the Board;
 - Strategic oversight arrangements;
 - Reporting requirements (operational and financial);
 - Clear accountability and delegations for collaboration activity;
 - Compliance management procedures
 - Decision making processes; and
 - Risk management processes.
- A Strategic Plan should be produced to provide oversight of the current collaboration arrangements, associated activity and future direction or creation of new collaborations.

It would be beneficial for the strategic plan to illustrate a high level overview of each existing collaboration alongside, for example, key targets and milestones, financial budgets/ associated costings, any required efficiency savings and any significant change or transformation considerations.

There is also an opportunity for the plan to be supported by a Strategic Risk Register developed as part of the Controls Assurance Statement work being progressed with RSM.

The plan and risk register should be updated on a quarterly basis and presented to the PCC Board to enable oversight of all collaborative activity in a consistent and regular format.

- The current performance reports should be reviewed by the Board to establish:
 - High level aims and objectives of each collaboration;
 - Quantifiable targets to support these aims and objectives;
 - Reporting of targets against aims and objectives; and
 - Value for money assessments.

Where collaborations are operating as business as usual, a high level performance reporting template should be used to evidence that operations are meeting their aims and objectives.

We also raised four housekeeping issues with regards the Board's Terms of Reference and Work Programme, the decision making process and value for money.

Management confirmed that all actions will be undertaken by the end of the financial year.

Appendix A2 – Summary of Reports 2016/17

Below we provide brief outlines of the work carried out, a summary of our key findings raised and the assurance opinions given in respect of the final reports issued since the last progress report:

Implementation of Duty Management System

Assurance Opinion	Limited
Recommendation Priorities	
Priority 1 (Fundamental)	3
Priority 2 (Significant)	3
Priority 3 (Housekeeping)	0

The audit covered the following control objectives:

Policies, Procedures and Guidance

- Roles, responsibilities and ownerships in respect of the DMS system and the data contained within it are clearly defined.
- Procedures and policies for Nottinghamshire Officers and Staff are in place to support the efficient and effective management of the DMS System, including operational requirements, appropriate access, training / reference guides and standard operating procedures.
- Guidance is in place for staff on the appropriate use of the system and these are communicated to all relevant staff.

User Access

- Individual user access (including new starters) to the DMS System is adequately controlled to reduce the risk of unauthorised access to information.
- Supervision trees are maintained and individual user profiles have been defined to allow correct access levels.
- Leavers are appropriately removed from the system and any changes to terms and conditions (for example, temporary promotions or return to substantive posts) are regularly reviewed.
- Staff and Officers only have access to relevant information required to fulfil their day to day operations.

Audit Trails and Reconciliation Processes

- The DMS allows reviews of access to individual records to ensure only appropriate personnel are viewing information.
- The DMS system is regularly reconciled to supporting systems to ensure that data is accurate and up to date.

We raised three fundamental (priority 1) recommendations which should be address immediately. Details of the finding, recommendation and response are detailed below:

Recommendation 1	The Force should clarify the roles and responsibilities of the parties involved in the ownership, maintenance and usage of the DMS System. This should include the information asset owners and information security responsibilities.
Finding	<p>A software system should clearly document the roles and responsibilities of the parties who own, operate and maintain it.</p> <p>The system is provided by MFSS who subcontract the software to Crown, although the data held within the system is owned by the Force who are the administrators and users of the system. However, at present there is no overarching governance document that clearly states the roles and responsibilities of the parties involved in the DMS system.</p>
Response	<p>Agreed. Action: Clarify roles and responsibilities of parties involved in the ownership, maintenance and usage of the Duty Management System, to include:</p> <ul style="list-style-type: none"> a) Identification of the information asset owner b) Who has information security responsibility? <p>Link this action to recommendation 4.4. Supervision Trees.</p> <p>The clarification of roles and responsibilities once identified to be communicated on the RMU intranet site.</p>
Timescale	<p>Inspector Craig Nolan, Head of Resource Management Unit (RMU) Development, Nottinghamshire Police</p> <p>31/12/2016</p>

Recommendation 2	A review of the existing trees in the system against the HR structure should be completed to ensure that the trees in the system are correct and that individual users are correctly placed in their respective tree.
Finding	<p>The supervision trees, which control the staff that supervisors have access to, are based on the staff structure, however this is not always hierarchical and therefore staff have to be placed in multiple trees increasing the risk of staff having inappropriate access.</p> <p>Audit walkthrough of supervisor users showed that they were given access to multiple supervision trees. This means the users had access to staff details for staff that they did not supervise.</p>
Response	<p>Agreed. Action:</p> <ul style="list-style-type: none"> a) Review the existing trees in the system against the HR structure to ensure to ensure that the trees in the system are correct and that individual users are correctly placed in their respective tree. b) Once reviewed write a procedure to inform all staff using DMS of their responsibilities particularly in relation to informing DMU that line management have ceased. This new procedure should be put on the library with a link to the RMU Intranet site. A communications to go out on weekly orders to support this new procedure publication. <p>Link this action to recommendation 4.1. System Governance.</p>
Timescale	<p>Anna Turnbull DMS Team Manager Nottinghamshire Police.</p> <p>31/12/2016</p>

Recommendation 3	The Force should raise the issue of system reconciliation with MFSS and ensure that an effective process for reconciling data between Oracle and DMS can be completed on a regular basis
Finding	The data held in the DMS system is received from an interface with the Oracle system and data from DMS is sent to Oracle for payroll purposes. At present there is no process in place to complete data reconciliation between the two systems.
Response	Agreed. Action: Implement a process to ensure the interface of reconciliation data between Oracle and DMS can be completed on a regular basis.
Timescale	Anna Turnbull DMS Team Manager Nottinghamshire Police. 30/04/2017

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

- A Standard Operational Manual should be produced that clearly documents the procedures and processes that should be carried out on the DMS System by administrators. This should include starters, leavers, temporary promotions, amendments to access, etc. Moreover, clear workflows should be produced that shows how requests are to be processed by the RMU, MFSS and Crown.
- A standard level of access should be agreed upon so that it can be consistently applied.
- The Force should determine what reports they require for effective review and monitoring purposes and then request this functionality from MFSS.

Management accepted the recommendations and have put in place plans to address the issues by March 2017.

Core Financial Systems Follow-up of Recommendation

An audit of the Core Financial Systems was carried out in November 2015 as part of the 2015/16 Internal Audit Plan. The resultant report provided limited assurance with regards the control environment, with a number of issues being raised where it was believed that internal controls needed to be strengthened. With the exception of the 'manual payments' recommendation, management accepted the remainder of the issues raised by Internal Audit, and indicated that actions had been or would be taken to address them.

The objective of the audit was to determine the extent to which agreed recommendations have been implemented. The follow-up audit work was carried out through discussions with appropriate staff (with both the Multi-Force Shared Service and the Force), review of documents and testing to confirm the previous agreed recommendations have been implemented and / or mitigating controls are in place where no further action has been taken in respect of a previous recommendation.

A further full internal audit review of the Core Financial Systems is due to take place in quarter three of the 2016/17 financial year as part of the agreed Internal Audit Plan for 2016/17. Where recommendations have not been fully implemented, a revised full implementation date has been requested and these shall be further followed up.

As stated above, the previous report following the Core Financials audit provided limited assurance with regards the control environment, with a number of issues being raised where it was believed that internal controls should be strengthened. Audit provided a total of 13 recommendations to the Force where it was believed the internal control framework could be improved.

This follow-up audit identified that half of the recommendations raised had been fully implemented or compensating controls had been implemented to mitigate the risks identified. The Force should ensure that these controls continue to operate effectively in order to reduce the likelihood of the identified risks materialising. However, there are still a number of issues outstanding that have not been fully addressed by the relevant parties. The recommendations yet to be fully implemented leave the Force open to risk and therefore it is reiterated that these issues should be addressed and revised implementation dates have been sought from the responsible parties in order for the actions to be completed.

In summary, we followed up the 13 recommendations that were made following the 2015/16 internal audit review and have concluded the following:

Recommendation Status	Number of recommendations
Implemented	6
Partially Implemented	5
Outstanding	1
Recommendation Not Accepted	1
TOTAL	13

Appendix A3 Internal Audit Plan 2016/17

Auditable Area	Planned Fieldwork Date	Draft Report Date	Final Report Date	Target JASP	Comments
Core Assurance					
Risk Management	July 2016			Sept 2016	Deferred to Jan 2017 on client request.
Procurement	Nov 2016			Feb 2017	Planned to commence 19 Sept.
Core Financials					
Budgetary Control	Oct 2016			Dec 2016	Planned to commence 17 Oct
Payroll	Oct 2016			Dec 2016	Ditto
Cash, Bank & Treasury	Oct 2016			Dec 2016	Ditto
General Ledger	Oct 2016			Dec 2016	Ditto
Income & Debtors	Oct 2016			Dec 2016	Ditto
Payment & Creditors	Oct 2016			Dec 2016	Ditto
Strategic & Operational Risk					
Implementation of DMS	April 2016	May 2016	June 2016	June 2016	Final report issued.
Savings Programme Follow-up	Sept 2016			Dec 2016	Work in progress.
Human Resources	Jan 2017			Feb 2017	
Data Protection Act Compliance	Aug 2016	Sept 2016		Dec 2016	Draft report issued.

Auditable Area	Planned Fieldwork Date	Draft Report Date	Final Report Date	Target JASP	Comments
Data Quality	Dec 2016			Feb 2017	
Effective Audit & Scrutiny	July 2016			Sept 2017	Work in progress.
Collaboration					
EMCHRS Transactional Services	Sept 2016 – Jan 2017			Dec 2016 & Feb 2017	Generic terms of reference has been issued to the five CFO's for comment.
EM Legal Services	Sept 2016 – Jan 2017			Dec 2016 & Feb 2017	
EMOpSS	Sept 2016 – Jan 2017			Dec 2016 & Feb 2017	
EMS Commercial Unit	Sept 2016 – Jan 2017			Dec 2016 & Feb 2017	
EMSOU	Sept 2016 – Jan 2017			Dec 2016 & Feb 2017	
Other					
Estates Strategy	-	May 2016	May 2016	June 2016	Final memo issued.
Establishment Reconciliation	-	May 2016		Sept 2016	Draft report issued.
Commissioning Framework	-	July 2016	July 2016	Sept 2016	Final memo issued.
Core Financial Follow-up	-	July 2016	July 2016	Sept 2016	Final report issued.
Overtime Payments	-	July 2016	July 2016	Sept 2016	Final memo issued.

Appendix A4 – 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 A5 - Contact Details

Contact Details

Mike Clarkson

07831 748135

Mike.Clarkson@Mazars.co.uk

Brian Welch

07780 970200

Brian.Welch@Mazars.co.uk

A6 Statement of Responsibility

Status of our reports

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

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

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

For Information	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	15th September 2016
Report of:	Julie Mair, Head of Corporate Development
Report Author:	Beverly Topham, Planning & Review Support Officer
E-mail:	beverly.topham@nottinghamshire.pnn.police.uk
Other Contacts:	Natalie Baker, Corporate Governance and Business Planning Manager
Agenda Item:	14

Audit and Inspection Report, Quarter One 2016/17

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 during Quarter One, 2016/17.
- 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 Nottinghamshire Police and its 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 Nottinghamshire Police's internal auditors and external inspectorates, including Her Majesty's Inspectorate of Constabulary (HMIC). They are managed through an activity plan process and updated on a monthly basis.
- 4.2 Appendix 1 'Audit, Inspection and Review Status Report Quarter 1 2016/17' provides a summary of forthcoming audits and inspections that the Force is currently aware of.
- 4.3 Appendix 2 'Audit and Inspection Actions Update Report Quarter 1 2016/17' provides details of specific actions arising from audits and inspections that are

either off target, at risk of being off target, proposed for closure, closed or new actions.

Overdue Actions

4.4 There are currently 4 actions which have exceeded their target date.

Actions at risk of being Overdue

4.5 There are 12 actions showing as 'at risk' of being off target i.e. they will exceed their target date in the next month.

5 Financial Implications and Budget Provision

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

6 Human Resources Implications

6.1 There may be policy implications in relation to the actions listed:

- Joint Code of Corporate Governance
- Nottinghamshire Police's approach to tackling Domestic Abuse (local report)
- PEEL: Police effectiveness 2015 (vulnerability National & Local)
- Welfare of Vulnerable People in Custody.

7 Equality Implications

7.1 There may be equality implications arising from the following reviews of policy and process, each will be considered on a separate basis.

- Child protection and vulnerability in custody.
- Provision of Charging Decisions
- The depths of dishonour: Hidden voices and shameful crimes.
- Welfare of Vulnerable People in Custody.

8 Risk Management

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

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

- 9.1 Any policy implications will be subject to current policy development process.
- 9.2 The following actions relate to aspects of current Police and Crime Plan priorities:
- Vulnerable People in Custody.
 - Domestic abuse action plan.

10 Changes in Legislation or other Legal Considerations

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

11 Details of outcome of consultation

- 11.1 Following receipt of a final audit or inspection report a member of the Governance and Planning team consults with the appropriate Lead Officer and other stakeholders to plan appropriate actions in response to each relevant recommendation, or to agree a suitable closing comment where no action is deemed necessary.
- 11.2 All planned actions are added to the action planning system, (4Action) for management and review until completion.

12. Appendices

- 12.1 Appendix 1: Audit and Inspection Status Report Q1 2016/17
- 12.2 Appendix 2: Audit and Inspection Actions Update Report Q1 2016/17

Appendix 1: Current and forthcoming audits and inspections, Quarter 1 2016/17

Current Audits and Inspections

Date Report Received	Scrutiny Body	Title	Status
February 2016	HMIC	PEEL - Legitimacy	Actions captured and being monitored on 4action.
February 2016	HMIC	PEEL - Effectiveness	Actions captured and being monitored on 4action.
February 2016	HMIC	National Child Protection Inspection. Post Inspection Review 3rd-7th August 2015.	Recommendations are out for management decision.
February 2016	HMIC	Force Leadership Statement.	Actions captured and being monitored on 4action.
Not applicable.	HMIC	Spring Inspection 2016: Legitimacy, Leadership and Efficiency.	Document and data submission returned to HMIC. Fieldwork and debrief completed. Awaiting draft report.
April 2016	CJJI	Delivering Justice in a Digital Age.	Actions captured and being monitored on 4action.
January 2016	MAZARS	Expenses-Light Review	Awaiting authorisation from OoPCC that no action required.
January 2016	MAZARS	Credit Cards-Light review	Actions captured and being monitored on 4action.

Date Report Received	Scrutiny Body	Title	Status
May 2016	MAZARS	Commissioning-Community Safety.	Actions captured and being monitored on 4action.
May 2016	MAZARS	HR Establishment	Recommendations are out for management decision.
June 2016	MAZARS	DMS	Actions captured and being monitored on 4action.
July 2016	MAZARS	Social Value Impact	Actions captured and being monitored on 4action.
Not applicable.	MAZARS	Audit Follow up	Awaiting draft report.
Not applicable.	MAZARS	Overtime Payments Analysis	Awaiting draft report.
8th August 2016	MAZARS	Data Protection and Compliance Act	Audit in progress.

Forthcoming Audits, Inspections and Reports

Date	Scrutiny Body	Title	Update
19th September 2016 for 2 weeks.	HMIC	Autumn Inspection 2016: Effectiveness. (to include data collection for National Thematic on Stalking and Harassment)	Document and data submission returned to HMIC on 8th August 2016. Awaiting draft timetable and methodology.
w/c 5th September 2016	MAZARS	Savings Programme follow up	Draft Terms of Reference received.
January 2017	MAZARS	Risk Management	Awaiting Terms of Reference
tba	MAZARS	POCA-Light Review	Draft Terms of Reference received.
tba	MAZARS	Effective Audit and Scrutiny	Awaiting Terms of Reference

Audit and inspection thematic reports

Date Report Received	Scrutiny Body	Title	Update
September 2015	HMIC	In Harms Way. The Role of the Police in keeping children safe	Recommendations are out for management decision.
March 2016	HMIC	Missing children: who cares? The police response to missing and absent children.	Actions captured and will be monitored on 4action.
March 2016	IPCC	Police use of force: evidence from complaints, investigations and public perception.	Awaiting approval of management decision of actions.
April 2016	HMIC	The tri-service review of the Joint Emergency Services Interoperability Principles (JESIP)	Actions captured and will be monitored on 4action.

Appendix 2: Audit and Inspection Actions Update Report. Quarter 1: 2016/17

Summary	Current	Previous	Trend
Action(s) off target	4	29	↓
Action(s) at risk of being off target	12	6	↑
Action(s) proposed for closure	2	8	↓
New Action(s)	6	7	↓
Total actions	24	50	↓

RAG Key

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 of going off target (within 1 month): 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							
Target date	Recommendation or Issue	Action	Manager Responsible	Source originator.	Source title	Action Status	Action update
30/6/2016	Recommendation: Provide assurance / response to the DCC in relation to final published report: National Child Protection Inspection. Post Inspection Review 3-7th August 2015	Action: Consult with stakeholders and subject matter experts to provide a response to final report. National Child Protection Inspection. Post Inspection Review 3-7th August 2015. Present findings to DCC for scrutiny and approval. Once approved input if needed all activity into 4action.	Julie Mair (Organisational Development Manager)	HMIC	National Child Protection Inspection. Post Inspection Review 3-7th August 2015	Off target	28/07/2016 Det Supt Griffin is due to meet with Moira Munroe from HMIC to finalise the Force's response to this review in August prior to publication"
30/6/2016	Recommendation 11: The force should review the process by which repeat standard risk cases are identified and put in place a means by which these are monitored to ensure risk assessments accurately reflect a series of low level incidents.	Action: Review the process by which repeat standard risk cases are identified and put in place a means by which these are monitored to ensure risk assessments accurately reflect a series of low level incidents.	DCI Leigh Sanders	HMIC	Nottinghamshire Police's approach to tackling Domestic Abuse (local report)	Off target	28/07/2016 TDI Dean: DA has been subject of a process review and this area has been highlighted to the review team who will look at recommendations surrounding this. This process happens in a multi-agency environment within the MASH and DART but the above is to look at what the police response will be. This action is not expected to be finalised until the results of the Peer to Peer review and the Public Protection Business Case have been finalised. A new completion date of November 2016 is proposed.
30/06/2016	Recommendation 9: The force should have a stronger, more formalised process on prevention, identification and management of serial and serious perpetrators, with clear responsibility and actions for officers, including how partner agencies will work with the police to reduce re-offending.	Action: Develop a stronger, more formalised process on prevention, identification and management of serial and serious perpetrators, with clear responsibility and actions for officers, including how partner agencies will work with the police to reduce re-offending.	DCI Leigh Sanders	HMIC	Nottinghamshire Police's approach to tackling Domestic Abuse (local report)	Off target	28/07/2016 TDI Dean has met with Insp Harris and CI Anderson to look at whether this area of perpetrator management can sit within IOM. This is ongoing. This action is not expected to be finalised until the results of the Peer to Peer review and the Public Protection Business Case have been finalised. A new completion date of November 2016 is proposed.
30/6/2016	Recommendation 4.4: The Force should report annually on activity against historic plans and refresh future forecasts and plans accordingly.	Action: Carry out a review to understand the level of resources required to report annually on activity against historic plans and refresh future forecasts and plans accordingly.	Maria Fox (Archive & Exhibits Manager)	Mazars	Proceeds of Crime Act January 2016	Off target	The thrust of this action required a paper to be put before the Transformation Board in respect of certain matters. That has now been completed. Thinking further ahead and in direct response to the wording of the action as opposed to the narrative I think there is a need to report formally to the Force the annual ARIS incentivisation (held by HO and published on performance insight). It needs to be decided what is the best format for reporting to take place. DCC Scrutiny 25/07/2016: Requested copy of final report to put this recommendation into context.
Action(s) at risk of being off target (Overdue within the next month)							
Target date	Recommendation or Issue	Action	Manager Responsible	Source originator.	Source title	Action Status	Action update
31/08/2016	Recommendation: MFSS process maps and desk instructions should be subject to review and update where necessary, following which they should be subject to this process at least annually. Any revisions to instructions should be communicated to all relevant staff	Action: Shelley Foy MFSS Accounts and Purchasing Service Delivery Manager. Review and update map and desk instructions. Introduce a regular updating process to include revisions to instructions to be communicated to all relevant staff	Mark Kimberley (Head of Finance Nottingham)	Mazars	Core Financials February 2016	At Risk	Follow up visit from MAZARS auditors on 05/07/16 states: , audit obtained the reviewed desk instructions and noted that the date of the documents was either the same as previous or was not evident. Additionally, the following is not evident on the desk instructions: • Version control; • Last review date; • Next review date; and, • Name of reviewer. Therefore, there is no evidence of when the review took place, who completed the review and when the next review is due and so audit could not confirm, other than through discussion, that a review of all the desk instructions had taken place. It has therefore been concluded that this recommendation has been partially implemented and it has been agreed that further updates will be completed by the end of August 2016. DCC Scrutiny 25/07/2016. Supports end August as new completion date
31/08/2016	Provide assurance / response to the DCC in relation to final published report.: In harms way: The role of police in keeping children safe.	Action: Consult with stakeholders and subject matter experts to provide a response to final report. Present findings to DCC for scrutiny and approval. Once approved input if needed all activity into 4action.	Natalie Baker (Corporate Governance and Business Planning Manager)	HMIC	In harms way: The role of policing in keeping children safe.	At Risk	Update: Still collecting responses from Key stakeholders and subject matter experts. Request target completion date be changed to end August 2016. DCC Scrutiny 25/07/2016: Approval to extend the target completion date to end August.
31/08/2016	Recommendation: The police and CPS should ensure that a formally agreed common naming convention covering all document types is consistently applied	Action: Formally agree with CPS a common and consistent naming convention covering all document types.	Janet Carlin	CJJI	Delivering Justice in a Digital Age	At Risk	Update 13/7/16 (JC) - The workshop on the 5th July took place and the phase two of naming conventions is now in draft form. For the most part the technical solutions are easy to determine in Niche however there are some which need further work (Phase 1 and 2) and a meeting took place on 12th July between East Midlands CJ, CPS and Niche technical leads to find a solution for the region. This is being designed and hopefully a solution for delivery will be put into place within the next two months. It does however, rely upon officers inputting details correctly and in the right field in order for the correct information to be transferred. Information on how this is to be achieved will be provided once the technical solution is built and ready to be delivered. any non-compliance therefore would need to be reported back to force to take remedial action. DCC Scrutiny 25/07/2016: Update comment noted.

Target date	Recommendation or Issue	Action	Manager Responsible	Source originator.	Source title	Action Status	Action update
31/08/2016	Recommendation: National Police Chief's Council, CPS and Her Majesty's Courts and Tribunals Service undertake a comprehensive national cost and benefits assessment resulting from digitalisation implementation. This should be informed by information from a local level	Action: Undertake a comprehensive cost and benefits assessment resulting from digitalisation implementation, informed by information from the local Digital Working Group.	Janet Carlin	CJJI	Delivering Justice in a Digital Age	At Risk	Update J Carlin 13/07/2016: This is a national action and not one which will be directed locally. Nottinghamshire Police will need to respond to whatever is put to us as and when it arrives. It may come via the Chief Constable who will pass it to Ch Supt Julia Debenham Head of East Midlands Criminal Justice or it may go straight to Ch Supt Debenham who will respond accordingly. Whilst there may be some benefits realisation from Niche, this is a much wider area of work and across several agencies. DCC Scrutiny 25/07/2016: Update comment noted.
31/08/2016	Recommendation 8: With the CPS and courts, the force should reduce the double listings of domestic abuse cases to improve victim engagement and attendance.	Action: With the CPS and courts, the force should reduce the double listings of domestic abuse cases to improve victim engagement and attendance.	DCI Leigh Sanders	HMIC	Nottinghamshire Police's approach to tackling Domestic Abuse (local report)	At Risk	Update: With the advent of NICHE there should be no double bookings / listings as it is an automatic system that enables regional custody suites to bail to Nottinghamshire DA courts. However at the last Domestic and Sexual Violence Action Delivery Board (where both CPS and Court representatives attend) it would still appear that both a) Double listings still occur as does B) Persons charged do not appear on the court listings. To that extent, there must still be teething issues with NICHE and within the custody process. To liaise with NICHE project board and head of custody to establish where the difficulty exists with what appears to be an automated service. DCC Scrutiny 25/07/2016: Update comment noted.
31/08/2016	Recommendation: The force should improve the way it works with partners to share information and safeguard vulnerable people, specifically in relation to addressing the backlog in cases that require further assessment and referring to other organisations.	Action: DCI Sanders to work with the Head of Children's Services Clive Chambers to reorganise the structure of Safeguarding. Review and update as necessary Information Sharing Agreements. Publish any new agreements on the library and communicate this through a weekly order.	Det Supt Robert Griffin	HMIC	PEEL: Police effectiveness 2015 (vulnerability National & Local)	At Risk	Update: Leigh Sanders still working with Clive Chambers on the restructure. Request to extend target completion date to take into account the complexity of this work. (Jan 2017) DCC Scrutiny 25/07/2016: Immediate update needed please. Need to determine what the specific difficulties are with completing this activity and why an extension to the end of Jan 2017 is required.
31/08/2016	Recommendation: 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)	Action: Nottinghamshire Police Contract lead to ensure MFSS to carry out an audit and data cleanse the suppliers from the system. Communication to be sent out advising staff to use existing suppliers before procuring from new suppliers. Communication to be sent out advising staff to use existing suppliers before procuring from new suppliers	Ronnie Adams (Commercial Director Procurement)	Mazars	Procurement January 2016	At Risk	Lindsey Stillings, 01.8.2016: The Force needs to ask MFSS to provide a list of suppliers. Finance colleagues will consult with key individuals in Force to ascertain which, if any suppliers, can be purged from the list. Lindsey has asked Paul Dawkins for an update on this, Paul Dawkins to check with Mark Kimberley and update.
31/08/2016	Recommendation: Consideration should be given to monitoring purchases below £25,000 across the shared service forces.	Action: Nottinghamshire Police Contract lead to ensure MFSS take on responsibility to ensure that all low value spend is aggregated (passing to EMSCU above £25k), and suppliers are contracted through joint arrangements. Action: EMSCU to monitor and report under £25,000 spend in Nottinghamshire. EMSCU to also identify where multiple contracts could be amalgamated to deliver greater economies of scale and further savings	Ronnie Adams (Commercial Director Procurement)	Mazars	Procurement January 2016	At Risk	Lindsey Stillings, 01.08.2016: Awaiting update from Ronnie Adams.
31/08/2016	Recommendation 5: All police forces have effective processes for the supervision and management of pre-charge bail in accordance with Authorised Professional Practice (paragraph 5.30).	Action: Review and develop a scorecard through the VOLT and the regional EMCJS process. Update the procedure to make reference to the scorecard and communicate the changes.	Ch Supt Julia Debenham	CJJI	Provision of Charging Decisions	At Risk	LJ update 06/07/2016: Bail plan for region agreed at SMT, debated at SCG. For Notts bail plan is already in place for most part with bail Sgts. Notts perform is generally better than rest of region for this reason. DCC Scrutiny 25/07/2016: An update will be provided by Ch Supt Debenham at FEB in September.
31/08/2016	Recommendation 4.9: The reports detailing officers who are still to complete the Victims Code training should be located and the system for following up non compliance established to provide assurance that all officers are adequately trained to ensure compliance with the Code.	Action: Contact EMCHRS and ensure they provide 6 monthly updates on who has completed Compliance with the Code Training. This to be circulated to Heads of Department for appropriate action.	T/Ch Insp Andrew Goodall	Mazars	Victim Code of Practice	At Risk	DCC Scrutiny 28/06/2016 DCC questions, do we need to do the same as West Midlands Police and if so link in with EMCHRS and work with them? DCC Scrutiny 25/07/2016: Update needed please.
31/08/2016	Recommendation 14: Local Safeguarding Children's Boards (LSCBs) should hold police forces and local authority children's services to account for the provision of services to divert children away from custody and provide support as required in law to children in custody. Police forces urgently should work with local authorities and LSCBs to: a) develop joint strategies that equip frontline staff to manage the behaviour of children looked after by the local authority so that detention is a last resort; b) ensure that no child who is looked after by the local authority is denied accommodation by them; c) share data, as collected under recommendation 1, to inform local joint strategic needs assessments on safe accommodation requirements for children; d) record and report to the LSCB the number of children held in custody (and their legal status), the efforts made to secure alternative accommodation and the reasons for failing to do so (with plans to address them); and e) promote joint engagement with local Magistrates' Associations to support a common, cross-agency understanding of relevant terminology, in particular the distinction between 'safe' and 'secure' accommodation.	Action. Nottinghamshire Police will work with Local Safeguarding Boards and local authorities to divert children away from custody. The force will also help to - a) develop joint strategies that equip frontline staff to manage the behaviour of children looked after by the local authority so that detention is a last resort; b) ensure that no child who is looked after by the local authority is denied accommodation by them; c) share data, as collected under recommendation 1, to inform local joint strategic needs assessments on safe accommodation requirements for children; d) record and report to the LSCB the number of children held in custody (and their legal status), the efforts made to secure alternative accommodation and the reasons for failing to do so (with plans to address them); and e) promote joint engagement with local Magistrates' Associations to support a common, cross-agency understanding of relevant terminology, in particular the distinction between 'safe' and 'secure' accommodation.	Ch Supt Julia Debenham	HMIC	Welfare of Vulnerable People in Custody	At Risk	Update LJ 07/07/2016: discussion has taken place with Supt Rob Griffin who will take the finalised data to the Local Safeguarding Children's Board. A section 38 agreement has been signed by the force and Insp Neil Smith is developing this agreement and the National Children's Concordat to ensure certificates of detention are included on the necessary files. A single email address has been created to allow review of those cases where the Magistrates have any concerns. A performance Health Check was sent as evidence of this work. DCC Scrutiny 25/07/2016: An update will be provided by Ch Supt Debenham at FEB in September.
31/08/2016	Recommendation 9: Police forces should establish a race equality governance framework linked to the force's risk register. This framework should include: a) collection of core data sets by ethnicity b) development of a common understanding of the current situation through analysis of the data and engagement with Independent Advisory Groups and local communities; c) plans to make improvements to practice where this is identified as being necessary; and d) establishing appropriate leadership and governance structures to oversee and make sure the work is carried out.	Action: Nottinghamshire Police to establish a race equality governance framework linked to the force's risk register. The framework will include:- a) collection of core data sets by ethnicity; b) development of a common understanding of the current situation through analysis of the data and engagement with Independent Advisory Groups and local communities; c) plans to make improvements to practice where this is identified as being necessary; and d) appropriate leadership and governance structures to oversee and make sure the work is carried out.	Ch Supt Julia Debenham	HMIC	Welfare of Vulnerable People in Custody	At Risk	DCC Scrutiny 28/06/2016: Please can LJ or JD arrange to present all HMIC activity to the next most convenient Force Executive Board so COT can be assured that the recommendations have been dealt with. DCC Scrutiny 25/07/2016: An update will be provided by Ch Supt Debenham at FEB in September.

Proposed for closure.							
Target date	Recommendation or Issue	Action	Manager Responsible	Source originator.	Source title	Action Status	Action update
18/6/2016	Recommendation: The workforce is not universally aware of the coaching and mentoring scheme, which is an area that the force could improve. This means the force may not fully identify the talent available in the organisation.	Action: Re-promote Force-wide (via Corporate Communications) coaching and mentoring development opportunities. This will assist line managers to help support their team's PDR conversations, understand what talent development processes exist and how individuals can potentially access a Force mentor or coach.	James Lunn (Senior HR Partner)	HMIC	Leadership 2015	Recommend Complete	IH update 22/07/2016: Guidance information for line managers regarding the process for accessing either coaching and mentoring support is provided on the Force PDR intranet page. A specific coaching and mentoring section will be incorporated into the online PDR documentation from the start of the 2017/18 PDR year. This will call a manager's attention to the coaching and mentoring process, how it works and what a manager needs to do. The Leadership and Management Development function has regular direct contact with senior leaders and will continue to highlight the role and the importance of coaching and mentoring opportunities for their officers and staff. Coaching and mentoring also clearly feature within internal promotion processes, as part of the development options running alongside the work-based assessment stage. As part of the expected tri-force Organisational Development and Leadership Strategy, opportunities to create a shared coach and mentor pool with local Fire and Rescue Services will be explored. DCC Scrutiny 25/07/2016: DCC will review Ian Hebbs comment and reconsider completion of this activity. BT to send update.
30/9/2016	Recommendation 11.2 and joint working structures in place to ensure an integrated approach to HBV, FM and FGM between police forces and other agencies.	Action: 11.2 Develop joint working structures to enable an integrated approach to HBV, FGM and FM between police forces and other agencies.	Det Supt Robert Griffin	HMIC	The depths of dishonour: Hidden voices and shameful crimes.	Recommend Complete	Nottinghamshire Police have reviewed and updated their own procedures/policies in all three of these fields. FGM – there is a cross authority strategic group, chaired by consultant paediatrician/DCI Bowden. Attendees are from all partner agencies and include NGO's. The purpose of the group is to develop and deliver a robust strategy to prevent babies, infants, children and young women from undergoing this illegal procedure and identify and support women affected by FGM. To manage and co-ordinate the development and implementation of the overarching strategy. To develop and implement individual areas of the FGM action plan through multi agency and integrated working practices in conjunction with robust community engagement, consultation and development. Analyse, interpret and disseminate the results of local and national epidemiology. Ensure FGM is integral to multiagency safeguarding: Adults and Children referral pathways. Ensure FGM is embedded within all Domestic Violence cases (including children). Develop, promote and monitor training provision and uptake. Promote and support local community engagement. Develop robust commissioning systems which will improve access to appropriate services including but, not exclusively: maternity, paediatric, obstetrics and mental health services. The Female Genital Mutilation Board will provide leadership, guidance and expertise for the successful identification and prevention of FGM. It will ensure that key leaders, experts and officers are engaged in the governance structure at the appropriate level. It will also ensure robust project, financial and information management. The Group will be accountable to the Nottingham City Adults and Children's Safeguarding Boards and Nottinghamshire County Adults and Children's Safeguarding Boards. This group has produced a clear working practice for all partners to adhere to. Best practice and current guidance are distributed to all partners. HBA/FM – there are single authority groups looking at these areas under the DSVa in the City and a Task and Finish Group in the county whose purpose it is to improve practice/reporting and raise awareness in these areas. Request to show this as complete. DCC Scrutiny 25/07/2016. Support completion once I have seen the ToR and membership for the strategic group.

New Actions in last quarter							
Target date	Recommendation or Issue	Action	Manager Responsible	Source originator.	Source title	Action Status	Action update
31/12/2016	Recommendation 4.3: A standard level of access should be agreed upon so that it can be consistently applied.	Action: Agree a standard level of access so that it can be consistently applied.	Insp Craig Nolan	Mazars	Implementation of DMS June 2016	On Target	
31/12/2016	Recommendation 4.2: A Standard Operational Manual should be produced that clearly documents the procedures and processes that should be carried out on the DMS System by administrators. This should include starters, leavers, temporary promotions, amendments to access. Moreover, clear workflows should be produced that shows how requests are to be processed by the RMU, MFSS and Crown.	Action: Write a Resource Management Unit 'in house' manual of guidance that clearly identifies all the maintenance functions of the Duty Management System.	Insp Craig Nolan	Mazars	Implementation of DMS June 2016	On Target	
30/4/2017	Recommendation 4.5 The Force should raise the issue of system reconciliation with MFSS and ensure that an effective process for reconciling data between Oracle and DMS can be completed on a regular basis	Agreed. Action: Implement a process to ensure the interface of reconciliation data between Oracle and DMS can be completed on a regular basis.	Insp Craig Nolan	Mazars	Implementation of DMS June 2016	On Target	
30/4/2017	Recommendation 4.6 The Force should determine what reports they require for effective review and monitoring purposes and then request this functionality from MFSS,	Action: Review and introduce Myanalytics as a dashboard for users to enable the running of reports for effective review and monitoring purposes.	Insp Craig Nolan	Mazars	Implementation of DMS June 2016	On Target	
31/12/2016	Recommendation 4.4: A review of the existing trees in the system against the HR structure should be completed to ensure that the trees in the system are correct and that individual users are correctly placed in their respective tree.	Action: a) Review the existing trees in the system against the HR structure to ensure that the trees in the system are correct and that individual users are correctly placed in their respective tree. b) Once reviewed write a procedure to inform all staff using DMS of their responsibilities particularly in relation to informing DMU that line management have ceased. This new procedure should be put on the library with a link to the RMU Intranet site. A communications to go out on weekly orders to support this new procedure publication. Link this action to recommendation 4.1. System Governance	Insp Craig Nolan	Mazars	Implementation of DMS June 2016	On Target	
31/12/2016	Recommendation: The Force should clarify the roles and responsibilities of the parties involved in the ownership, maintenance and usage of the DMS System. This should include the information asset owners and information security responsibilities.	Action: Clarify roles and responsibilities of parties involved in the ownership, maintenance and usage of the Duty Management System, to include: a) Identification of the information asset owner b) Who has information security responsibility? Link this action to recommendation 4.4. Supervision Trees. The clarification of roles and responsibilities once identified to be communicated on the RMU intranet site.	Insp Craig Nolan	Mazars	Implementation of DMS June 2016	On Target	

For Consideration	
Public/Non Public*	Public
Report to:	Joint Audit & Scrutiny Panel
Date of Meeting:	15th September 2016
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:	15

POLICE AND CRIME COMMISSIONER'S UPDATE REPORT – to June 2016

1. PURPOSE OF THE REPORT

- 1.1 This report presents the Joint Audit & Scrutiny Panel (JAS Panel) with the Police and Crime Commissioner's (Commissioner) update report which was also presented to the Police and Crime Panel (PC Panel) on 5th September 2015.
- 1.2 This is the first report relating to the Commissioner's refreshed Police and Crime Plan (2016-18) which includes minor amendments to performance measures and the RAGB rating.
- 1.3 It should be emphasised that the action taken by the Chief Constable may be the result of discussions held with the Commissioner during weekly meetings. The Commissioner is briefed weekly on all performance exceptions by his office staff which is then discussed with the Chief Constable the same week.

2. RECOMMENDATIONS

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

3. REASONS FOR RECOMMENDATIONS

- 3.1 To provide the JAS 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 JAS Panel to fulfil its statutory role.

4. Summary of Key Points

POLICING AND CRIME PLAN – (2016-18)

Performance Summary

- 4.1 Performance against refreshed targets and measures across all seven themes is contained in the Performance section of the Commissioner's web site to June 2016.^a This report details performance from 1st April to 30 June 2016.

Reporting by Exception

- 4.2 The Commissioner's report focuses on reporting by exception. In this respect, this section of the report relates exclusively to some performance currently rated red i.e. significantly worse than the target (>5% difference) or blue, significantly better than the target (>5% difference).
- 4.3 The table below shows a breakdown of the RAGB status the Force has assigned to the 22 targets reported in its Performance and Insight report to June 2016. In previous reports there were 33 measures reported on but this year only measures with specific targets will be assigned a RAGB status.^b
- 4.4 It can be seen that 19 (86%) of these measures are Amber, Green or Blue indicating that the majority of measures are close, better or significantly better than the target. Only 13.6% (3) of targets reported are Red and significantly worse than target.

KEY to Performance Comparators			
Performance Against Target		Jun-16	% of Total
●	Significantly better than Target >5% difference	7	32%
●	Better than Target	4	18%
●	Close to achieving Target (within 5%)	8	36%
●	Significantly worse than Target >5% difference	3	14%
Total		22	100%

- 4.5 The table below provides an overview of the 7 (32%) targets graded blue.

^a <http://www.nottinghamshire.pcc.police.uk/Document-Library/Public-Information/Performance/2016/Performance-and-Insight-Report-to-June-2016.pdf>

^b A number of performance measures are monitor only and it has been agreed that it is not appropriate to assign a RAGB to such measures.

Objective / Target – RAGB Status Blue ●	Jun-16
1. A reduction in the number of non-crime related mental health patients detained in custody suites	80.00%
2. An increase in the Early Guilty Plea rate compared to 2014-15 – Crown Court	7.50%
3. To be better than the national average for Early Guilty Plea rate for the Crown and Magistrates' Courts – Crown Court	8.90%
4. Reduce percentage of ineffective trials due to prosecution team reasons compared to 2014-15 – Crown Court	-7.80%
5. A reduction in All Crime compared to 2015-16.	-9.50%
6. A reduction in Victim-Based Crime compared to 2015-16	-8.90%
7. To reduce the levels of rural crime compared to 2015-16	-6.70%

4.6 The table below provides an overview of the 3 (13.6%) targets graded red.

Objective / Target RAGB Status Red ●	Jun-16
1. 90% of victims of crime are completely, very or fairly satisfied with the service they have received from the police	83.70%
2. A 10% increase in the number of POCA orders compared to 2016-16	6.30%
3. Increase BME representation within the Force to reflect the BME community (11.2%)	4.50%

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

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

4.8 The Force has provided the following responses to these questions in sections 5 and 6 below.

5. Blue Rated Measures (● significantly better than Target >5% difference)

1. A reduction in the number of non-crime related mental health patients detained in custody suites - Improved Performance and Reason/Lessons Learned

- 5.1 One person has been presented to custody as a first place of safety this year. This compares to a total of five in the same period of last year and therefore a reduction of 80%. During the same period of this year, a total of 65 people were taken to the section 136 mental health suite.

- 5.2 As previously reported, this significant improvement in performance is a direct result of the introduction of the Street Triage Team which has previously been reported on.

2. An increase in the Early Guilty Plea rate compared to 2014-15 – Crown Court - Improved Performance and Reason/Lessons Learned

3. To be better than the national average – Crown Court

4. To be better than the national average for Early Guilty Plea rate for the Crown and Magistrates' Courts – Improved Performance and Reason/Lessons Learned (Crown Court)

- 5.3 It should be noted that that this performance is dated (Nov-15) and is the same as previously reported. The Commissioner has been made aware that the release of performance information for Crown Court and Magistrates Court is controlled and published in accordance with the UK Statistics Authority Code of Practice and cannot therefore cannot now be published outside of the national publication schedule.
- 5.4 These measures are clustered together because the improvements are brought about by the same intervention. Please note some measures are reported quarterly.
- 5.5 Assuming that performance has been maintained since November 2015, as previously reported this is due to the success of Transforming Summary Justice (TSJ).^c

5. A Reduction in Total Crime Compared to 2015-16

6. A Reduction in Victim Based Crime Compared to 2015-16

7. A Reduction in Rural Crime Compared to 2015-16

- 5.6 The Force is currently recording a 9.5% (-1,835 offences) reduction in All Crime year-to-date, compared to the same period of last year. The long term trend for All Crime is stable with monthly values around the mean and within expected bounds.
- 5.7 Victim-Based crime has reduced by 8.9% (-1,541 offences) while Other Crimes Against Society have reduced at a greater rate (-14.7% or 294 fewer offences).
- 5.8 Both City and County partnership areas are maintaining reductions in All Crime (City; -13.8% or -1,101 offences, County; -7.2% or -811 offences).
- 5.9 Victim-Based crimes account for 90.3% of All Crime recorded by the Force this year, which is in line with the proportion recorded last year (89.7%). The overall volume of victim-based crimes has reduced by 1,541 offences compared to last year.

^c https://www.cps.gov.uk/publications/agencies/transforming_summary_justice_may_2015.html

- 5.10 A significant reduction in Violence Against the Person (VAP) offences has driven the overall reduction in Victim-Based Crime. The Force recorded 829 fewer VAP offences in quarter one of this year compared to the same quarter of last year. Violence without injury offences have reduced by 17.9% (411 fewer crimes), with a similar level of reduction in Violence with injury offences (-15.3% or -418). This reduction can be attributed in part to the significant increase in recorded VAP at the start of last year following the introduction of malicious communications as a recordable offence.
- 5.11 In addition to the reduction in VAP offences, reductions are recorded in a number of other offence types within victim based crime this year, including; Sexual Offences (-21.3% or -118 offences), Robbery (-17.4% or -38 offences), Shoplifting (-2.1% or -45 offences) and Criminal Damage & Arson (-10.5% or -292 offences).
- 5.12 Year-to-date the Force has recorded 2,200 rural crimes, a reduction of 158 offences (-6.7%) on last year. Over the same period crime in urban areas has reduced by 10.6% (-1,786 offences). The rate of offences per 1,000 population in rural areas is 10.3 compared to 17.2 in urban areas.
- 5.13 Crime in rural towns and fringes has reduced by 4.1% (-53 fewer offences) year-to-date, while crime in rural villages has reduced by 11.8% (88 fewer offences).

6. Red Rated Measures (● significantly worse than Target >5% difference)
--

1. 90% of victims of crime are completely, very or fairly satisfied with the service they have received from the police

- 6.1 Satisfaction is 83.7% in the last 12 months to April 2016 and contrasts with 85.4% for the same period last year.
- 6.2 In terms of the aspects of satisfaction, Ease of Contact and Treatment remain high in the mid-nineties for overall satisfaction; with follow up the aspect that shows the lowest level of satisfaction.
- 6.3 When looking at performance by crime type, victims of Vehicle Crime show the lowest overall satisfaction levels. Within this Theft of Motor Vehicle in particular has seen significant deterioration in Follow Up, with this change is linked to the change in the Force attendance policy to Vehicle Crime offences. As part of the Force's implementation of its 'Delivering the Future' strategy, unless there are exceptional reasons officers no longer attend the scenes of vehicle crime as analysis has identified there is limited benefit. However, the satisfaction survey questions suggested that officers should have attended the scene and victims clearly felt less satisfied in this area.
- 6.4 The Force has recently reviewed the interview questions for the Victim Satisfaction surveys and some changes have been implemented as a result of this review. The revised questions took effect last month (May 2016) however it will take at least three months before any changes will have any impact on satisfaction levels.
- 6.5 All supervisors receive and record satisfaction level data on a monthly basis, allowing them to assess their team's performance and address any specific issues. This information enables supervisors to effectively manage performance,

with a view to either recovering service with dissatisfied victims or learning lessons in order to improve future service delivery.

- 6.6 It would seem that there is an expectation by some of the public that Police officers should still visit the scene of a vehicle crime. Doing so is likely to improve satisfaction levels but would reduce capacity to service crimes which carry a higher level of Threat, Harm or Risk. Since satisfaction levels are still much higher than the Force's MSG, the Commissioner is satisfied with the Force's current policy.

2. A 10% increase in the number of POCA orders compared to 2015-16

- 6.7 The Force recorded 4 additional Confiscation and Forfeiture Orders year-to-date compared to last year, this equates to an increase of 6.3%, placing the Force 3.7 percentage points below target. Performance information for the value of orders is currently unavailable.
- 6.8 The Home Affairs Committee is currently undertaking inquiries into how effectively the measures introduced in the Proceeds of Crime Act 2002, to deprive criminals of any benefit from their crimes, are working. In particular, the inquiry is assessing the operation of confiscation orders, which are the main mechanism through which this policy is implemented.^d

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

- 6.9 There has been no deterioration in this measure, but recently under the Force's revised RAGB rating it is rated red because the 11.2% representation as defined by the 2011 Census has not been achieved. BME headcount % is at 4.8% for Police Officers and 4.3% for Police Staff and overall its 4.5%. When the Commissioner took office in 2012 representation was 3.7% so there has been an improvement overall. Austerity and the 2 year recruitment freeze has hampered progress in this area although there have been improvements with representation with Police Cadets (26%) and Special Constables (8%).
- 6.10 The Commissioner has been working closely with the BME Steering Group since 2013 and established a BME Working Group to advance BME recruitment and selection, BME advancement and retention as well as other issues which may adversely affect attraction of BME candidates, i.e. stop and search and diversity training of officers. PC Panel Members were provided with a case study on this work listed at [Appendix A](#) of the 18th April 2016 PC Panel meeting.

Holding the Chief Constable to Account

- 6.11 The Commissioner is represented at the key Divisional, Partnership and Force Local Performance board meetings in order to obtain assurance that the Force and Partners are aware of the current performance threats, and are taking appropriate action to address the emerging challenges. Should there be any

^d <http://www.parliament.uk/business/committees/committees-a-z/commons-select/home-affairs-committee/inquiries/parliament-2015/proceeds-of-crime/>

issues of concern these are relayed to the Commissioner who holds the Chief Constable to account on a weekly basis.

- 6.12 In addition, the Commissioner meets regularly with the Head of Investigations and Intelligence and Head of Operations to gain a deeper understanding of threats, harm and risk to performance. The last meeting was held on 26th July 2016.
- 6.13 PC Panel Members have asked if a case study could be prepared for each meeting. Previous case studies relating to (1) Shoplifting, (2) the Victims Code, (3) Improving BME Policing Experiences and (4) Hate Crime have been prepared. For this meeting, a case study has been prepared in respect of Knife Crime (see **Appendix A**).

The Committee on Standards in Public Life

- 6.14 On 15th June 2015 the Committee on Standards in Public Life published its report 'Tone from the top Leadership, ethics and accountability in policing'.^e The report included an ethical checklist for PCCs as listed below and in March 2016 prior to the PCC elections the Committee invited candidates to sign the checklist.^f
1. *Will your Police and Crime Plan for 2016-7 include a commitment to hold the Chief Constable explicitly to account for promoting ethical behaviour and embedding the College of Policing's Code of Ethics?*
 2. *Will you publicly commit to abide by a code of conduct once that has been adopted by the Association of Police and Crime Commissioners?*
 3. *Will you require the same of any Deputy you appoint?*
 4. *When making appointments of Chief Constable, Deputy PCC or senior staff to your office will you ensure open and transparent appointment processes and include an independent external member on the appointing panel?*
 5. *Will you publish, in an easily accessible format, details of your pay and rewards, gifts and hospitality received your business interests and notifiable memberships?*
- 6.15 In this respect, the Commissioner supports the Committee on Standards in Public Life report and has signed the checklist. He will hold the Chief Constable explicitly to account for promoting ethical behaviour & embedding the College of Policing's Code of Ethics. There is a new action included in the Commissioner's revised PCC Police and Crime Delivery Plan (2016-18) for the Force to prepare a report to the Strategic Resources & Performance Meeting on how the standard as listed at 1 above is embedded within the Force.

Activities of the Commissioner

- 6.16 The Commissioner continues to take steps to obtain assurances that the Chief Constable has not only identified the key threats to performance but more

^e https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/439208/Tone_from_the_top_-_CSPL.pdf

^f https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/509730/CSPL_PRESS_NOTICE_210316.pdf

importantly that swift remedial and appropriate action is being taken to tackle the problems especially in the Priority Plus Areas in the County and High Impact Wards in the City. Key activities are reported on the Commissioner's web site.^g

- 6.17 On 27 April 2016 the Deputy Commissioner retired from her role and the Commissioner would like to place on record his appreciation of her support during his first term in office.

DECISIONS

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

7. PCSOs

- 7.1 Following the last PC Panel meeting a couple of Members emails were referred to the Commissioner's office relating to the merit of PCSOs compared to warranted Police Officers in terms of cost and the difference in the range of powers available to tackle community problems. There was a request that the Commissioner raise this issue in this report so that the matter can be discussed.
- 7.2 It appears that there are conflicting academic views on this issue. One Member made the point that in the late 1980's a study undertaken by a Professor at Manchester University found that a uniform police presence did not deter crime and as such this would also be true in respect of PCSOs.
- 7.3 An article in the Telegraph ⁱ on 14th June 2016 reported on a project undertaken in Cambridgeshire making the case that "Bobbies on the beat really do prevent serious crime and police could cut thousands of assaults each year simply by sending officers to problem areas for just 21 minutes a day, a Cambridge University study suggests."
- 7.4 Over a period of 12 months Cambridgeshire Constabulary allocated just two extra police community support officers (PCSOs) to 34 crime hotspots around Peterborough to see if their presence could make a difference. They found there was a substantial drop in crime in those areas, which if reflected across the city would have prevented 86 assaults a year, six burglaries, or six sex crimes. If extrapolated to all Britain's 69 cities.

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

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

ⁱ <http://www.telegraph.co.uk/science/2016/06/14/bobbies-on-the-beat-really-do-prevent-crime-cambridge-university/>

- 7.5 The table below shows the current number and rate of PCSOs as at 31st March 2016 and compares the numbers and rate regionally. Despite, the high number of PCSOs leaving the Force during the past 12 months, it can be seen that Nottinghamshire still has the second highest rate of PCSOs per 10,000 population (10.3% above the regional average and slightly lower than the national average).

PCSOs as of March 2016	PCSOs			Compared to Region
	No.	Force Population	PCSO Rate per 10K Pop	
Leicestershire	210	1,043,580	2.01	15.4%
Nottinghamshire	214	1,115,658	1.92	10.3%
Lincolnshire	136	731,516	1.86	6.9%
Derbyshire	149	1,032,267	1.45	-16.8%
Northamptonshire	98	714,392	1.37	-21.2%
Regional Average	162	927,483	1.74	
Nationally	11,401	57,408,654	1.99	

- 7.6 Members should note that the deployment and workforce mix is a matter for the Chief Constable.

8. Chief Constable Appointment Process and Any Additional Costs

- 8.1 The PC Panel received a report on the timescales and process for the recruitment of a new Chief Constable in June this year, but Members have asked for an additional update. Since the PC Panel meeting, further discussions have taken place with College of Policing to finalise arrangements. The advert for the new Chief Constable will take place on 1st September 2016 and the closing date for applications has been agreed for 23rd September 2016. The Commissioner's Office is in discussion with Keith Ford, Team Manager of Democratic Services to agree a confirmation hearing with the PC Panel in early December. A number of dates between 5th and 9th December 2016 are being explored as possibilities. Partners and stakeholders will be involved in the selection and final interview process.
- 8.2 Members of the PC Panel will be aware that the Commissioner has asked the Temporary Chief Constable to delay her retirement until the end of March 2017. During this period as Temporary Chief Constable, she has been asked by the Commissioner to focus on the following objectives:
- Leadership and support for developing the tri-force collaboration
 - Achievement of the 2016-17 efficiency plans to balance Force budgets
 - Leadership and the development of partnerships plans to address knife crime, hate crime, misogyny and achieving legitimacy.
- 8.3 Members have asked if the Commissioner would provide information on the cost of the additional pension contributions incurred following the appointment of the Temporary Chief Constable. In this respect, there are no additional costs to the Force as these costs would be incurred regardless of who is filling the vacancy

(i.e. temporary or substantive). However, the contribution made is 24.2% of salary no matter who is in post.

9. Partnership Plus Review - Integrated Locality Working

9.1 The review of Partnership Plus Areas (PPAs) was completed in May 2014 and presented to the Safer Nottinghamshire Board (SNB) in January 2015. Subsequently, a Task and Finish Group was set up and led by Deputy Chief Fire Officer, Wayne Bowcock to develop a common vision and purpose for neighbourhood working. This work involved the development of:

- Compact agreement to underpin partners commitment to integrated locality working
- Revised delivery planning template to improve communication and monitoring of impact of work.
- The design of a self-evaluation template which would assist District Community Safety Partnerships (CSPs) assess their approach to Integrated Locality Working and community involvement.

9.2 The Commissioner is providing funding to support new models of delivery such as the New Cross (Sutton East) and Broomhill Estate Integrated locality teams, Mansfield Community Safety hubs, and E-CINS partnership and Integrated Case Management Systems (VPP and ASB multi-agency arrangements). In 2016-17 the Commissioner has provided £285k to support integrated locality working in the County.

10. Force Restructure

10.1 Members have asked for a report to explain the recent Force restructure. In this respect, **Appendix C** contains a detailed Force report which provides the rationale for developing a policing model for Nottinghamshire for 2020 and beyond.

11. Financial Implications and Budget Provision

11.1 Finance and Budget performance is covered in a separate report under a different agenda item to this meeting. Some key points:

- At the end Quarter One a review of the 2016-17 year end outturn was undertaken resulting in the an projected position of £189.5m, which is a saving of £0.6m against the original budget. The projected outturn is split the Force at £184.8m, which is an underspend of £0.6m and the OPCC at £4.7m is on budget.
- The £0.6m saving is largely due to police officers pay costs, in part due to changing the budgeted assumption for natural leavers in line with HR data; officers which have transferred to externally funded projects or become seconded; and Quarter One savings against budget.

- PCSO pay costs, where the Force has continued to see an increase in leavers, combined with savings generated due to closing 2015/16 with a lower number of FTE's than anticipated
- Partly offset by collaboration contributions which is a projected overspend due to the charges from the MFSS for the delay in the payroll project; professional fees in relation to projects; and Comms & Computing which is mainly due to the Airwave move to ESN project costs and Business Objects & Vision upgrades"
- It should be noted that year to date variance to budget is not that meaningful since the Force has ceased undertaking monthly accruals.

12. Human Resources Implications

12.1 None - this is an information report.

13. Equality Implications

13.1 None

14. Risk Management

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

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

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

16. Changes in Legislation or other Legal Considerations

16.1 None that directly relates to this report.

17. Details of outcome of consultation

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

18. Appendices

A. Case Study – Knife Crime

B. Forward Plan of Key Decisions for the OPCC and the Force

C. Developing a policing model for Nottinghamshire for 2020 and beyond

19. Background Papers (relevant for JAS Panel Only)
--

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

For any enquiries about this report please contact:

Kevin Dennis, Chief Executive of the Nottinghamshire Office of the Police and Crime Commissioner

Kevin.dennis@nottinghamshire.pnn.police.uk

Tel: 0115 8445998

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

philip.gilbert11028@nottinghamshire.pnn.police.uk

Tel: 0115 8445998

APPENDIX A

Case Study – Knife Crime

Report Date: 11 August 2016

- 1.1 Knife crime is a policing priority for the Commissioner. In the Commissioner's Police and Crime Plan (refreshed) for 2016-2018 he outlined in his priorities that although Nottingham and Nottinghamshire remain a safe place to live and work he was committed to working hard to reduce knife crime.
- 1.2 Within his plan's priority themes, he set two objectives underpinning his desire to drive down knife crime offending: (1) Set up a dedicated pro-active violent crime team and provide resources to support action to reduce knife crime, and (2) Continue to use stop and search power in a necessary and proportionate manner; sharing data and encouraging greater scrutiny. In support of his objectives, the Commissioner set the Chief Constable the targets of a reduction in the number of victim based crimes compared to 2015-2016.
- 1.3 Whilst knife-related offences have seen a 42% reduction in Nottinghamshire over the previous six years, and remains marginally higher (8%) than England and Wales average at around 550 per year, offences have seen a sharp rise since February 2015. For example, the number of incidents in July 2015 was almost double the rate in February 2015.
- 1.4 Possession of weapons offences recorded by the Police has increased markedly since March 2015, largely due to the number of knife and sharp instruments identified having risen by around 100 offences per year to 418 (+28%). Increases have been reflected across all local authority areas especially Nottingham City where the increase is more pronounced.
- 1.5 In the 2015/16 performance year a total of 580 knife crime offences were recorded (excluding simple possession offences). This is an increase of 6% (33 additional offences) on the 2014/15 performance year.
- 1.6 Knife crime increased on both City and County areas, with the County at +7.3% (+16 offences) and the City at +5.2% (+17 offences) over the same period. Looking at the 2016 -2017 year-to-date picture (to June) the Force has recorded an increase of 14.5% (23 offences) on the same period of last year, with high volume months in May (69) and June (74). This compares to a 12 month average to April 2016 of 48 offences.
- 1.7 Knife crime is seen across a wide range of offending including domestic violence, Serious Aquisitive Crime, night Time economy policing and serious and organised crime.

Victims & Offender

- 1.8 The majority of victims and offenders of knife enabled violence are aged 27 or under, with those aged 23-27 accounting for a quarter of the total alone.
- 1.9 The majority of both victims and offenders are male.

- 1.10 Where the ethnicity of victims is known 67% were white (North European), 16% black, 6% Asian.
- 1.11 Whilst in relation to offenders 52% of offenders are white (North European), 35% black, 6% Asian (where ethnicity is known).

Location

- 1.12 Between December 2015-mid-June 2016, figures show that the City areas have seen approximately 33% more Knife Crime than the County areas.
- 1.13 Partnership activity around knife crime in Nottinghamshire is coordinated by the Safer Nottinghamshire Board's (SNB) Serious and Organised Crime Group and within Nottingham by the Nottingham Crime and Drugs Partnership through their Serious and organised Crime Board.
- 1.14 Within Nottingham a partnership sub group chaired by the Police has the responsibility for developing joint tactical activity and reporting back into the SOC Board.
- 1.15 In line with the Commissioner's pledge in January 2016 a dedicated police team was introduced. The Knife Crime Team is an intelligence-led proactive team whose aim is to reduce knife enabled crime through providing an on-street presence.

Positive Impact of Team

- 1.16 The KCT has had a positive effect on knife enabled crime figures with a 62.5% month-on-month reduction between January and March 2016
- 1.17 Data shows that in the weeks immediately prior to the KCT's creation, Knife Crime was showing an upward trend. Once the KCT started, however, the trend reversed and went down
- 1.18 The reduction in Knife Crime was most effective during the weeks where the KCT were actively patrolling local areas
- 1.19 While the KCT was present in an area it resulted in a 20% reduction in Anti-Social Behaviour.
- 1.20 Had a positive impact on the majority of the community and disrupted the activities of knife carriers, drug dealers and other criminals.

Stop Searches / Possession

- 1.21 Targeted stop searches by the knife crime team have proved to be very effective for drugs and knives with positive outcomes as high as 44%.
- 1.22 Knife crime is a serious issue facing our communities, the impact on individuals and families of this type of offending is immense. Knife crime is not a simple problem and tackling it requires that every organisation with a part to play is actively involved. To

reflect this fact in April 2015 partners in the city came together at a knife crime summit to set an agenda for closer joint working.

- 1.23 The illegal use of knives as weapons is not an issue however that can be solved by policing alone. While it is an issue for the whole city, there are times, places and contexts which are at greater risk. Our evening and night time economy is one of those areas.
- 1.24 Following the summit and over the last year Nottinghamshire Police and Community Protection have worked with city centre venues to enhance the approach taken to searches by door staff. Alongside the use of metal detectors to protect venues from knives. Door teams continue to proactively detect knives.
- 1.25 The City Council also continues to fund Operation Promote. Operation Promote utilises passive drugs dogs to identify drugs in the night time economy. Searching offenders also reveals other concerns such as weapons. This operation continues to be one of our key initiatives for detecting knives and protecting citizens.

Vanguard Plus

- 1.26 Vanguard plus continue to work with young people at risk of becoming involved in gang and youth violence in conjunction with the Youth Offending Team, Probation, Department of Work and Pensions and the City Council Community Protection Team.
- 1.27 Vanguard Plus continue to deliver a knife prevention message across all primary schools within Nottingham City.
- 1.28 The Police and City Trading standards continue to carry out test purchase operations at retail outlets selling knives with a view to educate and enforce to ensure retailers are not selling knives to under 18s.
- 1.29 The police, City Community protection and the Trauma Unit at the QMC are working towards embedding Youth workers within the Accident and Emergency department to interact with victims of knife crime at their most "Teachable Moment". Research within Nottingham has shown that once a person becomes a victim of knife crime they are at increased risk of becoming a repeat victim but are also much more likely to carry a knife in future.
- 1.30 Planning is underway to launch a knife amnesty later this year involving police and partner agencies.
- 1.31 A Police / City council violence summit is to take place in August 16 to ensure that all available resources are being properly focussed to tackle violence and knife crime in line with the priority given to this area by the Commissioner.

Conclusion

- 1.32 The Commissioner's commitment through his leadership and financial support has significantly changed the provision of resources to address Knife crime. The benefits of specific knife crime activity and targeted resources for the Police and City Council, are showing real benefits in terms of partnership activity, action to support victims and address perpetrating behaviour. This has been translated into action through the Partnership knife crime action Delivery Plan, which has seen significant progress

made with partner agencies to commit to tackling knife crime and incorporating this into their business.



Nottinghamshire

POLICE & CRIME COMMISSIONER

APPENDIX B - Decisions of Significant Public Interest: Forward Plan

1st July 2016 – 31st December 2016

Business cases						
Ref	Date	Subject	Summary of Decision	Cost (£) <i>Where available.</i>	Contact Officer	Report of OPCC / Force
1.1	Aug 2016	Serious and Organised Crime	Serious and Organised Crime Business Case as part of move to thematic structure.	TBC	Supt Simon Firth	Force
1.2	Aug 2016	Intelligence	Intelligence Business Case as part of move to thematic structure.	TBC	Supt Austin Fuller	Force
1.3	Aug 2016	Prisoner Handling Team	Prisoner Handling Team Options Paper	TBC		Force
1.4	Sept / Oct 2016	Public Protection	Public Protection Business Case as part of move to thematic structure.	TBC	Det Supt Rob Griffin	Force
1.5	Sept 2016	Response	Response Options Paper	TBC	Supt Matt McFarlane	Force
1.6	Sept 2016	Neighbourhoods	Neighbourhoods Business Case as part of move to thematic structure.	TBC	Supt Richard Fretwell / Supt Mike Manley	Force

Contracts (above £250k)						
Ref	Date	Subject	Summary of Decision	Cost (£) <i>Where available.</i>	Contact Officer	Report of OPCC / Force
2.1	July 2016	Covert Vehicle Hire Services	Regional including Derbyshire, Leicestershire, Lincolnshire, Northamptonshire and Nottinghamshire	£1,040,000 (£261,000 pa)	Ronnie Adams, EMSCU	Force
2.2	July 2016	Refurbishment of 1 st Floor, West Bridgford	Part of the Estates Rationalisation Programme.	£300,000	Ronnie Adams, EMSCU	Force
2.3	July 2016	Forensic Medical	Medical Services for Custody and SARC	£4,000,000	Ronnie Adams	Force



Nottinghamshire

POLICE & CRIME COMMISSIONER

		Examination			EMSCU	
2.4	July 2016	Uniform	Extension to Uniform Managed Service	TBC >£250.000	Ronnie Adams EMSCU	Force
2.5	Sept 2016	Vehicle Recovery	Recovery of seized vehicles 5 garages on contract	£800k - £1.4 million per garage	Ronnie Adams EMSCU	Force
2.6	Sept 2016	Victim Services	Contract for new service	£2 Million	Ronnie Adams EMSCU	Force
2.7	Oct 2016	Liquid Fuels	New ESPO framework non committed	TBC >£250k	Ronnie Adams EMSCU	Force
2.8	Oct 2016	Financial & Personal Services	Regional Framework	TBC >£250k	Ronnie Adams EMSCU	Force
2.9	Jan 2017	Waste Management	All waste services including general, recycled, WEEE and confidential shredding. Nottingham Police lead for National agreement.	£550,000k – £3 million	Ronnie Adams EMSCU	Force
2.10	Mar 2017	Cleaning Contract	Re-tendering of the cleaning contract	£1.8 million	Ronnie Adams EMSCU	Force
2.11	TBC	ESN Devices	National Programme for the replacement of Airwaves	TBC >£250k	Ronnie Adams EMSCU	Force
2.12	TBC	Forcewide Telephony Support	Short term support contract	TBC >£250k	Ronnie Adams EMSCU	Force
2.13	TBC	Temporary Staff – Long term and Specialist	Procurement for the long term provision of temporary agency staff to Nottinghamshire Police for a period of two years with the option to extend for a further two years.	£2.6 million	Ronnie Adams, EMSCU	Force
2.14	TBC	Various contracted work at Oxclose Lane and Carlton	Part of the Estates Rationalisation Programme. Still at Business Case stage.	£850,000 Carlton £300,000 Oxclose	Ronnie Adams, EMSCU	Force
2.15	TBC	Holmes House & Mansfield	Consultants and Contractors	>£800,000	Tim Wendels,	Force



Nottinghamshire

POLICE & CRIME COMMISSIONER

		Police Station	Still at Business Case stage.		Assets	
--	--	----------------	-------------------------------	--	--------	--

Estates, ICT and Asset Strategic Planning						
Ref	Date	Subject	Summary of Decision	Cost (£) <i>Where available.</i>	Contact Officer	Report of OPCC / Force
3.1	July 2016	Netherfield Front Counter	Lease of premises for new Front Counter at St George's Centre, Victoria Road, Netherfield	£25,000 capital spend £5,000 annual rental	Tim Wendels, Estates and Facilities	Force
3.2	Aug 2016	Sherwood Lodge	Lease of space within Stores Block to Newark & Sherwood DC for CCTV Control Room	TBC	David Heason, Estates & Facilities	Force
3.3	Sept 2016	Cotgrave Police Station	Sale of existing Police Station and long lease of new Partnership Hub building	Property exchange	Tim Wendels, Estates and Facilities	Force
3.4	Aug /Sept 2016	Bunkered Fuel Sites	Decommissioning, repair and addition of bunkered fuel sites around Nottinghamshire.	TBC	Tim Wendels, Estates and Facilities	Force
3.5	Sept 2016	Hucknall Police Station	Lease of replacement premises for Neighbourhood Team and Training facilities. Sale of existing Police Station.	TBC	Tim Wendels, Estates and Facilities	Force
3.6	Aug /Sept 2016	Selston, Radcliffe on Trent and East Leake Police Stations	Review of future of Selston, Radcliffe and East Leake Police Stations	TBC	Tim Wendels, Estates and Facilities	Force
3.7	Sept /Oct 2016	Nottingham Bridewell	Review of the future of the Bridewell.	TBC	Tim Wendels, Estates and Facilities	Force



Nottinghamshire

POLICE & CRIME COMMISSIONER

Workforce Plan and Recruitment Strategies						
Ref	Date	Subject	Summary of Decision	Cost (£) <i>Where available.</i>	Contact Officer	Report of OPCC / Force
4.1	July 2016	Police Officer Recruitment	Open up Police Officer recruitment in January 2017 due to the higher number of police officer leavers.	TBC	James Lunn	Force



Delivering the future

Developing a policing model for

Nottinghamshire for 2020 and beyond

Contents Page

Introduction

Our common mission, nationally and locally, remains the same: “To make communities safer by upholding the law fairly and firmly; preventing crime and antisocial behaviour; keeping the peace; protecting and reassuring communities; investigating crime and bringing offenders to justice.”

We must be able to complete this mission at a time when the nature and complexity of crime is evolving and during a period of continuing austerity.

This document aims to describe the operating model for Nottinghamshire Police, explaining how it will deliver services and meet its mission of protecting our communities within the financial constraints placed upon it.

Development of a Policing Model for Nottinghamshire for 2020 and beyond



The National Policing Vision for 2020

The National Police Chiefs' Council has produced a draft policing vision for 2020, which provides helpful context on the reasons why change is required.

By 2020 nationally it is expected that:

- ***local policing will be aligned, and where appropriate integrated, with other local public services to improve outcomes for citizens.***

- ***specialist capabilities will be standardised and aggregated to maintain capability and resilience across policing to achieve greater agility when managing risk.***
- ***digital policing will make it easier and more consistent for the public to make digital contact, improve our use of digital intelligence and evidence and ensure we can transfer all material in a digital format to the criminal justice system.***
- ***policing will be a profession with a more representative workforce that will align the right skills, powers and experience to meet challenging requirements.***
- ***police business support functions will be delivered in a more consistent manner to deliver efficiency and enhance interoperability across the police service***
- ***there will be clear accountability arrangements to support policing at the local, cross force and national levels.***

Key elements from the National Police Chiefs' Council vision are included in the appendix.



East Midlands Police Collaboration
Derbyshire Leicestershire Lincolnshire Northamptonshire Nottinghamshire

Collaborative policing services have been operating successfully in the East Midlands for more than a decade. These collaborations have allowed us to significantly improve our service to our communities and protect our frontline resources while also reducing risk and costs. We can focus our specialist resources where and when they are needed most to serve the public in the best way. Our collaborations cover a number of police functions from armed policing to transactional functions.

East Midlands Special Operations Unit (EMSOU)

The East Midlands Special Operations Unit launched in 2001 as a small regional unit co-ordinating the deployment of test purchase officers for the region.

In January 2005, a Regional Intelligence Unit was added to examine the serious and organised crime intelligence picture across the region. In August of that year all five forces; Nottinghamshire, Derbyshire, Lincolnshire, Leicestershire and Northamptonshire agreed to the development of an operational capability.

In December of the same year, the region's chief constables agreed to the development of EMSOU and significant funding was obtained from the Home Office.

EMSOU is made up of around 1,500 officers and staff drawn from the five forces of the East Midlands. It is the largest such regional unit in the country, to which we contribute 203 officers. Within EMSOU there are a number of specialist units managing investigations in different areas of serious crime:

- **Homicide**
- **Serious and organised crime**
- **Counter terrorism and domestic extremism**
- **Asset recovery**
- **Fraud and Financial Investigation**
- **Forensic services**

This regional approach provides a significant response to tackling organised crime that crosses force boundaries.

EMSOU was recently highlighted by Her Majesty's Inspectorate of Constabulary as: "The most advanced and well-established of the Regional Organised Crime Units with the greatest breadth of capabilities to undertake the greatest range of critical policing functions, including surveillance and cyber-crime investigations.

"EMSOU is a model which other regions can emulate."

The Chancellor of the Exchequer also praised the collaboration between the five East Midlands forces as 'unique' and 'a model for all others to follow'.

East Midlands Operational Support Services (EMOpSS)



EMOpSS brings together the specialist resources of Nottinghamshire, Northamptonshire, Lincolnshire and Leicestershire to deliver a range of specialist policing services such as:

- **Armed Response**
- **Dogs**
- **Tactical Firearms Teams**
- **Tactical Roads Policing Teams**

- **Events Planning**
- **Tactical Support Teams**
- **Firearms Training**

Nottinghamshire's commitment to EMOpSS is 159 officers. The combined officer number of 541 offers us greatly increased flexibility and resource capability than operating alone. It is not uncommon for officers from other forces, including firearms officers to be deployed into Nottinghamshire to ensure that we have sufficient staff to meet actual or potential risks.

East Midlands Police Collaboration Programme (EMPCP)

EMPCP was formed in 2007 and operated until 2014 with the aim of identifying additional areas of policing which could be delivered jointly between forces to maximise effectiveness and to achieve efficiencies.

During this seven year period the programme delivered the following regional services which continue to operate:

- **Legal Services**
- **Learning and Development**
- **Occupational Health**
- **Strategic Commercial Unit**

Most recently the Strategic Commercial Unit, which manages procurement and supplier contracts for both the Nottinghamshire and Northamptonshire forces, won the Team of the Year category of the National Government Opportunities (GO) Excellence in Public Procurement Awards 2016/17.

HR and Finance collaboration



Nottinghamshire Police is a member of the Multi-Force Shared Service (MFSS) programme, which is a collaboration with Northamptonshire Police Force and Cheshire Constabulary. Under the MFSS transactional business functions in relation to finance and human resources are hosted remotely in Cheshire.

The MFSS is a business model which enables other forces and services to on board and is not constrained by geographic boundaries the Civil Nuclear Constabulary joins the MFSS in 2016.

East Midlands Criminal Justice Services (EMCJS)

East Midlands Criminal Justice Services work across Nottinghamshire, Leicestershire, Lincolnshire and Northamptonshire and deliver a broad range of

services both internally and externally for the forces. The department provides a link between the police and the other criminal justice agencies.

The prosecutions department of EMCJS works in partnership with the forces, together with partners, to reduce offending. The collaboration helps bring more offenders to justice and speeds up the criminal justice process.

The aim is to provide the best possible service for victims and witnesses and to build trust and confidence in the criminal justice system in Nottinghamshire.

The department consists of the following units:

- **File preparation**
- **Witness Care**
- **PNC Bureau**
- **Disclosure and Barring Service**
- **Summary Process Unit**

The EMCJS Custody Department manages the three Nottinghamshire custody suites. A Chief Inspector leads both the Lincolnshire and Nottinghamshire Custody suites as part of the regional arrangements.

Nottinghamshire Police, as part of the EMCJS, is leading the way in the use of national police presenters. This project has seen police staff handling road traffic cases where a guilty plea is entered. The case management hearings have reduced the need for adjournments and have improved outcomes. A digital solution to prosecution has been developed which gives presenters access to the police network direct from the courtroom and has removed the need for transferring paper files to both the court and the Crown Prosecution Service.

Niche



Niche was implemented in Nottinghamshire in February 2016. The computer system links our crime, intelligence, property management, custody and case management systems. All of the five forces in our region are now on Niche, this helps to remove geographical boundaries allowing the East Midlands Police forces to share information and deal with suspects from any area, in what is a national first. Niche also creates scope for significant savings as a result of less input of data being required.

Linking all of the case management electronically creates efficiencies across the criminal justice system and improves the outcomes of investigations.

Tri-Force Collaboration Development

In 2015, Nottinghamshire, Leicestershire and Northamptonshire Police began to look at further collaborative opportunities.

The three forces and Police and Crime Commissioners set the following principles:

Maximise opportunities to protect communities:

- Fundamentally this is about providing a service to meet the needs of the communities we serve rather than our own organisations.
- Creating the capacity and capability to respond to new and emerging threats i.e. Cyber, Child Sexual exploitation, fraud, hate crime

Optimise use of available financial resources:

- Recognising the austerity challenges; the need to deliver a sustainable policing model from less resources

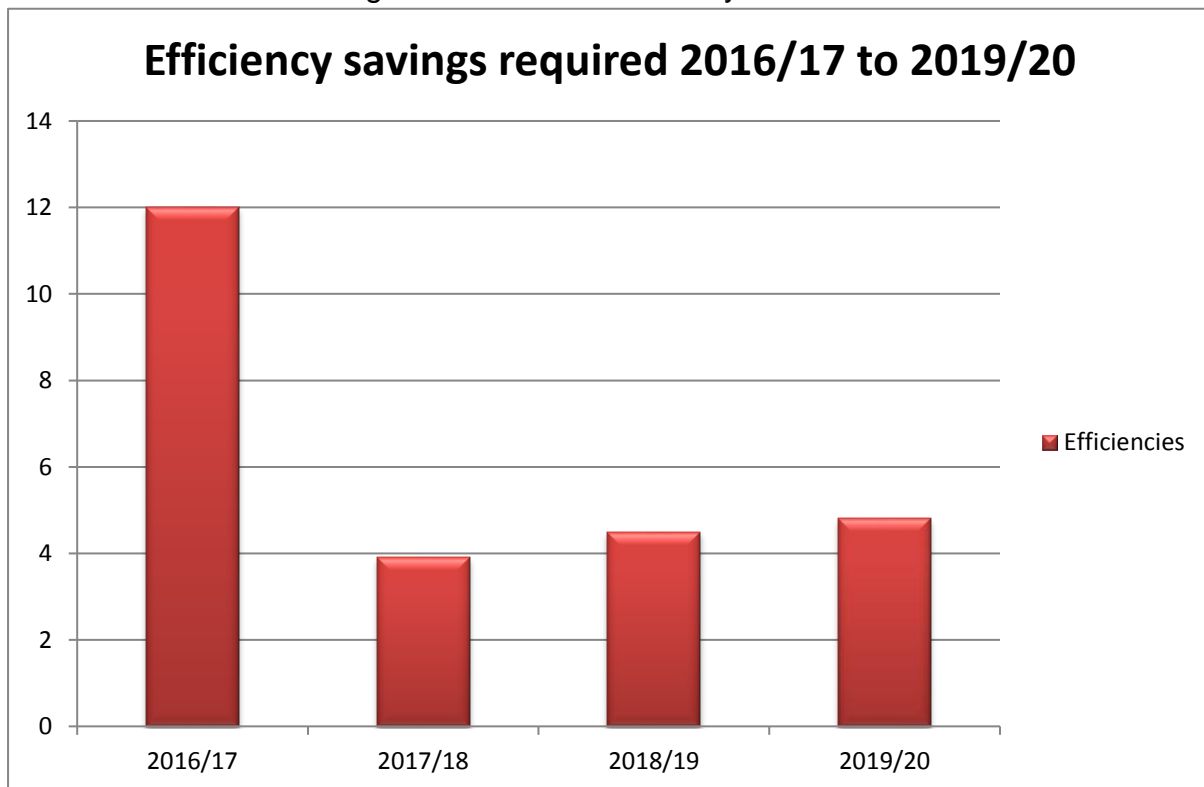
In June 2016 the progression of a Tri-Force Collaboration was agreed. The focus will be on a number of local collaborative programmes including Enabling Services, Contact Management and Niche Optimisation.

Policing in austerity – The financial challenge to 2020

Since 2010 Nottinghamshire Police has delivered £43.6 million in efficiency savings. The table below sets out the financial plan until 2019/20, which illustrates the continuing financial challenge. Budgets continue to fall and inflationary pressures remain year on year, therefore requiring future efficiencies to be factored in to our model.

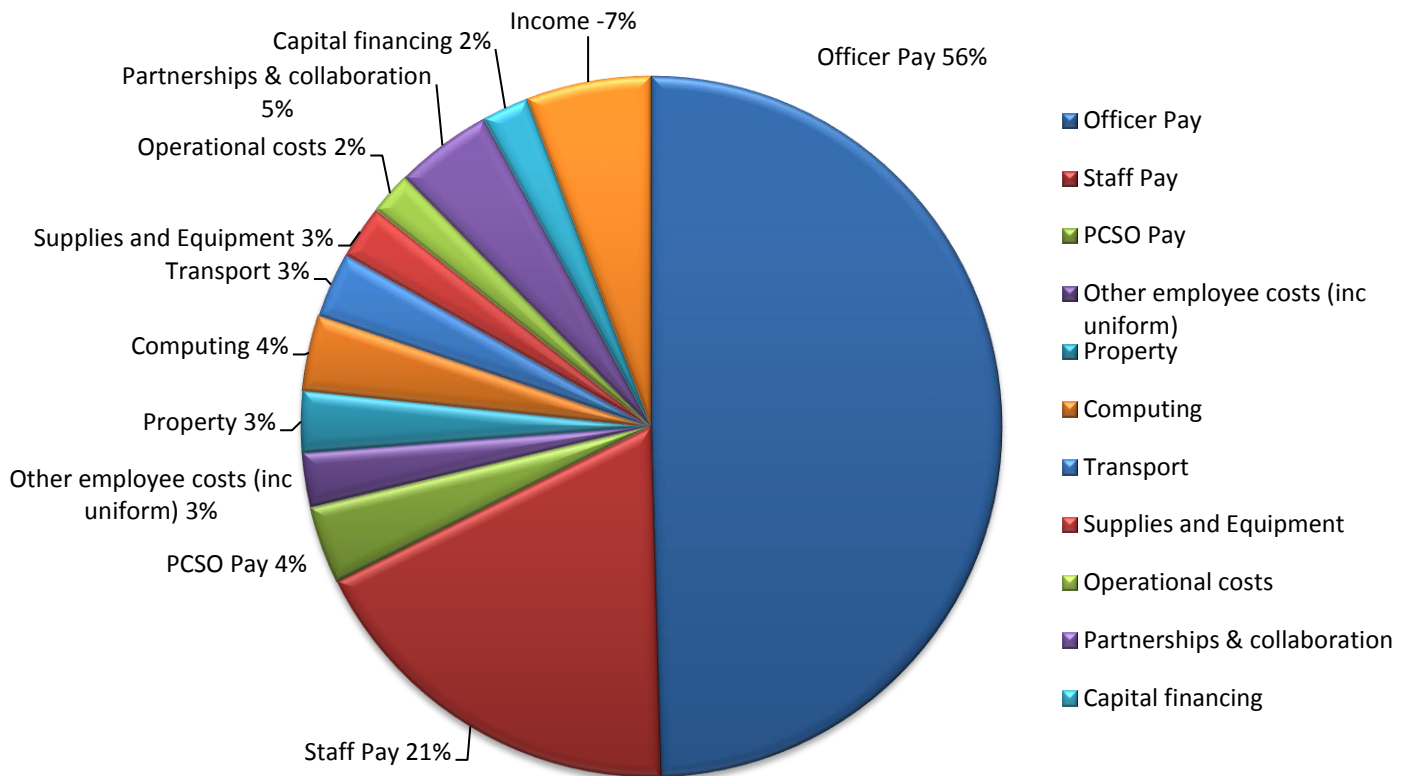
£m	2015/16	2016/17	2017/18	2018/19	2019/20
Net expenditure	202.1	202.2	193.5	191.7	189.4
Savings, efficiencies & reserves	-12.5	-12.0	-3.9	-4.5	-4.8
Further (savings)/underspend	0	0.0	-0.7	0.4	1.8
Total net expenditure	189.6	190.2	188.9	187.6	186.4
Grants	136.5	135.8	133.1	130.4	127.8
Precept	53.1	54.4	55.8	57.2	58.6
Total Financing	189.6	190.2	188.9	187.6	186.4

The chart below illustrates the efficiency savings that need to be achieved by 2020. A further £25.2m of savings need to be identified by 2020.



The way in which we currently presently spend our budget is illustrated below:

Budget 16/17



To assist the development of our future model it is helpful to reflect on some of the indicators that have been tracked within the HMIC Value for Money Profile 2015.

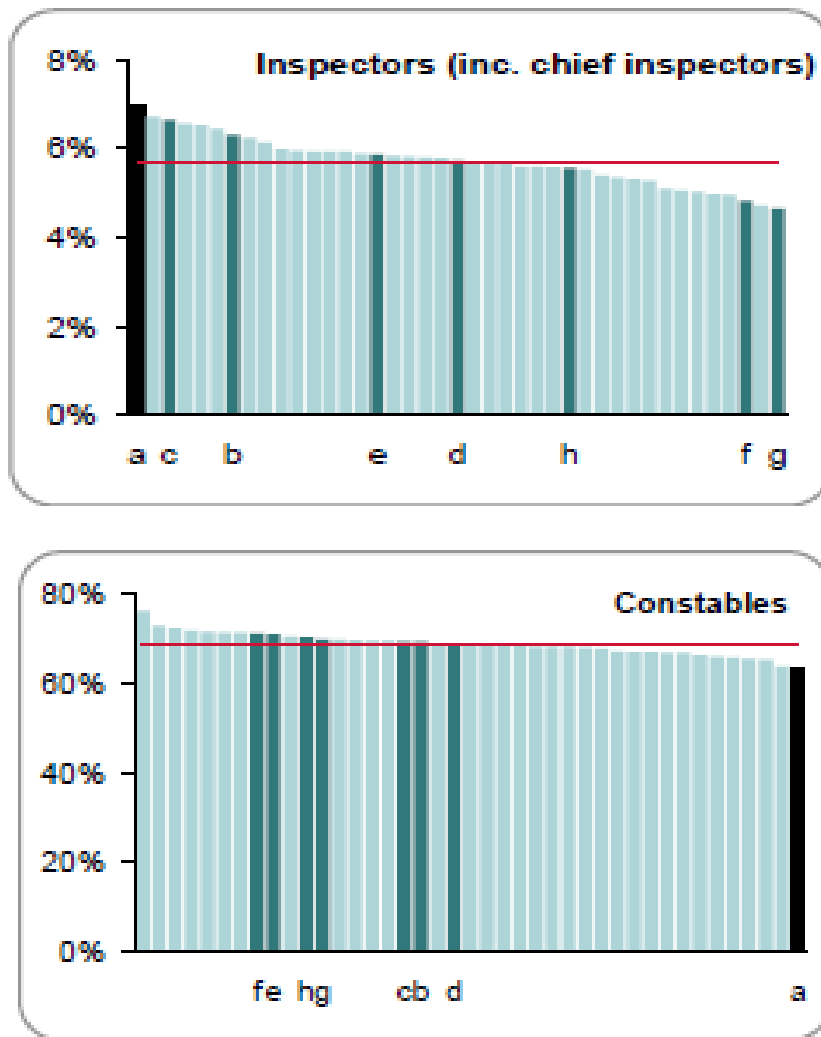
The document indicates that we spend £106.5m on police officers and with a population of 1,116k it equates to £95.43 per head of population. This is slightly above the national average at £95.20 and well above our most similar forces group which is £91.70 per head of population.

In reviewing our model and our commitment to protect frontline policing we have reviewed the ratio of police officer managers to the frontline rank of police constables in comparison to our peers.

The following charts show how Nottinghamshire compares with all forces in the country and our most similar forces are identified as below:

a – Nottinghamshire, b – Kent, c – Bedfordshire, d – Lancashire, e – Essex, f - South Yorkshire, g – Leicestershire and h – Hertfordshire

Nottinghamshire is indicated by the black bar on the charts and each of the other bars represents a different force. The horizontal line represents the national average on each of the charts.



As can be seen we have fewer constables as a percentage of our workforce than every other force in the country yet we have the highest ratio of inspecting ranks.

To further illustrate this, the table below shows how much more a supervisor costs per year when compared to a constable:

Assistant Chief Constable	£105,276
Chief Superintendent	£70,793
Superintendent	£55,363
Chief Inspector	£31,329
Inspector	£24,906
Sergeant	£10,391
Constable	£0

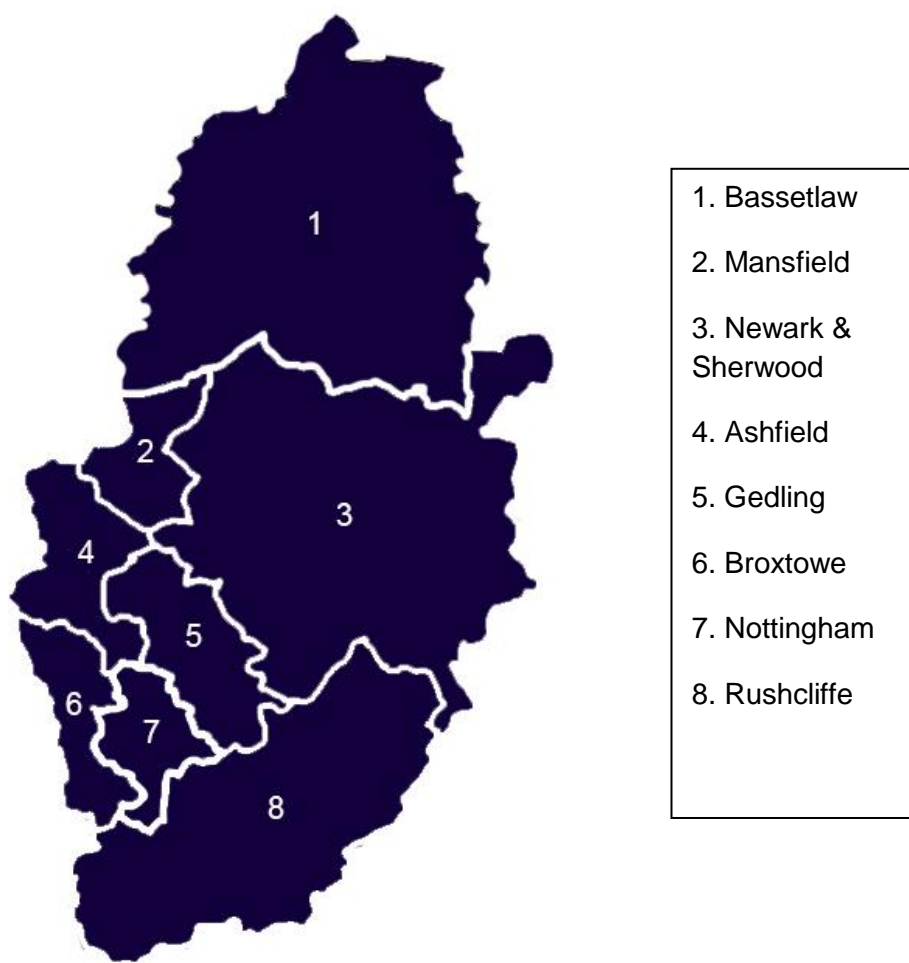
Nottinghamshire Police's future policing model seeks to enable and positively address these ratios to protect the frontline and enable us to better protect our communities from harm.

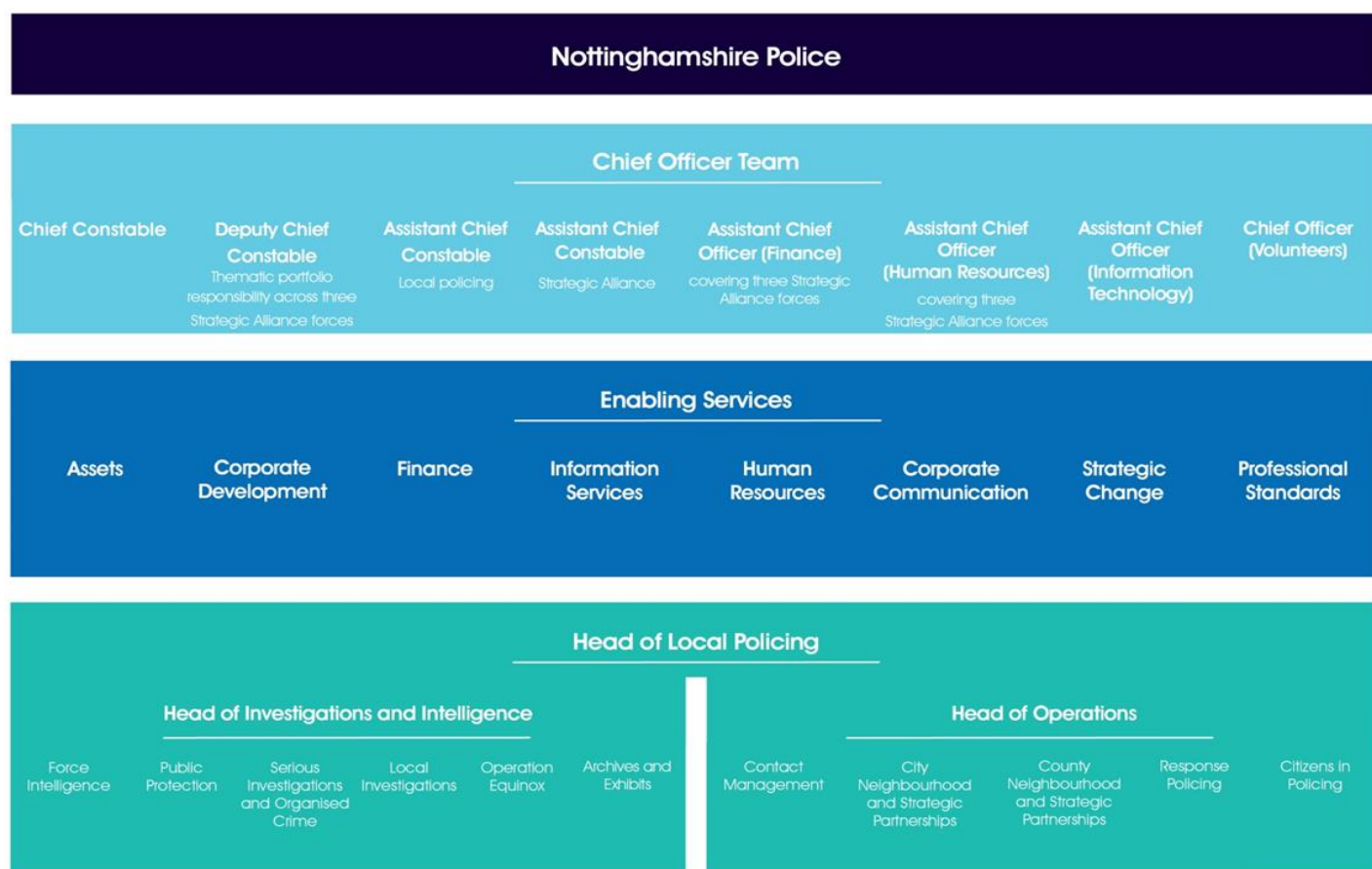
Local Policing Structure

The Nottinghamshire Police area covers the 834sq mile of Nottinghamshire, which incorporates the unitary authority of Nottingham City Council and Nottinghamshire County Council and seven local authorities.

The city of Nottingham's boundaries are tightly drawn and exclude several suburbs and satellite towns that are usually considered part of greater Nottingham. This area is covered by the unitary authority and four local authorities.

The population of Nottinghamshire is 1.12 million with a third of the population residing within the city.





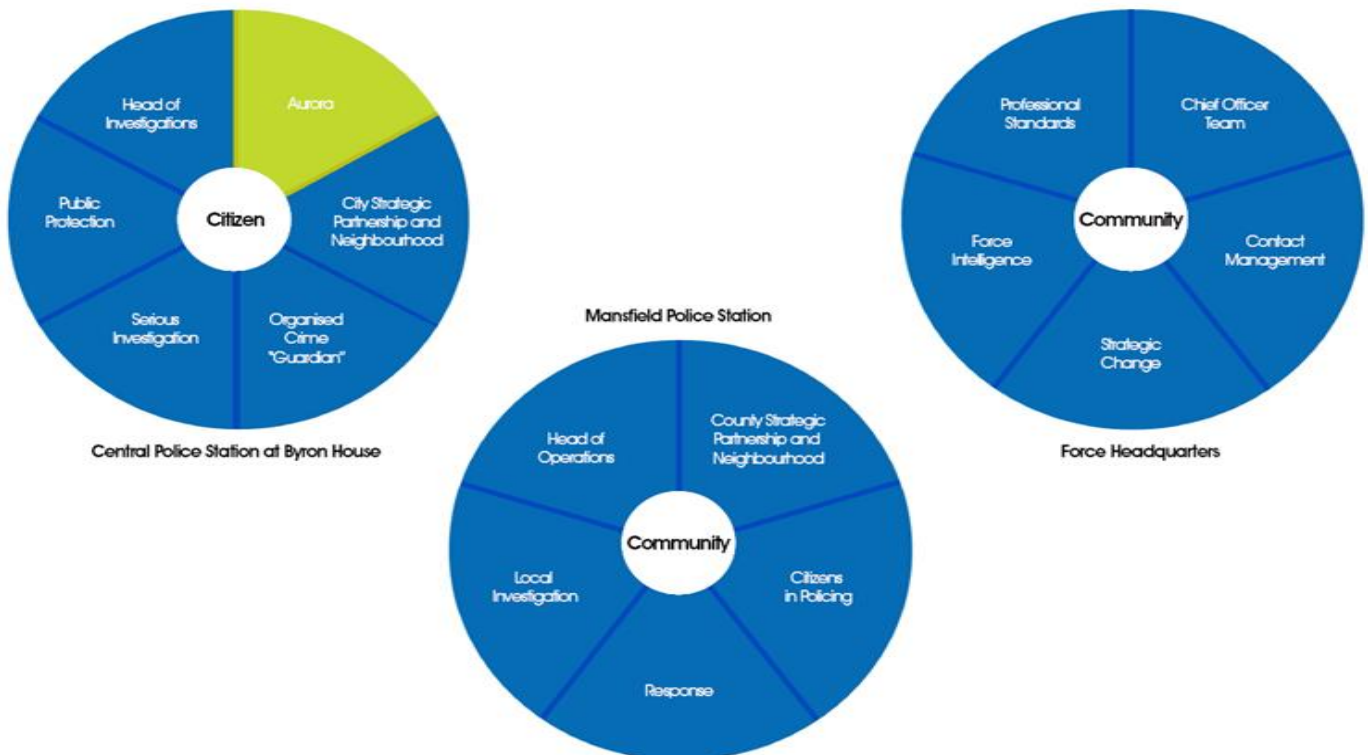
Leadership Hubs

It is important that our senior leaders are accessible and visible both to their staff and communities across the county. As a result senior officers, superintendents and above and police staff heads of departments, and their support will be based within three distinct locations identified as leadership hubs. This is to provide effective coverage across Nottingham and Nottinghamshire.

The location of these hubs has been identified as the new Central Police Station, in the city centre, Force Headquarters at Sherwood Lodge near Arnold and Mansfield Police Station. The leadership hub locations will continue to enable and enhance partnership working arrangements.

The following diagram is indicative of where senior officers will be based and final decisions are yet to be made. However, it is expected that all the senior leaders will be accessible and visible both to their staff and communities across Nottingham and Nottinghamshire. All senior staff are provided with equipment to enable agile working.

Three leadership hubs



Neighbourhoods in the new model

It was considered crucial that the neighbourhood structure recognised the benefits of maintaining a separate superintendent with specific responsibility for neighbourhoods in the city and county. This particularly relates to the outstanding work that has been developed in partnership with the city around Aurora II and with the Safer Nottinghamshire Board and through our co-location agreements with a number of the district and borough councils.

Neighbourhood policing is currently structured around geographic and political boundaries in the city and county. The proposal is that these geographic and political boundaries are maintained with a superintendent leading each of the city and county neighbourhood commands to enable partnership working to continue to grow and develop.

Staffing will be allocated to neighbourhoods based upon the threat, harm and risk.

The other thematic disciplines of policing such as investigations, response and public protection, as well as our collaborative units, support the neighbourhood teams in protecting their communities.

Our new structure

Enhancing our partnerships – By maintaining superintendent posts to lead both the city and county neighbourhoods and strategic partnerships it recognises the importance of these existing relationships and enhancing the excellent work that has been done in recent years to both reduce crime and improve perception. This is also enhanced by our commitment to local neighbourhood teams being co-located with partners. The post holder will provide local visible leadership and will be accountable for performance.

Leadership – It is a fact that Nottinghamshire has higher levels of supervisors than forces elsewhere. The changes proposed will result in fewer supervisors but the supervision ratios will only be subject to a slight change as our staffing numbers reduce in line with reducing budgets. The benefit is that more front line officers can be retained. The force maintains two chief superintendents for local policing functions albeit they have force wide responsibility rather than geographic responsibility, enabling clarity and consistency of command across the force.

Crime levels – The proposed changes are designed to give a more efficient structure so that we can maximise the number of officers available to deal with operational incidents. By developing a lean business model it will enable us to invest in areas of higher risk to ensure that we are making the best use of fewer resources to target the areas of highest risk and the crimes that cause the greatest harm.

Capacity – Through our investment in technology and changing the way we operate we can maintain effective and efficient service within a balanced budget.

Partnership working – The force will retain the existing beat structure and each beat will be overseen by beat teams. (Numbers may reduce but the teams will remain). Additionally, each will continue being managed by a neighbourhood policing inspector who is publically accountable and the focus for partnership activity. As now, the police will still have chief inspectors and two superintendents to ensure that partnership working is not put at risk. Plans are being developed for closer working relationships in a number of locations such as Ashfield and Mansfield with partnership hubs being developed.

Nottingham as a core city – As previously discussed the only functions that are presently delivered and managed locally are neighbourhoods and investigations. The local focus of neighbourhoods will remain and there will be increased resilience in the investigative function. Superintendents are very senior officers, and effective leaders supported by an efficient thematic model will have a mandate to further develop local relationships and meet the challenges of policing a core city.

The police are wholly committed to delivering the best possible service to Nottinghamshire and our approach is in line with the College of Policing Vision for 2020. The approach being taken will enable us to fully commit to the Tri-Force Collaboration. This will allow us to maximise the resources that we can commit to the

city and county while providing access to a wide range of specialist teams that are needed to address Nottinghamshire's unique challenges.

As part of the process an Equality Impact Assessment was commenced and this has not identified any new risks in the way in which we will serve you, our communities. This is largely related to the fact that the new structure is likely to improve our response to incidents. Our expectations of our local neighbourhood policing teams have not changed. This assessment will continually be refreshed as the detailed design is finalised.

Key Staff

On 15 March 2016 the Chief Constable Chris Eyre announced that with effect of 1 May 2016 the Head of Operations would be Chief Superintendent Mark Holland and the Head of Investigations and Intelligence would be Detective Chief Superintendent Gerard Milano.

The appointments made on 1 May 2016 enabled the new team to commence detailed design activity. The time scale for the completion of the change programme is 31 March 2017 but the new structure with all of its governance processes are expected to be operational on 1 July 2016.

Appointment of Superintendents:

On 16 March 2016 the senior officers were identified for postings in the new corporate structure as below:

Role		Officer
1	Head of Investigations and Intelligence	Detective Chief Superintendent Gerard Milano
2	Head of Intelligence	Detective Superintendent Mark Pollock
3	Head of Public Protection	Detective Superintendent Robert Griffin
4	Head of Serious Investigations and Organised Crime	Detective Superintendent Simon Firth
5	Head of Local Investigations	Superintendent Ted Antill
6	Head of Operations	Chief Superintendent Mark Holland
7	Head of Contact Management	Superintendent Paul Burrows
8	Head of City Strategic Partnership	Superintendent Mike Manley
9	Head of County Strategic Partnership	Superintendent Richard Fretwell
10	Head of Citizens in Policing	Chief Inspector Richard Stapleford
11	Head of Response Policing	Superintendent Matt McFarlane
12	Head of Professional Standards	Detective Superintendent Jackie Alexander
13	Head of Change	Superintendent Steve Cartwright

During the design work and to ensure continuity and to maintain our commitment to partnership working in the city during the implementation of the Aurora II Programme

the Chief Constable agreed that Mike Manley would retain in his Temporary Chief Superintendent status.

The design has commenced with the following actions being progressed:

- The minimum number of warranted officers at each rank that are available for local policing have been confirmed – the final target numbers are to be achieved by 31 March 2018
- Activity is taking place to agree the working assumptions for each thematic area of the model that will facilitate design
- Discussions are taking place to define in detail the local operating model and how its governance will work.
- Design of the new tasking process, which will ensure that we maintain and build on existing partnership tasking arrangements

Strategic Briefings

This document forms part of our stakeholder and community briefing strategy.

Senior leaders within the force have delivered briefings to a number of key partners including:

Conclusions

This document set out to inform our communities, partners and stakeholders of the steps that Nottinghamshire Police is taking to align its structure for the challenges that it faces both now and through to 2020 and beyond.

The changes seek to enable us to provide balanced budgets and to create a flexible structure that sets us up for wider collaboration whilst at the same time maintaining and developing local partnerships. We recognise that we will have fewer resources and we need to reorganise in an efficient way to deliver our mission, which is to:

- **Make communities safer by upholding the law fairly and firmly**
- **Preventing crime and antisocial behaviour; keeping the peace**
- **Protect and reassure communities**
- **Investigate crime and bring offenders to justice**

Contact and Feedback

The Delivering the Future team is engaged in a process of continual review of our working practices. We welcome feedback on this document, together with any thoughts that you may have on how we can continue to evolve to deliver our mission over the next four years and beyond.

You can write to:

The Delivering the Future Team, Nottinghamshire Police, Force Headquarters, Arnold, Nottingham, NG5 8PP You can e-mail: deliveringthefuture@nottinghamshire.pnn.police.uk

Appendix

National Police Chiefs' Council – Vision for 2020

Why does policing need to change?

- 2.2 *Globalisation continues to accelerate and present new challenges resulting in a rise in the complexity of the police task. Communities will become increasingly diverse and complex necessitating a more sophisticated response. Proposals to devolve more power to locally elected mayors to lead combined authorities covering health, policing and social services provide real potential for the development of more integrated working practices. Policing must be at the heart of these debates.*
- 2.3 *The police service faces a new crime challenge. Police have continued to reduce acquisitive crime but are now dealing with significant increases in cases of child safeguarding and domestic abuse. These “high harm” crimes are complex in nature, staff intensive and police officers dealing with them are rightly subject to high levels of personal accountability and public scrutiny. We need to ensure we get our response to these crimes right.*
- 2.4 *Serious and organised crime generates new threats, like human trafficking, while terrorism has become more fragmented and harder to combat. There is a requirement for an aggregated response in which specialist resources are brought together from a number of police forces to ensure such threats are tackled effectively.*
- 2.5 *As online transactions increase, the threat from cybercrime grows - whether it is fraud, data theft, grooming and exploitation of children or stalking and harassment. As many traditional crimes continue to fall, policing has to focus on protecting people from this new type of harm through the development of new tactics and capabilities.*
- 2.6 *The increasing availability of information and new technologies offer us huge potential to improve how we protect the public. It sets new expectations about the services we provide, how they are accessed and our levels of transparency. Digitisation also offers huge potential to accelerate business processes, manage risk more effectively and revolutionise the criminal justice process.*
- 2.7 *As the nature of crime changes so does the skills required of the workforce. We will need to compete for the best people to create a police service which is better equipped to deal with changing requirements. This will mean that forces will be better at tackling crime and the public will have greater confidence in the police.*
- 2.8 *The public expect us to protect them from harm. In the last five years of austerity, we have contracted and made significant efficiency savings without substantial reductions in policing quality. The only way we can address the new policing challenges with this smaller resource base is by transforming our*

approach to policing.

3. Policing Mission and Values 2020

- 3.1 *The mission of policing remains consistent, and is enshrined in the statement of common purpose and values, although how this will be interpreted in terms of priorities will change over time in response to external developments.*

The mission is;

- 3.2 *to make communities safer by upholding the law fairly and firmly; preventing crime and antisocial behaviour; keeping the peace; protecting and reassuring communities; investigating crime and bringing offenders to justice.*

4. What will change?

- 4.1 ***By 2020 local policing will be aligned, and where appropriate integrated, with other local public services to improve outcomes for citizens.***

We will do this by:

- *Ensuring policing is increasingly focused on proactive preventative activity as opposed to reacting to crime once it has occurred.*
- *Working with our partners to help resolve the issues of individuals who cause recurring problems and crime in the communities they live in; reducing the requirements that these people place on the public sector and policing specifically.*
- *Using an improved understanding of vulnerability, both in physical and virtual locations, as a means of improving and differentiating service and protection. This may mean moving away from neighbourhood policing as a universal service across all forces to one that is informed by the evidence of what works targeting vulnerability and areas of high need and demand.*
- *Supporting multi-agency neighbourhood projects that build more cohesive communities and solve local problems - it often will not be realistic for police to play the central role.*
- *Improving data access, sharing and integration to establish joint technological solutions and enabling the transfer of learning between agencies and forces so we can work more effectively together to embed evidence based practice.*
- *Moving towards a place-based approach with more multi-agency teams or hubs to tackle community issues that require early action by a range of agencies and organisations. The ability to move beyond isolated, service based practice and look across a 'whole place' to commission preventative services using pooled budgets.*
- *Working with partners to ensure their savings are structured in a way that does not impact on policing services.*

4.2 By 2020 specialist capabilities will be standardised and aggregated to maintain capability and resilience across policing to achieve greater agility when managing risk.

We will do this by:

- *Enhancing capability and achieving value for money by scaling up specialist capabilities and standardising force and individual functions where appropriate.*
- *Developing the way policing is structured so more specialist services are shared and delivered in the most effective way through national, cross-force or hub structures.*
- *Establishing a common methodology that recognises different threats, geographies and population densities to map resource against demand.*

4.3 By 2020 digital policing will make it easier and more consistent for the public to make digital contact, improve our use of digital intelligence and evidence and ensure we can transfer all material in a digital format to the criminal justice system.

4.4 By 2020 policing will be a profession with a more representative workforce that will align the right skills, powers and experience to meet challenging requirements.

4.5 By 2020 police business support functions will be delivered in a more consistent manner to deliver efficiency and enhance interoperability across the police service

4.6 By 2020 there will be clear accountability arrangements to support policing at the local, cross force and national levels.

Consideration	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	15 September 2016
Report of:	The Chief Executive
Report Author:	Alison Fawley
E-mail:	alison.fawley@nottsc.gov.uk
Other Contacts:	
Agenda Item:	16

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

15 September 2016			
1	Force and PCC Report re Annual Governance Statements	Annually	Charlie Radford & Julie Mair
2	Treasury Update report to show compliance with the Treasury Management Strategy	Annually	Charlie Radford
3	Force compliance assurance mapping	Annually	
4	Force regional collaboration update	Annually	
5	Force report on Public Finance Initiative Contracts	Annually	
6	Force and OPCC HMIC Inspections and Recommendations	Annually	
7	OPCC Produce a summary set of accounts for publication	Annually (June in 2017)	
8	Report on insurance claims covering public liability, employer's liability, employment and motor liabilities including costing and lessons learned – rescheduled for December 2016	Annually	
9	Force and OPCC Risk report on monitoring and actions for mitigation	6 monthly	
10	OPCC Final Statutory Accounts	Annually (earlier in 2017)	Charlie Radford
11	Assurance Mapping (requested by Chair, 30 June 2016)		
12	External Audit Governance report ISA260	Annually (earlier in 2017)	Charlie Radford & Simon Lacey/Andrew Cardoza
	Every Meeting		
	Internal Audit Progress Reports		Charlie Radford & Brian Welch
	Force Internal Audit, Review and Inspection Monitoring, assurance and improvements outcomes		
	For information items		
	OPCC reports and information to support updates for monitoring the Police & Crime Plan		

15 December 2016

1	Force report on complaints and misconduct, investigations, new cases, open cases, together with monitoring, dip-sampling recommendations and implementation of actions and lessons learned	6 monthly	
2	Force report on IPCC investigations, recommendations and actions taken together with implementation of lessons learned	6 monthly	
3	Force report on the Whistle Blowing policy and review of compliance (process of grievances and appeals) Force report on Anti-Fraud and Corruption policy review of compliance updates	6 monthly	
4	Force Governance monitoring, assurance and improvement outcomes for decision making report	6 monthly	
5	Treasury Update report to show compliance with the Treasury Management Strategy	Annually	Charlie Radford
6	Annual Audit letter – External Audit	Annually	Charlie Radford
	Report on insurance claims covering public liability, employer's liability, employment and motor liabilities including costing and lessons learned – rescheduled from September 2016	Annually	Force
	Every Meeting		
	Internal Audit Progress Reports		Charlie Radford & Brian Welch
	Internal Audit, Review and Inspection Monitoring, assurance and improvements outcomes		Julie Mair
	For information items		
	OPCC reports and information to support updates for monitoring the Police and Crime Plan		

9 March 2017

1	Report on Annual Internal Audit Strategy and Audit Plan	Annually	Charlie Radford & Brian Welch
2	Force report on Business Continuity compliance and assurance of testing and exercising plan lessons learned	Annually	
3	Force Publication Scheme monitoring, review and assurance report	Annually	
4	OPCC compliance with Specified Information Order and FOIs report	Annually	Lisa Gilmour
5	Force report on Information Management, FOI, DP audits and assurance reports	Annually	
6	Force and OPCC Risk report on monitoring and actions for mitigation	6 monthly	
7	Internal and External Audits, Review and Inspections	Annually	Julie Mair
8	External audit Plan	Annually	Charlie Radford & Simon Lacey
9	External Audit Progress Report – possibly		
	Every meeting		
	Internal Audit Progress Reports		
	Internal Audit, Review and Inspection Monitoring, assurance and improvements outcomes - Is this a duplication of item 7 above		Julie Mair
	For information only		
	OPCC reports and information to support updates for monitoring the Police and Crime Plan		Phil Gilbert
	OPCC Budget Report		Charlie Radford & Force
	OPCC Precept Report		Charlie Radford
	OPCC Report on the Medium Term Financial Plan		Charlie Radford
	4 year capital Plan including the Annual Capital Budget		Charlie Radford
	The Treasury Management Strategy		Charlie Radford
	Reserves Strategy		Charlie Radford

29 June 2017 – may need to move this to end of July for final statement of accounts to be considered.

1	Force report on complaints and misconduct, investigations, new cases, open cases, together with monitoring, dip-sampling recommendations and implementation of actions and lessons learned	6 monthly	
2	Force report on IPCC investigations, recommendations and actions taken together with implementation of lessons learned	6 monthly	
3	Force report on the Whistle Blowing policy and review of compliance (process of grievances and appeals) Force report on Anti-Fraud and Corruption policy review of compliance updates	6 monthly	
4	OPCC Produce a summary set of accounts for publication	Annually	
5	Annual Internal Audit Assurance Report	Annually	Needs to be earlier – May extraordinary meeting?
6	Force Governance monitoring, assurance and improvement outcomes for decision making report	6 monthly	
7	OPCC Final Statutory Accounts	Annually	
8	External Audit Governance report ISA260	Annually	Charlie Radford & Simon Lacey/Andrew Cardoza
9	Annual Governance Statements	Annually	Charlie Radford & Force
	Every meeting		
	Internal Audit Progress Reports		
	Internal Audit, Review and Inspection Monitoring, assurance and improvements outcomes		
	For Information only		
	OPCC reports and information to support updates for monitoring the Police and Crime Plan		