

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 14TH FEBRUARY
2013
IN COUNTY HALL
WEST BRIDGFORD
NOTTINGHAM
COMMENCING AT 10.00 AM

MEMBERSHIP

(A - denotes absent)

Mr Jeff Grant
Dr Phil Hodgson
Mr Alan Street
2 vacancies

OFFICERS PRESENT

Sara Allmond	Democratic Services Notts County Council
Kevin Dennis	Chief Executive, OPCC
Phil Gilbert	Policy Officer, OPCC
Patrick Green	RSM Tenon (Internal Audit)
Paul Loble	KPMG (External Audit)
Charlotte Radford	Deputy Chief Executive & Treasurer, OPCC
DCC Paul Scarrott	Deputy Chief Constable, Notts. Police
Paddy Tipping	Police and Crime Commissioner
Angela Ward	RSM Tenon (Internal Audit)
T/ACC Ian Waterfield	Acting Assistant Chief Constable, Notts. Police

1. APPOINTMENT OF CHAIR OF THE PANEL

RESOLVED 2013/001

That Mr Alan Street be appointed as Chair of the Panel.

2. APOLOGIES FOR ABSENCE

There were no apologies for absence

3. DECLARATIONS OF INTERESTS BY MEMBERS AND OFFICERS

None

4. INTRODUCTION FROM THE COMMISSIONER

Paddy Tipping, Police and Crime Commissioner (PCC) informed the Panel that their role would be to help support him in focussing on the finances of the Force. He had been in post for three months and the first budget had been difficult to put together. The Force had worked hard and there was more hard work to do to find the budget savings required.

The Force would be carrying out a Base Budget Review in the first six months, to align the budgets with the Police and Crime Plan.

The Police and Crime Plan would provide key areas to focus on and help would be required from the Panel to manage the budget effectively.

The Panel would initially focus on finance issues, and then scrutiny reviews would begin. The views of the Panel would be sought on various financial and audit matters.

A spending review was currently being carried out and there were big challenges ahead.

Deputy Chief Constable (DCC) Paul Scarrott informed the Panel that it was important that the Force was prepared for the unexpected, to ensure there was enough flexibility in the budget to cover any unforeseen costs, such as large scale investigations.

The Chairman commented that the Panel brought knowledge and experience of the challenges the Force had faced and were continuing to face regarding the budget and would do what it could to support the Commissioner in this. The role of the Panel was to understand the financial situation the Force was facing and also to scrutinise any unplanned spending.

5. TERMS OF REFERENCE AND PROCEDURE RULES

Kevin Dennis introduced the report which set out the terms of reference and procedure rules for Panel agreed by the PCC.

During discussions, the following points were raised:-

- Page 2, paragraph 7 of the terms of reference, clarification was being awaited regarding whether this covered both Force and Office of the Police and Crime Commissioner (OPCC) staff.
- Scrutiny Review members would be selected for their knowledge and expertise in the area under review. Once a review was complete the Panel would monitor and scrutinise any actions and recommendations resulting from the Review.
- There was enough flexibility to enable the PCC to task the Panel to establish a second Scrutiny Review urgently if required.
- Page 2, paragraph 8, it was proposed to amend this to monitor and challenge.
- Page 3, paragraph 18, it was proposed to amend this from overturn to challenge and review.
- It was recognised that many Scrutiny Review recommendations would include actions for partner agencies. As the Panel did not have the authority to hold partners to account, the Force would be expected to lead the way in making improvements and encouraging partners to do the same.

RESOLVED 2013/002

That the terms of reference and procedure rules for the Panel be noted with the following proposed amendments:-

1. Page 2, paragraph 8 to read:-

“To monitor and challenge in relation to the appointment of consultants and temporary agency staff.”

2. Page 3, paragraph 18 to read:-

“To ensure action is taken in response to audit reports and where appropriate challenge and review a management comment that disagrees with a valid recommendation.”

6. INTRODUCTIONS BY AUDITORS

(a) External Audit

Paul Lobley and Anita Pipes of KPMG provided the Panel with a brief summary of the work they would be undertaking. A plan was in the process of being drawn up and there would be a number of deadlines that would need to be met to ensure that the Audit could be carried out within the timescales and budget agreed. No significant problems with delivering the audit on time were anticipated. KPMG would be following a strict risk assessment approach to ensure that those areas with the most risk of errors were checked.

(b) Internal Audit

Patrick Green and Angela Ward, RSM Tenon informed the Panel that their objective was to help the Chief Constable and the PCC in achieving its goals. RSM Tenon were very flexible about where to concentrate their time and were willing to change priorities as requested. There would be an overall report at the end of the year to give assurance. A draft plan had been developed.

7. APPOINTMENT OF THE EXTERNAL AUDITOR

Members considered a report which reported on the appointment of the external auditor – KPMG.

RESOLVED 2013/003

To note the appointment of KPMG as external auditors.

8. DRAFT ANNUAL INTERNAL AUDIT PLAN

Patrick Green informed Members that a draft plan had been developed which was currently being refined and would be brought to a future meeting.

During discussions, the following suggestions regarding the proposed audits were made:-

- In the Partnerships audit it was suggested that partnership work in relation to MAPPA, domestic violence and children affected by domestic violence be audited to ensure agreements were being fulfilled.
- In the Budget Control audit it was suggested that virement be included
- In the Payroll & Expenses audit it was suggested that over payments be included
- In the Cash, Banking and Treasury Management audit it was suggested that banking costs, banking charges and debtors and creditors be included

During discussions, the following points were raised:-

- The Performance Management audit would be scoped in consultation with the PCC and Chief Constable.
- The Attendance Management audit had not yet been scoped in detailed. The policy would be looked at to see if it was efficient and effective along with dip testing and looking at best practice.
- The Internal Audit Plan was in an early stage of development and work was being undertaken to see if there were any national issues that needed to be included. A mapping exercise of other audit processes was being

undertaken including HMIC inspections and IPCC investigations to ensure as little duplication and as much coverage of risk areas as possible.

- There were no reports of a similar nature to the Winsor report expected. Winsor one and two had so far only been partially implemented.
- In relation to whether the PCC was accountable for health and safety, responsibility was clear regarding officers but not staff as yet.

RESOLVED 2013/004

That the suggestions made by the Panel be considered when the Audit Plan is finalised.

9. AUDIT, INSPECTION AND REVIEW STATUS UPDATE

DCC Scarrott introduced the report which provided the Panel with an update on the status of actions from past audits and inspections. In relation to the Police Authority scrutiny reviews, there was an action tracker and system in place which was monitored through three portfolio boards. The outstanding actions were reviewed monthly and reported to the Chief Officer Team quarterly. Any action going beyond the timescale set was reported to the DCC.

In response to Members' queries, the following points were clarified:-

- When Internal Audit followed up any previous recommendations they sought evidence. The system was working well.
- The Proceeds of Crime Act Audit report related specifically to the use of the Leicestershire Force eBay site and using their secure storage site. A local solution was being sought, and the Leicestershire site would continue to be used in the interim.
- The report should include more specific dates in future.

RESOLVED 2013/005

That the progress made against audit and inspection recommendations be noted and that the forthcoming audits, inspections and reviews also be noted.

10. IMPLEMENTATION OF RECOMMENDATIONS FROM PREVIOUS SCRUTINY REPORTS

(a) DOMESTIC ABUSE SCRUTINY SUB-COMMITTEE - UPDATE

T/ACC Waterfield informed the Panel that the scrutiny into domestic abuse had taken place the previous summer and had been a helpful experience. A number of recommendations had come out of the review which had been implemented by the Force as part of a significant amount of work around

domestic abuse and these had been followed up by internal audit. Implementation of some of the recommendations was still ongoing which mostly related to partnership issues and were being managed by the Public Protection Board.

The Force was one of the pilot areas for Clare's Law. There had been very few referrals and only 3 disclosures to date.

The Force were working closely with partners, particularly Probation with hot desks in each others offices which was working well. The Multi Agency Safeguarding Hub (MASH) in the County had gone live with all partners involved having access to each others information. This was working very well. Discussions were taking place with the city and county councils regarding the possibility of th extending the MASH to cover the city as well.

Every domestic violence homicide had been voluntarily referred to the Independent Police Complaints Commission (IPCC) since the Casey Brittle case and each case had been checked and no errors found with the process. The DVD had been shown to every officer and staff member and the IPCC wanted it to become national training, rolled out to all Forces.

Arrest rates for domestic abuse perpetrators was over 90% and detection rates had improved significantly.

During discussions, the following point was raised:-

- If a Custody Officer wanted to release a perpetrator, arrested in relation to domestic abuse, without any bail conditions they had to include the reasons why no conditions were set.

RESOLVED 2013/006

That the update on the recommendations of the Domestic Abuse Scrutiny Committee be noted.

(b) ANTI SOCIAL BEHAVIOUR SCRUTINY SUB-COMMITTEE – REVIEW OF PROGRESS AGAINST RECOMMENDATIONS

DCC Scarrott informed the Panel that the focus of the scrutiny had been on long standing local neighbourhood disputes and linked in with the work being done by Victim Support. There were 32 recommendations and it showed a need to share information. A plan was being developed for local neighbourhood teams including integrated working, information sharing and where to locate the teams. The plan was expected to be ready in the summer.

The Victim Forum was chaired by CSI Khan. The Force were inspected by HMIC in January 2012 and there were some concerns raised regarding how the initial call was dealt with. Mandatory questions had been developed and were largely now being asked.

There was a need for a common case management system that would be compatible for all partners and this was being looked into.

During discussions, the following points were raised:-

- Tackling anti-social behaviour issues was a partnership matter which the Force could not tackle on it's own.
- Anti-social behaviour targets were built into all partnership plans.

RESOLVED 2013/007

That the progress being made be noted

11. CURRENT AUDIT AND SCRUTINY ARRANGEMENTS - NOTTINGHAMSHIRE

Phil Gilbert introduced the report which informed the Panel of current HMIC arrangements, what Local Authorities were doing and a proposed methodology for scrutiny work to be carried out. It was hoped that by gathering information on scrutiny work planned by local authorities, duplication of work could be minimised.

Most Local Authority planned scrutiny work would come to the end of it's cycle in April, as they worked to the financial year. The plans for 2013/14 would not be known until April, but this provided an opportunity for the PCC to feed into the planning process. There were two partners who were interested in joint scrutiny work.

HMIC would continue with custody inspections. Frameworks were being developed and HMIC could be tasked to do bespoke work for the PCC at a reasonable cost.

A framework of scrutiny was being developed by the OPCC which would provide legitamite risk assessment and the framework would be reported to the next meeting.

RESOLVED 2013/008

That the report be noted.

12. SCRUTINY TERMS OF APPOINTMENT

A report on the Scrutiny Terms of Appointment was considered by Members.

RESOLVED 2013/009

That the Terms of Appointment for Scrutiny Review Groups as detailed within the report, be approved .

13. NOTTINGHAMSHIRE POLICE RISK REGISTER REVIEW

DCC Scarrott introduced the report which presented the Force Strategic Risk Register. The Chief Officer Team had a process to regularly review the risk register.

RESOLVED 2013/010

That the Force Strategic Risk Register be noted.

14. OFFICE OF THE POLICE AND CRIME COMMISSIONER'S DRAFT STRATEGIC RISK REVIEW AND UPDATE

Kevin Dennis introduced the report which presented the OPCC Draft Strategic Risk Register. It was reported that the risk "Force ability to provide effective policing support and response to vulnerable people" should be green, not red.

During discussions, the following points were raised:-

- Most risks should be at an identical rating for both the Force and OPCC and where they were not it should be explainable why they were not.
- Risks regarding funding should be on both the OPCC and Force risk registers.
- The risk "Force ability to provide effective policing support and response to vulnerable people" should be made wider to include potential victims and victims.

RESOLVED 2013/011

That the final strategic risk register be submitted to the next meeting of the Panel.

15. RECRUITMENT OF PANEL MEMBERS

Charlie Radford introduced the report which proposed the process for the recruitment of Members to the Audit and Scrutiny Panel.

RESOLVED 2013/012

That the proposed process for recruitment of Panel Members be approved.

16. WORK PLAN AND SCHEDULE OF MEETINGS

The work plan and schedule of meetings was considered by the Panel.

RESOLVED 2013/013

That the work plan and schedule of meetings be noted.

The meeting closed at 12.15 pm

CHAIR

For Information	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	1st July 2013
Report of:	The Chief Finance Officer
Report Author:	Charlotte Radford
E-mail:	
Other Contacts:	Angela Ward
Agenda Item:	6

INTERNAL AUDIT REPORTS ISSUED

1. Purpose of the Report

- 1.1 To inform members on the internal audit reports issued.

2. Recommendations

- 2.1 To note the internal audit reports attached.

3. Reasons for Recommendations

- 3.1 This complies with good governance and the terms of reference of this committee.

4. Summary of Key Points

- 4.1 The internal audit reports issued are usually summarised in the internal audit progress report, unless there are recommendations that are of high risk (these reports are issued to the committee in full).
- 4.2 The following two reports are issued in full as the usual progress report has been combined with the annual assurance report for 2012-13. These reports are:
- Procurement – Programme of Change
 - Strategic Risk Management – Framework

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 are identified within the individual reports.

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

9.1 This complies with good governance, audit best practice and the terms of reference for this committee.

10. Changes in Legislation or other Legal Considerations

10.1 Not applicable

11. Details of outcome of consultation

11.1 None

12. Appendices

12.1 Internal Audit reports:

- A - Procurement – Programme of Change
- B - Strategic Risk Management – Framework



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NOTTINGHAMSHIRE OFFICE OF THE POLICE & CRIME
COMMISSIONER & NOTTINGHAMSHIRE POLICE

Procurement – Programme of Change

(11.12/13)

8 May 2013

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		Auditors	Patrick Green, Partner Scott Baker, Partner Angela Ward, Manager
Draft report issued	23 April 2013		
Responses received	8 May 2013		
Final report issued	8 May 2013	Client sponsor	Charlotte Radford, Treasurer Margaret Monckton, ACO Resources
		Distribution	Charlotte Radford, Treasurer (PCC) Margaret Monckton, ACO Resources Julie Mair, Planning & Policy Officer
	This review has been performed using RSM Tenon's bespoke internal audit methodology, i-RIS.		

The matters raised in this report are only those which came to our attention during our internal audit work and are not necessarily a comprehensive statement of all the weaknesses that exist, or of all the improvements that may be required. Whilst every care has been taken to ensure that the information provided in this report is as accurate as possible, based on the information provided and documentation reviewed, no complete guarantee or warranty can be given with regard to the advice and information contained herein. Our work does not provide absolute assurance that material errors, loss or fraud do not exist. This report is prepared solely for the use of the PCC and senior management of Nottinghamshire Office of the Police & Crime Commissioner & Nottinghamshire Force. Details may be made available to specified external agencies, including external auditors, but otherwise the report should not be quoted or referred to in whole or in part without prior consent. No responsibility to any third party is accepted as the report has not been prepared, and is not intended for any other purpose.

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1. INTRODUCTION

The advisory review was completed to ensure that the set-up and the development of the Strategic Procurement Unit (tasked with delivering cost reductions across all contracts), provide an appropriate infrastructure, in terms of a governance and operational framework, to deliver the change plan and ultimately realise the planned benefits, efficiencies and objectives.

In December 2010, a Business Investment Opportunity was approved to appoint a Commercial Director and bring the procurement teams of Northamptonshire, Derbyshire and Nottinghamshire forces together. A Programme of Change was initiated to create the East Midlands Strategic Commercial Unit, across the 3 forces.

Within the Business Case dated August 2011 a number of benefits were identified that would be delivered as a direct result of the implementation of a Programme of Change. Each benefit was profiled to understand where the benefit will be derived from and track progress to delivery. This approach was used to provide assurance to the Programme Board that the programme will meet the objectives and benefits identified in the Business Case.

The aims and approach for the Programme of Change are shown in the commercial vision map below:

Aim	A strategic partner and a high performing strategic Commercial team that delivers value and customer focussed solutions to help the Forces serve our communities..			
Focusing on	Customer engagement Understanding and responding to our customer needs through local business partnering services.	Market management Influencing our market to enable the delivery of best practice solutions to meet the needs of our Forces. Effective management of our supply base to deliver benefits.	Efficient & effective processes Providing fit for purpose procurement systems that are readily accessible by all stakeholders.	Developing our team Growing a talented and professionally qualified team in order to provide high quality legal and commercial expertise which adds value in everything we do.
Enabled by	Customer focus – being innovative and dynamic, working effectively to deliver high quality professional support. Strategic – inform and enrich the supply market to create greater opportunities to meet and exceed the needs of the Forces. Compliance – being a strong custodian of the Forces legislative obligations, our efficient and compliant processes will reduce the risk from legal and reputational harm. Value for money – to ensure the Forces achieve the maximum return within the resources available by compelling our services to be fit for purpose and able to deliver measurable efficiencies.			

Although not specifically included within the scope of this review, we would encourage that once the Unit has matured, that the approach used to deliver this programme of change should be promoted and communicated to other forces and local authorities as an exemplar of good practice. In addition, the arrangements provide a good example of a stand-alone Unit that could be spun off into a Social Enterprise that would allow it to trade and produce revenue for its host organisation.

2 ACTION PLAN

Ref	Recommendation	Accepted (Y/N)	Management Comment	Implementation Date	Manager Responsible
1	As planned by the Commercial Director, a review of all savings should be completed which clearly identifies revenue savings and their quantum. We recommend that these savings are stripped out of the main saving plan and reported separately, as revenue savings are a critical success factor to the Programme of Change.	Yes	<p>Savings definitions have been agreed and signed off by the Programme Board. Savings are tracked by capital/revenue, budget holder and month achieved.</p> <p>Savings have been separated into two work streams.</p> <p>1) The Head of Procurement Services has been set a target of 10% saving from all procurement projects. This is being tracked on a monthly basis and reported to the Programme Board</p> <p>2) The Head of Supplier Services has responsibility for maximising relationships with suppliers to achieve income generation opportunities. This is being tracked on a monthly basis and reported to the Programme Board</p>	1 April 2013	<p>Head of Procurement Services</p> <p>Head of Supplier Services</p>

Ref	Recommendation	Accepted (Y/N)	Management Comment	Implementation Date	Manager Responsible
2	Profile the revenue savings into the year, month or quarter they will be actually delivered, to ensure the relevant Finance Directors have clarity when budgets can be reduced. In addition, individual sign off from each regional Finance Director should be obtained.	Yes	A savings capture report has been designed to support action 1 above. All savings are being captured and tracked on a monthly basis and reported to the Programme Board.	1 April 2013	Head of Procurement Services Head of Supplier Services
3	Continue to measure the savings from within the Unit, but agree a protocol with each Finance Director to agree and sign off when the saving has been achieved and furthermore that the Finance Director has taken action to reduce the relevant budget.	Yes	Head of Procurement Services has met with Heads of Finance within each force to agree protocols for signing off savings on a monthly basis. The Procurement Business Partners within each force work closely with Finance Business Partners (and equivalent) to work collaboratively on agreeing procurement savings and how this impacts on budget setting.	31 May 2013	Head of Procurement Services

Ref	Recommendation	Accepted (Y/N)	Management Comment	Implementation Date	Manager Responsible
4	Now the Unit is fully resourced, the Commercial Director should now take some time to consider the strategic approach to procurement. For example, how innovation will deliver efficiencies and new procurement practices that will be used to deliver this i.e.licensed models, eAuctions, SME engaged Frameworks, Use of social enterprises etc...	Yes	<p>The Commercial Director led a day with the Leadership Team to discuss the future vision for the Unit. The outputs from the day produced a list of “products” with values and marketability potential that will be developed further. The day also resulted in scoping out options for enabling other organisations/Forces to benefit from the EMSCU business model.</p> <p>An additional project has been added to the Programme of Change to develop the outputs from the day.</p>	<p>12 April 2013</p> <p>September 2013</p>	Ronnie Adams
5	New Heads of Service should now take ownership of the remaining elements of the mobilisation plan to enable the Commercial Director more time to work strategically and the Programme Manager more time to focus on the revenue savings.	Yes	The Heads of Services work closely with the EMSCO Programme Manager to implement the programme plan. The Heads of Services have also been identified as business benefits owners for all benefits documented in the business case.	1 April 2013	Ronnie Adams

Ref	Recommendation	Accepted (Y/N)	Management Comment	Implementation Date	Manager Responsible
6	Review the service again within 6 months, focusing on the delivery of the revenue savings.	Yes	The Unit will undertake a full review in August 2013. This will include a review of the business case. Outputs will be presented to the Programme Board	September 2013	Ronnie Adams
7	The Unit should consider how it engages with the wider customer market i.e. other forces, Blue Light Services and Local Authorities.	Yes	As per actions 4 & 6 above	September 2013	Ronnie Adams

3. KEY FINDINGS – OVERARCHING PROGRAMME OF CHANGE

3.1. Programme Setup

An Outline Business Case detailing the Programme of Change was produced and approved in August 2011 which identified:

- The purpose of the Programme
- High level costs
- Key benefits
- Risks.

In addition, a Project Initiation Document (PID) has been produced. On review of the PID it was confirmed that the PID was clearly detailed and incorporated all expected areas.

Furthermore, an internal customer survey was conducted across the three forces, to gain customer perspective of the procurement service. The purpose of this survey was to gain an early understanding of perceptions of the procurement function. The outcome from the survey highlighted the need for an improvement in the processes and approach to procurement, thus supporting the need for the Programme of Change. It was noted that the Benefits Realisation Plan incorporates a number of targeted improvements to address the issues identified by the internal customer.

A Commercial Vision Statement has been developed, along with a clear roadmap to achieve the benefits, which identifies the complexity of the project (see appendix 1). Benefits have been mapped to evidence the roadmap and are split into the following categories, which include clear definitions:

- Tangible definite - Value may be predicted with certainty
- Tangible expected - Value may be predicted on the basis of historic trends and a high level of confidence
- Tangible anticipated - The benefit is anticipated but its value is not reliably predictable
- Intangible - May be anticipated but difficult to substantiate.

A benefits profile has been produced for each key area which included:

- Benefit description
- Benefit value type
- Benefit owner
- Where the benefit is derived from

- Who will benefit
- Targeted improvement
- Measure and mechanism
- Delivery timeframe
- Status.

3.2. Programme Monitoring

A Programme Board and Governance Structure has been implemented and is shown in Figure 1 below:

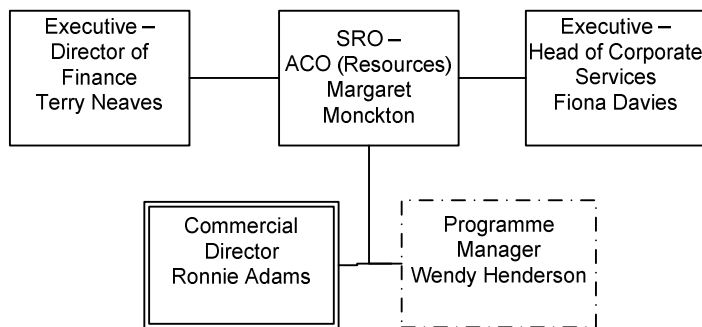


Figure 1 - Governance Structure.

Dashboard reports are produced monthly that are comprehensive and user friendly in their presentation, which is in line with best practice. A RAG rating is used and deviations from plan highlighted and remedial action identified. (An example Dashboard report (extract) is included at Appendix 3).

Risks are managed during each phase of the programme using RAID – Risk, Action, Issue and Decisions. This approach clearly shows how risk is being managed and monitored.

Project Closure reports are used to gain sign off for the benefits delivered which include:

- Deliverables to objectives
- Lessons learnt – Areas for improvement
- Lessons learnt – Areas that went well
- Project acceptance.

4. KEY FINDING - COST SAVING PLAN

Part of the remit of the Programme of Change is to provide efficiencies for forces to allow more money to be spent on front line policing. As a result, a Savings Strategy was developed (approved by the Joint Board in March 2012). Savings targets from supplier spend have been set at 10% of budgets over 3 years.

The budgeted spend on goods and services in Nottinghamshire for 2012/13 is £38,801,000 with a savings target of £1.3m.

As with the main Programme of Change, a PID is in place to support the Cost Saving Plan.

To support the measurement of benefits a saving plan has been produced for each force which covers:

- Saving type
- Description
- Budget holder
- Category
- Value type
- Realisation date.

Savings identified fall broadly into four categories:

- **Capital Expenditure** – defined as expenditure on the acquisition on a tangible fixed asset which adds to, rather than maintains, the value. For example, IT infrastructure.
- **Revenue Expenditure** – defined as the yearly operating costs with suppliers in providing the Forces services. For example, the purchase of stationery.
- **Cost Avoidance** – measures that are taken to negate additional costs not currently in budgets. For example yearly RPI increases. This may affect Capital or Revenue expenditure.
- **Other Initiatives** – a catch all term for commercial initiatives that can result in savings for Forces. For example uniform for non-police staff, business card sales to suppliers. This may affect Capital or Revenue Expenditure.

It is recognised that the distinction is key because whilst all savings are important, the overall target relates to savings that reduce the yearly operating costs of forces, therefore particular focus needs to be around Revenue savings.

Based on the document supplied during this review, procurement savings were reported as £68k in December 2012 and £582k for January to March, with expected savings in 2013/14 reported as £1,293k. It also shows where the focus has been in other savings work outside of procurement exercises, which is reflective of the Units mobilisation status. The report clearly identifies the need for the finance teams to sign off the savings and this is now happening; already this has confirmed that over £1m have been cashable.

Furthermore, clear roles for delivering savings have been delegated to key members of the procurement team, which are clearly detailed within their individual PDR, ensuring the responsibility is disseminated appropriately and maximising resources.

5. CONCLUSION

The objective of this review was to ensure appropriate PMO resource and processes were in place to deliver the Change Plan and provide assurances that the framework that is in place is robust and appropriate to realise the benefits identified.

Ensuring the:

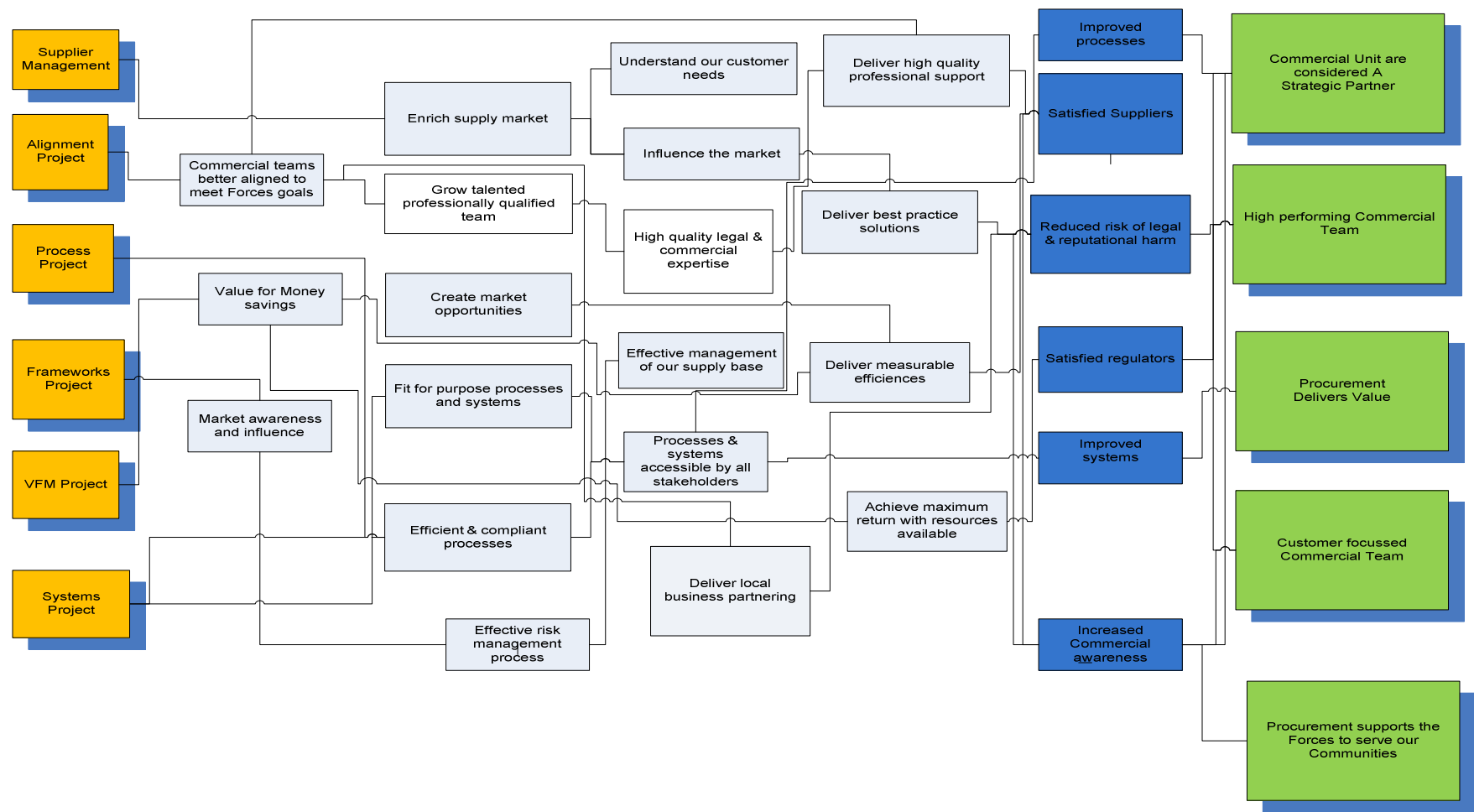
- Procurement Change Plan is delivered on time
- Benefits are realised in line with plan
- The proposed change is sustainable

The Programme Management approach used to deliver this project was found to be strong, robust and built on best practice. During the onsite interviews (details included at Appendix 2) it was clear that the staff working within the Unit understood the aims and objectives of the Programme of Change and those that were employed by the predecessor organisations showed signs of moving along the transition curve required to deliver cultural change. The benefits identified within the initial plan have or are being delivered with a clear controlled approach to benefits realisation. The approach used to deliver change and the supporting plan are reasonable and well thought through and it is our view at this stage that they will be sustainable, providing the governance and operational framework remains in place.

The proposed timeline to deliver the Programme of Change is marginally behind plan due to not being able to fill all posts in line with the original proposals. This has now been achieved and all Heads of Service are in place; this has created momentum and all the building blocks to deliver the enablers are in place. It should be recognised that the lack of resource has had an effect on the Commercial Director and Programme Manager's ability to deliver all aspects of the plan on time but this should now be alleviated with arrival of new Heads of Service and increased focus can now shift to delivering the revenue savings required.

Although not specifically included within the scope of this review, we would encourage that once the Unit has matured, that the approach used to deliver this programme of change should be promoted and communicated to other forces and local authorities as an exemplar of good practice. In addition, the arrangements provide a good example of a stand-alone Unit that could be spun off into a Social Enterprise that would allow it to trade and produce revenue for its host organisation.

APPENDIX 1 – BENEFITS MAP



APPENDIX 2 – INTERVIEW SCHEDULE













Time	Name	Role	Responsibility
9:00 – 10:00	Ronnie Adams Wendy Henderson	Commercial Director Commercial Programme Manager	Head of EMSCU Design and implementation of EMSCU programme of change
10:00 – 11:00	James Trotter (New into role)	Head of Customer Services	Heads up the Customer Services team that is responsible for developing commercial/procurement policies and procedures, understanding client forces' requirements and identifying collaborative opportunities, and overseeing electronic procurement and contract management systems
11:00 – 12:00	Graeme Unwin	Procurement Policy Manager	Develop commercial/procurement policies and procedures, and associated guidance and toolkits
12:30 – 1:30	Kay Lee	Supply Chain Development Manager	Provide commercial support and strategic direction ensuring best practise is developed and shared and income generation opportunities are maximised across the 3 Forces
14:30 – 15:30	Jayne Christer	Head of Supplier Services	To develop and deliver SRM services that support the 3 Force's objectives
15:30 – 16:30	Margaret Monckton	ACO Resources – Nottinghamshire Police	SIRO for programme of change
16:30 – 17:00	Ronnie Adams Wendy Henderson		

APPENDIX 3 – DASHBOARD REPORT (EXTRACT)

Report Date 1 February 2013

Project Title:

Force Strategic Commercial Unit – Programme Manager Wendy Henderson

	Schedule	People	Scope	Cost	Risk	Summary Status
Current reporting period						
Previous reporting period						

Progress Summary

General Update:

Recruitment - Four new members of the team now in post; Jayne Christer, Head of Supplier Services, James Trotter Head of Customer Services, Lorraine Worthington-Allen Senior Category Manager and Robert Atkinson buyer. The Nottinghamshire Business Partner – Christine Vallis start date not yet confirmed. Lorraine Worthington-Allen is covering some of the Notts BP role until Christine starts.

Recommendation to the board that the recruitment to the vacancy of Senior Category Manager be put on hold pending a review of the staffing structure in March 2013.

Training – A survey across the team shows that 5 members of the unit are MCIPS qualified. RA has completed a funding request form for the remaining members of the Unit to complete the relevant training to gain accreditation to either Foundation or MCIPS level.

E-sourcing – All licences for Blueight will be transferred to members of the procurement team, training on use of Blueight booked for 28 February. All sourcing will then be conducted via Blueight until a decision is made regarding the e-sourcing module in Crystal. This is a new way of working for staff who previously worked in Northamptonshire as they have not conducting e-sourcing in their previous roles.

Communication Plan:- Notice posted on all force intranets to communicate launch of the new unit and the new intranet sites. Graeme has produced a high level site map and asked Heads of Services to provide a pen picture/opening message for their own pages. This is being progressed through internal communications team in Notts.

Systems – PM Andrew Button

Crystal – e-contract management system – went live on 14 January. All contracts – that are known to the commercial teams – now uploaded to system. Frameworks database and SoR process uploaded into live system. Users currently restricted to EMSCU staff. Next steps to plan identifying and uploading of contracts that are held with budget holders, design management information requirements and begin to communicate with suppliers to advise of the new way of working.

Supplier Management – PM Julie Harrison

The final workshop is being held in early February to complete the policies for the supplier management project. Julie Harrison has a meeting planned to hand over all products to Jayne Christer for implementation within the Unit. A lessons learnt workshop will be held early March to close this project down.

Stores – Wendy Henderson

ITT closed on 25 January – report presented to board for decision on next steps.

Savings Strategy/Income Generation– Wendy Henderson

The work undertaken by the PM in September 2012 for the savings project has been reviewed and updated. This has resulted in an updated savings strategy and the project has now been reviewed to include an element of income generation. A new project team has been formed with an updated PID agreed. Work packages have now been assigned to the project team with a new PM managing the project.

An updated project plan has been produced.

Value for Money – PM – Graeme Unwin

Lorraine Worthington-Allen is now working with Paul Whitehall to design a set of VFM measures, tracker and a library of VFM measures to be included in contracts.

Process – PM Graeme Unwin

Little progress made overall within the project due to annual leave and resources being moved to deliver the data for the systems project.

Policies/Procedures – Review on going.

Contract Standing Orders

An additional work package has been allocated to Graeme to re-write the contract standing orders for the 3 forces. The first draft has been submitted for review. Once finalised RA will get sign off from Charlie Radford who will then work with Northants & Derbys PCCs to agree the one set across the three forces.

Information Security Schedules

All schedules have now been reviewed and are in draft and with the Information Security Officers. Once reviewed final sign off by Ronnie Adams and will be put into circulation.

Government Procurement Cards –

Draft report received for discussion on 1.12.13

Document Management and Storage –.

EMSCU e-mail domain now live with all teams now working directly from Notts systems. One single e-mail for all staff i.e. wendy.henderson@emscu.pnn.police.uk. The folder structure has been agreed. Graeme has produced a policy statement regarding document storage and e-mailed out to the team, work will also need to be undertaken to do some data housekeeping across each force and bring over to the new system only relevant information.

Risk Management -

Risk Management Policy and process now designed and for sign off at meeting on 1.2.13. Once agreed these will be handed over to the Heads of Services for them to implement risk registers within their teams. A meeting will be held w/c 11 February with all Heads of Services, Graeme and Ronnie to then create the Unit

Risk Management Register.

Contract Template

Legal have provided draft copy of updated terms and conditions, this included an example of a contract template. A revised version has been drafted and is now back with legal for review and sign off. Once signed off this document will be issued across the unit.

Toolkit - SOR -

A number of workshops have been held to finalise the SoR and the SoR toolkit. Agreement has been reached that the SoR will remain in its current status with a full review in March. James Trotter will lead on finalising the SoR toolkit on his arrival.

Evaluation Code of Conduct

This document has been written and signed off.

Frameworks – PM Nicola Penn

Good progress now being made. Final product delivery is the framework evaluation criteria, Nicola held a workshop at the end of January to begin designing the evaluation criteria.

Explanation of amber/red status OR changes in indicators above (summary for any changes and non-green in the above indicators)

Items for escalation/key decisions required (for escalation to programme board)

<i>No</i>	<i>Description</i>	<i>Date raised</i>	<i>Date required</i>
01	Decision on recruitment to Snr Category Manager vacancy	14.1.13	1.2.13

02	Decision on next steps for outsourcing provision of uniform	25.1.13	1.2.13
03	Decision on implementation of GPC	29.1.13	1.2.13

Milestone summary – key tasks

No	Project area	Task	Baseline start	Baseline finish	Duration	Revised actual start date or	Revised actual finish date or	Status	Comments
	Workstream name, deliverable name or product name	Name of task	Original planned start date	Original planned finish date	Duration of task	Task/milestone revised start date or actual start date	Revised actual finish date	Red, Amber, Green, Closed, Complete	Relevant comments here, particularly where status is Red or Amber

Alignment Project

1.	Implementation of new unit	Transitional phase	2.7.12	31.3.13	170 days	20.7.12	31.3.13	Ongoing	
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Communication plan

2.	Internal survey	customer	Repeat survey	1.04.13	15.04.12	1 day			Green	
3.	Internal survey	customer	Survey end	16.04.13	16.04.13	1 day			Green	
4.	Internal survey	customer	Analyse results	17.04.13	18.04.13	1 day			Green	

5.	Briefing session	Launch of new unit to internal stakeholders	1.4.12	31.7.12	1 day meeting			Ongoing	
6.	Briefing sessions	Launch of new unit to key strategic suppliers	02.01.13	31.03.13	1 day meeting			Green	

	Red	Amber	Green
Schedule (time related)	<i>Deviation outside tolerance – no viable plan for getting back on track</i>	<i>Deviation outside tolerance – viable plan for getting back on track</i>	<i>On schedule/deviation is within tolerance</i>
People (resource related)	<i>Resource issues impacting schedule – no viable plan for resolution</i>	<i>Resource issues – viable plan for resolution</i>	<i>No (significant) resource issues</i>
Scope (as defined in PID)	<i>Scope changes – one or more objectives will not be met</i>	<i>Scope changes – objectives will still be met</i>	<i>On track to deliver complete scope</i>
Cost (as defined in PID)	<i>Deviation against monthly forecast outside tolerance – no viable plan for getting back on track</i>	<i>Deviation against monthly forecast outside tolerance – viable plan for getting back on track</i>	<i>On target/deviation is within tolerance</i>

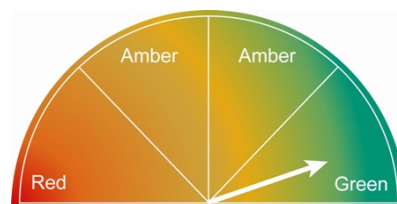
Risk	<i>Insufficient plans in place to reduce impact/probability to desired levels</i>	<i>Some plans but impact/probability still higher than desired</i>	<i>Plans in place to reduce impact/probability to desired levels</i>
Summary Status <i>This is subjective, but should be reconciled with all items above and stand up to challenge</i>	<i>Programme delivery is severely compromised</i>	<i>Programme delivery is weakened</i>	<i>Programme on track to deliver to schedule, scope and cost</i>

Nottinghamshire Office of the Police & Crime Commissioner &
Nottinghamshire Police

Strategic Risk Management - Framework

Internal Audit Report (9.12/13)
13 May 2013

Overall Opinion



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Findings and Recommendations	7

		Auditors	Patrick Green, Partner Angela Ward, Manager Kashif Azeem, Senior Auditor
Draft report issued	02 April 2013		
Responses received	10 May 2013		
Final report issued	13 May 2013	Client sponsor	Charlotte Radford, Treasurer Margaret Monckton, ACO Resources
		Distribution	Charlotte Radford, Treasurer (PCC) Margaret Monckton, ACO Resources Julie Mair, Planning & Policy Officer



This review has been performed using RSM Tenon's bespoke internal audit methodology, **i-RIS**.

The matters raised in this report are only those which came to our attention during our internal audit work and are not necessarily a comprehensive statement of all the weaknesses that exist, or of all the improvements that may be required. Whilst every care has been taken to ensure that the information provided in this report is as accurate as possible, based on the information provided and documentation reviewed, no complete guarantee or warranty can be given with regard to the advice and information contained herein. Our work does not provide absolute assurance that material errors, loss or fraud do not exist.

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1 EXECUTIVE SUMMARY

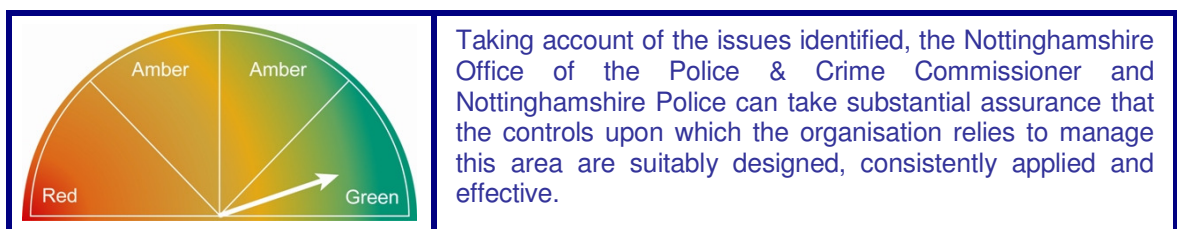
1.1 Introduction

An audit of Strategic Risk Management was undertaken as part of the approved internal audit periodic plan for 2012/13.

We met with the Strategic Support Officer, to fully understand how risk is being managed within the Organisation. It is noted that the approach taken is a new process to the Organisation and is not fully embedded, at the time of the audit. Therefore, due to the timing of the audit and the work being completed by the PCC and Force in relation to risk identification and risk assessments, it is intended to complete a follow up review of Risk Management, early on in Quarter 2 of 2013/14. This will provide a complete understanding of how Risk Management is being managed, embedded and assessed, within both the PCC and Force.

The purpose of the audit is to review the risk management framework and governance, to provide assurances that it reflects an effective and robust mechanism to fully manage the risk management processes and furthermore, provides linkage to other strategic tasks, performed by the Organisation. We were requested by Management to consider the risks and indeed the framework surrounding Information Governance and the linkage to Business Planning/ Improvement activities. Details of our findings are documented within the main body of the report.

1.2 Conclusion



The above conclusions feeding into the overall assurance level are based on the evidence obtained during the review. The key findings from this review are as follows:

Design of control framework

We have not made any recommendations in relation to the design of the control framework. The following areas of sound control design were identified:

- The Force has recently reviewed the Corporate Risk Management Policy. The Policy was introduced in January 2013 and is next due to be reviewed in January 2014. The Policy defines the role and responsibilities of key officers including:
 - The Police and Crime Commissioner (PCC), through the Audit Committee;
 - The Deputy Chief Constable (DCC);
 - The Assistant Chief Officer (ACO) (Resources);
 - The Head of Business and Finance;
 - The Organisational Development Manager;
 - The Assistant Chief Constables (ACCs);
 - Divisional Commanders and Heads of Department;
 - The Planning and Policy Officer;
 - Business Partners; and
 - Individual project managers and action owners.

- To support the Corporate Risk Management Policy, the Force has developed a formal Corporate Risk Management Procedure. The procedure was developed in January 2013 and is next due for review in January 2014. The procedure provides the framework by which risks will be identified, reviewed, analysed, controlled and monitored.
- The first revision as a result of the Corporate Risk Management Policy was presented to the PCC's inaugural Audit and Scrutiny Panel, on 14 February 2013.
- All strategic risks are reported to the Chief Officer Board and the Strategic Support Officer meets with the Deputy Chief Constable to go through the Risk Register in detail. This is considered to be good practice.
- As part of the debrief process and in discussion with the Strategic Support Officer, it was established that for 2013/14, there is a Joint Strategic Risk Register in place (same format as that used for Q3 & Q4), that will be presented to the Audit and Scrutiny Panel in June 2013. On review it was noted that the Register includes the priorities for the PCC and Force, together with identified risks to achieving the objectives, the key controls, actions required, responsible officers and risk ratings.
- Within the Joint Strategic Risk Register there is a 'medium rated' specific risk regarding Information Governance/Assurance (STR 024). To support the risk and the management of the risk, there is a specific Corporate Risk Review, monitoring of which takes place at the Force Information Assurance Board (Chaired by the Deputy Chief Constable). On review of the Corporate Risk Review for Information Assurance, it was confirmed that the documentation incorporated those areas that we would expect to see. One of the key areas surrounding Information Governance is the sharing of information with partners and ensuring appropriate agreements are in place and it was reassuring that this had been included within the Risk Review documentation. We did note that there were no risks specific to training and as such we have made a low priority recommendation that this be included. It is important that the Organisation can be assured that all officers are aware of their responsibilities surrounding information governance. It should be noted that there is a significant amount of work that needs to be completed surrounding Information Governance, but this has been appropriately identified by Management and is being adequately monitored to confirm that the tasks are being completed. Furthermore, we shared with Management a toolkit which is used in other sectors, regarding Information Governance, as a mechanism to check that the principles of Information Governance had been considered, addressed by the Organisation and to assist with the completion of the tasks in hand.
- It is important that the Risk Management process links to other strategic tasks completed by the Organisation. As such, we considered the business planning / improvement process to confirm that there is clear link to the Risk Management process, to minimise duplication and maximise sharing of information. In discussion with the Strategic Support Officer we were able to understand and confirm the current process. As an example, we used the area of Health & Safety to demonstrate the current process in place;
 - Within the Joint Strategic Risk Register there is a specific risk (STR 013) – Will the Force continue to support, promote and maintain the health, safety and wellbeing of its workforce and others who might be affected by its activities.
 - We obtained the Corporate Risk Review and confirmed that it is appropriately detailed, with improvements/to be implemented, with actions assigned to individuals, with timescales (although this wasn't fully completed, it was noted that it is work in progress)
 - These actions/improvements are included within the Improvement Plan, which is managed within the Planning & Policy Team and thus links to the Strategic Support Officer, responsible for Risk Management.

Application of and compliance with control framework

As a part of the review, we have identified one recommendation prioritised as 'medium' and two recommendations prioritised as 'low' in relation to the application of the control framework. These are in relation to the following areas:

- Our review of the Q3 and the Q4 Strategic Risk Register identified one risk (Orchid Reference STR019) which was previously scored as a Low. However, for the Q4 review, this has moved to a Medium with no real detail as to what has caused the increase. A number of new controls have been identified from Q3, which would point to the risk remaining as a Low risk due to the all of the current controls in place to mitigate the risk.
- Our review of the Q3 and the Q4 Strategic Risk Register identified one risk (Orchid Reference STR018), where a key control was included within the Q3 risk register but was not included in the Q4 risk register. In addition, this has not caused a change in risk score either.
- Specifically in relation to Information Governance, it was noted that there were no risks included that are specific to training and ensuring that officers are fully aware of their responsibilities regarding information governance.

In addition, we have also identified the following areas of sound control application:

- The Force has formally reviewed its Strategic Risk Register on a quarterly basis as a result of the Force's Corporate Risk Management Policy.
- A review of the Force Strategic Risk Register identified that a Risk Register has been developed based on the principles included within the Corporate Risk Management Policy and Procedure. A review of the Q3, Q4 and the Joint Strategic Risk Register confirms that the same format has been used.
- A review of the Q3, Q4 and Joint Strategic Risk Registers identified that all of the risks included the risk impact category.

1.3 Scope of the review

To evaluate the adequacy of risk management and control within the system and the extent to which controls have been applied, with a view to providing an opinion. Control activities are put in place to ensure that risks to the achievement of the organisation's objectives are managed effectively. When planning the audit, the following controls for review and limitations were agreed:

Limitations to the scope of the audit:

- We have specifically considered the risk review element and provide assurance that it is in place and in accordance with policy and procedure.
- We have provided assurance that the Risk Management is clearly linked to the Business Planning process and how any issues arising from the Business Planning process have been reflected within the Risk Register.
- The review focused on the form and function of the Force Strategic Risk Register only and not the entire risk management framework in operation at the Force;
- The review did not consider the validity or accuracy of the assurances received;
- The review did not examine the appropriateness of the Force's corporate objectives; and
- Our work does not provide any absolute assurance that material errors, loss or fraud do not exist.

The approach taken for this audit was a Key Controls Audit.

1.4 Recommendations Summary

The following tables highlight the number and categories of recommendations made. The Action Plan at Section 2 details the specific recommendations made as well as agreed management actions to implement them.

Recommendations made during this audit:

Our recommendations address the design and application of the control framework as follows:

	Priority		
	High	Medium	Low
Design of control framework	0	0	0
Application of control framework	0	1	2
Total	0	1	2

The recommendations address the areas within the scope of the audit as set out below:

Area	Priority		
	High	Medium	Low
Risk Management Policy and Procedure	0	0	0
Roles and Responsibility	0	0	0
Risk Review	0	1	2
Total	0	1	2

1.5 Additional Feedback

We have also made two suggestions that Nottinghamshire Office of the Police & Crime Commissioner and Force may wish to consider:

Suggestions Made During the Audit
In future, it may be beneficial for a member of the OPCC to attend the Force Information Assurance Board. This would provide an opportunity for the OPCC to formally report any concerns surrounding Information Governance or alternatively to be assured that the associated risks and actions are being managed and addressed.
The Organisation may wish to consider the scoring used to score the strategic risks and whether these truly match the risk scoring matrix included within the Corporate Risk Management Procedures and are reflective of the business critical risks faced by the Force.

2 ACTION PLAN

The priority of the recommendations made is as follows:

Priority	Description
High	Recommendations are prioritised to reflect our assessment of risk associated with the control weaknesses.
Medium	
Low	
Suggestion	These are not formal recommendations that impact our overall opinion, but used to highlight a suggestion or idea that management may want to consider.

Ref	Recommendation	Categorisation	Accepted (Y/N)	Management Comment	Implementation Date	Manager Responsible
3.2	Specifically for Information Assurance, it is suggested that within the Corporate Risk Review process that issues surrounding training and ensuring officers are aware of their responsibilities, specifically regarding information governance is included.	Low	Y	Agreed. This has now been included in the Corporate Risk Review for the strategic risk STR 0	Already complete	Julie Mair, Acting Organisational Development Manager
3.3	Moving forward where a risk score moves, either up or down and the responsible officer should provide a brief narrative to support the movement. This should be included within the Corporate Risk Review and the Strategic Risk Review.	Low	Y	Agreed. The process required to achieve this is already in place. All recommended changes to strategic risks will be recorded in the Corporate Risk Review with rationale. Evidence to support this will be available once the first full quarterly review has been completed in June.	Already complete	Julie Mair
3.5	The Force should ensure that when the quarterly Corporate Risk Review is performed, the previous quarter's risk	Medium	Y	Agreed. As above, the process is in place to achieve this.	Already complete	Julie Mair

Ref	Recommendation	Categorisation	Accepted (Y/N)	Management Comment	Implementation Date	Manager Responsible
	<p>register is reviewed to confirm all current key controls and all to be implemented control remain in place.</p> <p>Where controls are removed completely or moved to the 'in place' sections the reason for the removal or move, and its impact on the risk score, should be documented within the Corporate Risk Review.</p>					
Ref	Suggestion		Management Comment			
3.2	In future, it may be beneficial for a member of the OPCC to attend the Force Information Assurance Board. This would provide an opportunity for the OPCC to formally report any concerns surrounding Information Governance or alternatively to be assured that the associated risks and actions are being managed and addressed.		FIAB to invite POCC as a member to scrutinise the structure, process and governance in place for information assurance. It would be useful and in line with the decision to have a joint risk management plan. It would enable the Commissioners office to feed in 'comments on' risks that are jointly owned.			
3.3	The Force may want to consider the scoring used to score the strategic risks and whether these truly match the risk scoring matrix included within the Corporate Risk Management Procedures and are reflective of the business critical risks faced by the Force.		When the full risk review process is implemented all strategic risks will be subject to rigorous scoring based on detailed analysis and use of key risk indicators. The processes we are putting in place will identify and assess the Force's biggest risks and enable effective measures to be taken to reduce or remove them.			

3 FINDINGS AND RECOMMENDATIONS

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
Area: Risk Management Policy and Procedure					
1.1	The Force have developed a formal Corporate Risk Management Policy.	Yes	<p>The Force have recently reviewed the Corporate Risk Management Policy. The Policy was introduced in January 2013 and is next due to be reviewed in January 2014. A review of the Policy identifies that responsibilities include:</p> <ul style="list-style-type: none"> ▪ The Police and Crime Commissioner (PCC), through the Audit Committee, is responsible for oversight and scrutiny of the Force's corporate risk management; ▪ The Deputy Chief Constable (DCC) is the Registered Owner of the Policy and is responsible for the management of the Strategic Risk Register on behalf of the Chief Constable; ▪ The Assistant Chief Officer (ACO) (Resources) is responsible for authorising the Policy on behalf of the DCC; ▪ The Head of Business and Finance is the Registered Owner of and is responsible for authorising the Corporate Risk Management Procedure; ▪ The Organisational Development Manager 	No recommendation made.	

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<p>is the Functional Owner of the Policy and the Procedure and is responsible for ensuring that they remain up to date and fit for purpose;</p> <ul style="list-style-type: none"> ▪ The Assistant Chief Constables (ACCs) and ACO are responsible for managing individual risks within the Strategic Risk Register and for oversight of all division and / or department risks within their portfolio; ▪ Divisional Commanders and Heads of Department are responsible for managing their own risk registers, allocating responsibility for individual risks to members of their Senior Management Team, and escalating potential strategic risks to their ACC or ACO; ▪ The Planning and Policy Officer, supported by one of the Strategic Support Officers, is responsible for providing professional advice and guidance on all aspects of the Corporate Risk Management Policy and Procedure, facilitating full risk reviews and maintaining the risk registers held on the Orchid Risk Management System; ▪ Business Partners are responsible for supporting the Planning and Policy team to deliver the risk review process, and facilitating interim risk reviews; and 		

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<ul style="list-style-type: none"> Individual project managers and action owners are responsible for the identification and management of risks to their activities within the Nottinghamshire Police Project Management Methodology and the Force Action Plan. <p>In addition, the Policy links to the Corporate Risk Management Procedure (see paragraph 1.2, below for further details).</p>		
1.2	The Corporate Risk Management Procedures support the Policy and include the process and definitions for assessing and scoring the impact and probability of the risk.	Yes	<p>The Force have developed a formal Corporate Risk Management Procedure. The Procedure was developed in January 2013 and is next due for review in January 2014. A review of the Procedure identifies the following salient points:</p> <p>Risk Management Structure</p> <ul style="list-style-type: none"> A strategic risk register will be developed which will be managed by the Chief Officer Team; and Division and department risk registers will be developed which will be managed by members of the Senior Management Team (SMT); <p>The risk review process</p> <p>A 4 step risk review process has been developed:</p>	No recommendation made.	

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<p>Risk identification</p> <ul style="list-style-type: none"> In order to be considered for inclusion on a corporate risk register a potential new risk must be raised at the appropriate management meeting for consideration: Strategic risks - Chief Officer Team meeting; or Division or department risks - Senior Management Team meeting. <p>Once a potential new risk has been identified at the appropriate meeting and accepted by the Chair as requiring a formal evaluation, the risk must be assigned to a Responsible Officer, who has overall responsibility for managing the risk. The Responsible Officer may at any time designate a Risk Co-ordinator, who acts on their behalf to evaluate and review the risk.</p> <p>Risk analysis</p> <p>The Responsible Officer (or Risk Co-ordinator) must carry out a full risk analysis for all newly identified risks, and when completing a formal risk review. This process will be supported by a member of the Planning & Policy team, using a standard corporate template.</p> <p>The first stage of risk analysis is to describe the risk</p>		

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<p>clearly and concisely. This also includes linking the risk to the Force's strategic objectives, as specified in the Police and Crime Plan. All risks are then categorised and scored according to the area of business they are likely to have the biggest impact on. Once the risk has been described and categorised the risk should be scored.</p> <p>Risk scoring is achieved through an evaluation of the chance that the risk will materialise, based on an understanding of the likely cause and event (Likelihood), and the potential effect it will have (Impact), taking account of any controls that are already in place to either reduce the likelihood or mitigate the impact.</p> <p>Once a risk has been analysed a risk appetite should be set for each separate threat or vulnerability. Risk appetite is the highest level of risk which the organisation is prepared to accept before it feels compelled to take further action. Put another way, it is the target level for reducing individual risk scores. The Responsible Officer (or Risk Co-ordinator) should determine their risk appetite on an individual risk basis, taking account of any potential benefits or opportunities which may arise should the risk be left unchecked and the relative cost and feasibility of attempting to control the risk, so that the Force response is proportionate. The overall risk appetite for a risk will be the lowest appetite applied to each of the individual threats and vulnerabilities.</p> <p>Risk control</p>		

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<p>Once a risk has been analysed and scored, a basic risk control strategy should be determined by the Responsible Officer (or Risk Co-ordinator) for each threat and vulnerability. The chosen strategy should fall into one of the following four categories, typically referred to as the 4Ts:</p> <ul style="list-style-type: none"> ▪ Treat: Take action to reduce the likelihood or mitigate the impact of the risk; ▪ Tolerate: Accept the risk and take no further action at this time; ▪ Transfer: Make someone else responsible for the risk, such as through contracting out, a service level agreement, or an insurance policy; or ▪ Terminate: Withdraw from the activity that is at risk. <p>Risk monitoring</p> <p>Effective risk management requires a structured monitoring and review process to provide assurance that necessary controls are in place and to enable correct prioritisation where additional action is required. This process will be supported by the Planning and Policy team. There are two distinct types of risk review:</p> <ul style="list-style-type: none"> ▪ A full risk review involves the completion of 		

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<p>all stages; and</p> <ul style="list-style-type: none"> An interim risk review to provide assurance that controls are still effective, that no new vulnerabilities have been exposed since the last review and that there are no significant events on the horizon. <p>The level of risk review required is determined by the current risk rating, as follows:</p> <ul style="list-style-type: none"> All High (Red) risks should receive a full risk review every quarter and an interim risk review every month; All Medium (Amber) risks should receive a full risk review every 6 months and an interim risk review every quarter; and All Low (Green) risks should receive a full risk review every 12 months and an interim risk review every six months. 		
Area: Roles and Responsibility					
2.1	The Force formally reviews its Strategic Risk Register to confirm the registers are reflective of the Force's current trading environment.	Yes	<p>The Force formally reviews its Strategic Risk Register on a quarterly basis as a result of the Force's Corporate Risk Management Policy.</p> <p>The first revision as a result of the Corporate Risk Management Policy, was presented to the PCC's inaugural Audit and Scrutiny Panel on 14 February</p>	No recommendation made.	

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<p>2013. At the time of the audit, a further review of the corporate risks was being undertaken by the ACO (Resources). This review was work in progress during our review. This Corporate Risk Review should allow the Force to document, for each risk, the following:</p> <p>Risk Identification</p> <ul style="list-style-type: none"> ▪ The risk title; ▪ A Responsible Officer linked to the risk; ▪ A Risk Co-ordinator linked to the risk; ▪ Which operational risk register the risk originates from; <p>Risk Analysis</p> <ul style="list-style-type: none"> ▪ A description of the risk; ▪ The risk priority; ▪ The impact category; ▪ The risk score (including risk appetite and Reference); ▪ The likelihood score (including the key likelihood risk indicators); 		

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<ul style="list-style-type: none"> The impact score (including the key impact risk indicators); The cause of the risk (also known as the vulnerability); The risk event (also known as the threat or opportunity / likelihood); The effect of the risk (also known as the impact); The risk control strategy (treat / tolerate / transfer / terminate) and the risk appetite; <p>Risk Control</p> <ul style="list-style-type: none"> The current controls in place, including the cost implications, assurance level and where the assurance is provided from; The additional controls which need to be implemented, including the cost implications, the action owner, the target date for completions and the risks to the completion of the action; <p>Risk Monitoring</p> <ul style="list-style-type: none"> The recommended likelihood score; The recommended impact score; 		

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<ul style="list-style-type: none"> The recommended risk score, including and additional recommendations in relation to the risk; The date of the risk review; and Who undertook the review. <p>As part of the debrief process and in discussion with the Strategic Support Officer, it was established that for 2013/14, there is a Joint Strategic Risk Register in place (same format as that used for Q3 & Q4), that will be presented to the Audit and Scrutiny Panel in June 2013. On review it was noted that the Register includes the priorities for the PCC and Force, together with identified risks to achieving the objectives, the key controls, actions required, responsible officers and risk ratings.</p>		
Area: Risk Review					
3.1	The standard Risk Register template has been used to document all strategic risks associated with the operation of the Constabulary.	Yes	<p>A review of the Force Strategic Risk Register identified that a Risk Register has been developed based on the principles included within the Corporate Risk Management Policy and Procedure.</p> <p>A review of the Q3 and Q4 risk registers confirms that the same format has been used. It should be noted that the Q4 risk register now includes the Risk Reference Number against each risk.</p> <p>In addition, since Q3, for each risk in the Q4 risk register, the risk title and a description of the risk have now been included to further enhance the risk</p>	No recommendation made.	

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<p>register.</p> <p>Furthermore, as detailed above, for 2013/14 there is a Joint Strategic Risk Register in place (same format as that used for Q3 & Q4), that will be presented to the Audit and Scrutiny Panel in June 2013. On review it was noted that the Register includes the priorities for the PCC and Force, together with identified risks to achieving the objectives, the key controls, actions required, responsible officers and risk ratings.</p>		
3.2	<p>The Risk Register identifies a number of risks linked to a Strategic Priority.</p> <p>Each risk is assigned to a risk owner.</p> <p>Each risk is assigned a Risk Reference number.</p>	Yes	<p>Risk Description</p> <p>A review of the Q3 and Q4 Force Strategic Risk Registers identified the following risks have been identified:</p> <ul style="list-style-type: none"> ▪ To Cut Crime and Keep You Safe: 6 risks in total; ▪ To Spend Your Money Wisely: 8 risks in total; and ▪ To Earn your Trust and Confidence: 7 risks in total (1 addition since Q3). <p>In all cases, a risk description has been detailed within the risk map. These have been revised for the Q4 risk register and for the Joint Strategic Risk Register.</p>	<p>Specifically for Information Assurance, it is suggested that within the Corporate Risk Review process that issues surrounding training and ensuring officers are aware of their responsibilities, specifically regarding information governance is included.</p> <p>In future, it may be beneficial for a member of the OPCC to attend the Force Information Assurance Board. This would provide an opportunity for the OPCC</p>	<p>Low</p> <p>Suggestion</p>

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<p>Risk Owner</p> <p>In each case an owner has been attached to the risk.</p> <p>Risk Reference</p> <p>In each case a Risk Reference Number has been attached to the risk.</p> <p>Risk Review</p> <p>A review of the Strategic Risk Register identified that the current risks do not relate to all areas. However, it is noted that this is included within a summary report and full risk descriptions and specific threats and opportunities are included within the individual risk reviews. Each strategic risk has a specific and more detailed individual risk review. As part of the audit, we reviewed the individual risk review for Health & Safety and confirmed that it was appropriately detailed.</p> <p>As part of the audit we reviewed the Force Strategic Risks against risk registers from other organisations and identified that the following areas and/or risks have not been identified:</p> <ul style="list-style-type: none"> Asset Security, both in terms of IT and non-IT assets. Assets should be protected from access, use, disclosure, alteration, destruction, and/or theft, resulting in loss to 	to formally report any concerns surrounding Information Governance or alternatively to be assured that the associated risks and actions are being managed and addressed.	

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<p>the Force;</p> <ul style="list-style-type: none"> Business continuity in relation to the critical business functions which will be available to customers, suppliers, regulators, and other such as system backups, change control, and help desks. This is not something which is implemented at the time of a disaster but those activities performed daily to maintain service, consistency, and recoverability (BS 25999-1:2006 Business Continuity Management. Code of Practice and ISO 22301); Contingency planning. For example, when an exceptional risk which, the likelihood of occurrence being low, would have catastrophic consequences; Disaster recovery, i.e. the process, policies and procedures in relation to preparing for recovery or continuation of business critical areas after a natural or human-induced disaster; and Disaster recovery planning, in particular the is a documentation of the process or a set of procedures to recover and protect a business infrastructure in the event of a disaster; Key staff leave the Organisation leading to loss of key historic knowledge / loss of 		

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<p>credibility and reputation with funders and regulator;</p> <ul style="list-style-type: none"> Integration of the Force and PCC / re-organisation of the Force's services; and Loss of the trust of partners and service-users due to poor service delivery leading to reputation of the Force declines and customers do not want to access services; <p>We shared this listing with the Force, as part of a discussion draft report for consideration and we are satisfied that the Force have considered the risks outlined above and have and will incorporate the areas within existing strategic risks or will be included within divisional or departmental risk registers.</p> <p>Within the Joint Strategic Risk Register there is a 'medium rated' specific risk regarding Information Governance/Assurance (STR 024). To support the risk and the management of the risk, there is a specific Corporate Risk Review, monitoring of which takes place at the Force Information Assurance Board (Chaired by the Deputy Chief Constable). It was noted that on review of those that attended the Board, that there is currently no representation from the OPCC. It may be useful for a member to attend the Board to either raise any concerns around Information Governance from an OPCC perspective or just to be assured that the risks and actions are being managed and addressed.</p>		

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<p>On review of the Corporate Risk Review for Information Assurance, it was confirmed that the documentation incorporated those areas that we would expect to see. One of the key areas surrounding Information Governance is the sharing of information with partners and ensuring appropriate agreements are in place and it was reassuring that this had been included within the Risk Review documentation. We did note that there were no risks specific to training and as such we have made a low priority recommendation that this be included. It is important that the Organisation can be assured that all officers are aware of their responsibilities surrounding information governance.</p> <p>Furthermore, we shared with Management a toolkit which is used in other sectors, regarding Information Governance, as a mechanism to check that the principles of Information Governance had been considered and addressed by the Organisation.</p>		
3.3	For each risk, the owner has to score the risk based likelihood and impact of the risk occurring. In each case, the risk is scored Very High (VH), High (H), Medium (M) or Low (L).	Yes	<p>A review of the Q3 and Q4 Force Strategic Risk Registers identified that all risks have been given a risk score Medium (M) or Low (L).</p> <p>It should be noted that no Very High (VH) or High (H) risk scores are present within the risk register in Q3 or Q4. Given that the risk register is a strategic risk register, one would assume that these are business critical risks which would encompass the entire plethora of risk scores. However, it is noted that within the Joint Strategic Risk Register that will be presented to the Joint Audit & Scrutiny Panel in</p>	<p>Moving forward where a risk score moves, either up or down and the responsible officer should provide a brief narrative to support the movement. This should be included within the Corporate Risk Review and the Strategic Risk Review.</p> <p>The Force may want to</p>	Low

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<p>June 2013, includes one High risk.</p> <p>One risk (Reference STR019) was previously scored as Low. However, for the Q4 review, this has moved to a Medium with no real detail as to what has caused the increase. A number of new controls have been identified from Q3, which would point to the risk remaining as a Low risk due to all of the current controls in place to mitigate the risk.</p>	consider the scoring used to score the strategic risks and whether these truly match the risk scoring matrix included within the Corporate Risk Management Procedures and are reflective of the business critical risks faced by the Force.	Suggestion
3.4	Once the risk has been assessed for likelihood / probability and impact, a risk impact category should be identified.	Yes	<p>A review of the Q3 and Q4 Force Strategic Risk Registers identified that all of the risks included within the Force Strategic Risk Register identified that in all cases, the risk impact category has been formally identified.</p> <p>Similarly, on review of the Joint Strategic Risk Register that will be presented to the Joint Audit & Scrutiny Panel in June 2013, it was noted that the risk impact category had been identified.</p>	No recommendation made.	
3.5	For each risk, the risk owner identifies the current controls in place to mitigate the risk.	Yes	<p>A review of the Q3 and Q4 Force Strategic Risk Registers identified that all risks identify the current key controls in place.</p> <p>Our review identified one risk (Reference STR018), where a key control was included within the Q3 risk register but was not included in the Q4 risk register. In addition, this has not caused a change in risk score either.</p>	The Force should ensure that when the quarterly Corporate Risk Review is performed, the previous quarter's risk register is reviewed to confirm all current key controls and all to be implemented controls remain in place.	Medium

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
				Where controls are removed completely or moved to the 'in place' sections the reason for the removal or move, and its impact on the risk score, should be documented within the Corporate Risk Review.	
3.6	For each risk, the risk owner identifies the proposed controls which need to be established to fill identified gaps and to further mitigate the risk.	Yes	<p>A review of the Q3 and Q4 Force Strategic Risk Registers identified:</p> <ul style="list-style-type: none"> For 16 / 21 risks, the actions or controls to be implemented had been identified; For Risk STR004, the to be implemented controls had been included on Q4 despite these controls being noted in Q3. The controls have not been included within the 'in place' controls; For Risk STR008, no actions or controls to be implemented had been identified. In addition, the risk score remains at Medium; For Risk STR013, no actions or controls to be implemented had been identified; For Risk STR014, 2 to be implemented controls have been identified. However, the Q3 identifies additional controls which have 	Also see our recommendation made at paragraph 3.5, above.	

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			<p>not been added to the in place controls. In addition, the risk score remains at Medium;</p> <ul style="list-style-type: none"> For Risk STR021, this risk has been added to the risk register since Q3. None to be implemented controls have been identified. <p>Without the clear identification of the 'to be implemented' controls, users of the risk register cannot determine whether the risk will be further mitigated.</p>		

For Information	
Public/ Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	1st July 2013
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
E-mail:	
Other Contacts:	Angela Ward
Agenda Item:	7

INTERNAL AUDIT ANNUAL REPORT 2012-13

1. Purpose of the Report

- 1.1 To provide members with the internal auditors assurance opinion in relation 2012-13 and an update on overall performance against the 2012-13 audit plan.

2. Recommendations

- 2.1 Members are requested to note the opinion and performance against the 2012-13 plan.

3. Reasons for Recommendations

- 3.1 This complies with the terms of reference for this committee and good governance.

4. Summary of Key Points

- 4.1 Attached at **Appendix A** is the Internal Audit Annual Audit report providing and adequate assurance for the 2012-13 financial year.

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 Risk is identified within the annual report and the individual audit reports issued throughout the year.

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

9.1 This complies with audit regulations and good governance.

10. Changes in Legislation or other Legal Considerations

10.1 None

11. Details of outcome of consultation

11.1 None

12. Appendices

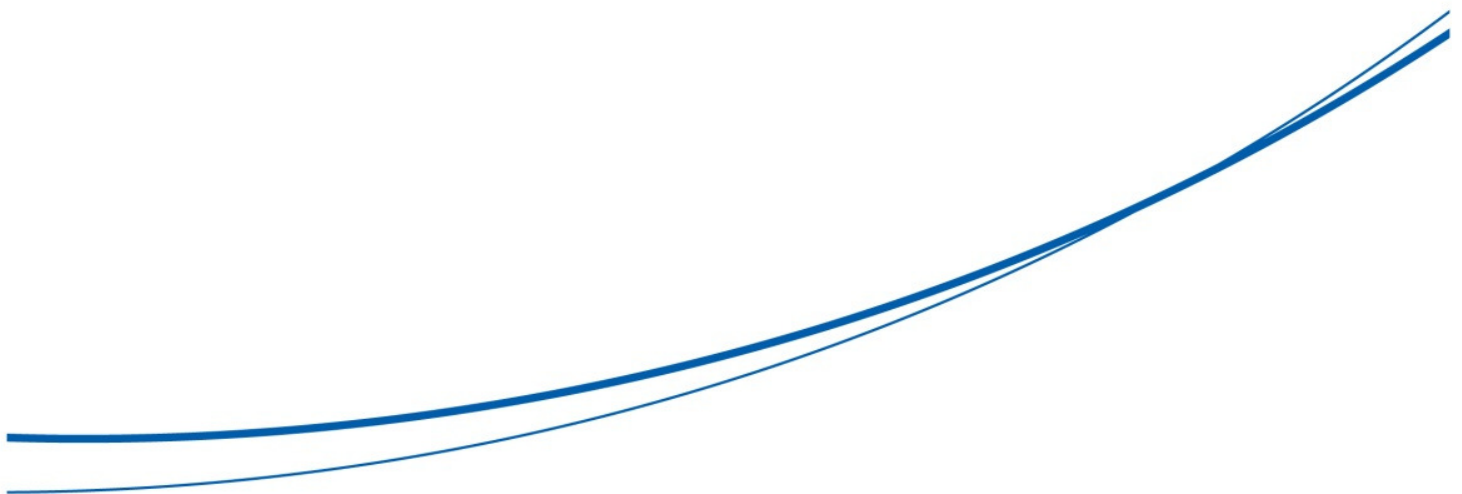
12.1 A – Internal Audit Annual Internal Audit Report

13. Background Papers

13. None



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NOTTINGHAMSHIRE OFFICE OF THE POLICE & CRIME COMMISSIONER &
NOTTINGHAMSHIRE POLICE

Internal Audit Annual Report
Year ended 31 March 2013

Presented at the Audit Committee meeting of: 1st July 2013

Patrick Green
Head of Internal Audit

1 INTERNAL AUDIT OPINION

1.1 Context

As the provider of the internal audit service to Nottinghamshire Office of the Police & Crime Commissioner & Nottinghamshire Police we are required to provide the Section 151 Officer and the Audit Committee an opinion on the adequacy and effectiveness of the organisation's governance, risk management and control arrangements. In giving our opinion it should be noted that assurance can never be absolute. The most that the internal audit service can provide is a reasonable assurance that there are no major weaknesses in risk management, governance and control processes.

In line with the Financial Management Code of Practice published by the Home Office, both the Office of the Police and Crime Commissioner (OPCC) and the Chief Constable must have an internal audit service, and there must be an audit committee in place (which can be a joint committee). This annual report is therefore addressed to both the PCC and the Chief Constable, and summarises the work undertaken during 2012/2013 which saw the abolition of the Police Authority and the creation of the PCC.

As your internal audit provider, the assurance and advisory reviews that RSM Tenon provides during the year are part of the framework of assurances that assist the PCC and Chief Constable prepare an informed annual governance statement.

1.2 Internal Audit Opinion 2012/2013

For the 12 months ended 31 March 2013, based on the work we have undertaken, our opinion is that the Nottinghamshire Office of the Police & Crime Commissioner & Nottinghamshire Police's had adequate arrangements for governance, risk management and control. Since November 2012, when the PCC took up post, we have completed reviews of risk management and some specific advisory reviews, which have indicated areas for improvement. It is acknowledged that the Organisation is in a process of change and our recommendations, where applicable, are reflective of the changing environment.

1.3 The Basis of the Opinion

1.3.1 Governance

Earlier in 2012/13, we attended the HMIC meeting where the transitional arrangements to the Police and Crime Commissioner were reviewed. We were satisfied that the Authority (at that time) had arrangements in place and had appropriately addressed the feedback, following the HMIC visit.

In addition, we completed our Partnerships – Governance Arrangements audit which considered the framework at both a strategic level and at an operational level for the management and review of partnerships. We provided a positive level of assurance (amber/green) and are satisfied that Management are addressing the recommendations made.

Furthermore, we undertook an advisory review of Force Anti-Fraud Corruption Policy and Whistleblowing Policy and provided recommendations to assist the organisation in the development of these policies to achieve sector recognised good practice. The outcome of the review was shared directly with Management, for consideration and inclusion within the relevant policies.

We haven't completed a specific review of governance since the PCC has been in place. We are aware of the plans in place to progress governance arrangements and we recognise that this is an area that is changing rapidly. As such, we are satisfied with arrangements in place and are intending to complete a governance review during quarter 1 / quarter 2 of 2013/14.

1.3.2 Risk Management

It is noted that the approach taken to manage risk within the organisation is a new process and was not fully embedded, at the time of the audit. Therefore, due to the timing of the audit and the work being completed by the PCC and Force in relation to risk identification and risk assessments, it is intended to complete a follow up review of Risk Management, early on in Quarter 2 of 2013/14. However, the purpose of the audit was to review the risk management framework and governance, to provide assurances that it reflects an effective and robust mechanism to fully manage the risk management processes and furthermore, provides linkage to other strategic tasks, performed by the Organisation. We provided a positive (green) level of assurance.

1.3.3 Control

The Organisation has received a green (substantial) level of assurance for Strategic Risk Management, Management of Crime, Cash, Banking & Treasury Management, General Ledger, Fixed Assets, Inventories and Insurance, Payroll & Creditors. Whilst our review of Partnerships – Governance Arrangements resulted in amber/green assurance (albeit still positive), we are satisfied by Management that they are addressing the recommendations made.

We have undertaken three follow up reviews within the period. We found that Good Progress had been made in implementing the recommendations from our HR Recruitment Report and Domestic Abuse (Scrutiny Committee report). We provided Adequate Progress in implementing the recommendations raised in prior year and inspection reports.

In addition, we have undertaken three specific advisory audits (Procurement – Programme of Change, Culture and Data Quality – Medacs).

1.3.4 All of the recommendations made during the year were accepted by management.

1.3.5 Progress made with previous internal audit recommendations

Our follow up of the recommendations, including those that were outstanding from previous years, showed that the organisation had made adequate progress in implementing the agreed recommendations.

1.3.6 Reliance Placed Upon Work of Other Assurance Providers

In forming our opinion we have not placed any direct reliance on other assurance providers.

2 OUR PERFORMANCE

2.1 Conformance with Internal Audit Standards

RSM Tenon affirms that our internal audit services to Nottinghamshire Office of the Police & Crime Commissioner and Nottinghamshire Police are designed to comply with the CIPFA Code of Practice for Internal Audit and the International Standards published by the Global Institute of Internal Auditors (IIA).

Under the standards, internal audit services are required to have an external quality and review at least once every five years. During 2011 RSM Tenon commissioned an external independent review of our internal audit services to provide assurance whether our approach meets the requirements set out in the International Professional Practices Framework (IPPF) published by the IIA.

The external review concluded that *“the design and implementation of systems for the delivery of internal audit provides **substantial assurance** that the standards established by the IIA in the IPPF will be delivered in an adequate and effective manner”*.

In this year we have reviewed our processes to ensure we will be conformant with the Public Sector Internal Auditing Standards when they are introduced in 2013/2014.

2.2 Conflicts of Interest

We (RSM Tenon) have not undertaken any work or activity during 2012/2013 that would lead us to declare any conflict of interests.

APPENDIX A: INTERNAL AUDIT OPINIONS AND RECOMMENDATIONS 2012/2013

Audit	Link to risk or rationale for coverage	Opinion	Actions Agreed (by priority)		
			High	Medium	Low
Partnerships – Governance Arrangements	Effective link between the police and communities	Amber / Green	0	2	2
Management of Crime	Crime prevention and reducing reoffending	Green	0	0	2
HR Recruitment – Follow Up	Workforce recruitment, management, training & development	Good Progress	0	0	2
Follow Up	To meet the IIA Standards and to provide management with ongoing assurance regarding implementation of recommendations.	Adequate	0	0	0
Asset Management	Financial control and annual budget External audit will wish to place reliance on testing undertaken by internal audit.	Green	0	0	3
Cash, Banking & Treasury Management	Financial control and annual budget External audit will wish to place reliance on testing undertaken by internal audit.	Green	0	0	0
General Ledger	Financial control and annual budget External audit will wish to place reliance on testing undertaken by internal audit.	Green	0	0	3
Creditors	Financial control and annual budget External audit will wish to place reliance on testing undertaken by internal audit.	Green	0	0	0
Payroll & Expenses	Financial control and annual budget External audit will wish to place reliance on testing undertaken by internal audit.	Green	0	0	0
Domestic Abuse Follow Up (Scrutiny Committee)	Protecting, supporting & responding to vulnerable people	Green	0	0	0
Culture	Management Concern	Advisory*	0	0	0
Strategic Risk Management Framework	Management Concern	Green	0	1	2
Procurement – Programme of Change	Management Concern	Advisory*	0	0	0
Data Quality - Medacs	Management Concern	Advisory	8	0	0
Total			8	3	14

*Advisory Recommendations were included within these reports

We use the following levels of opinion classification within our internal audit reports:

Red	Amber / Red	Amber / Green	Green
<p>Taking account of the issues identified, the Board cannot take assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied or effective.</p> <p>Action needs to be taken to ensure this risk is managed.</p>	<p>Taking account of the issues identified, whilst the Board can take some assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied and effective, action needs to be taken to ensure this risk is managed.</p>	<p>Taking account of the issues identified, the Board can take reasonable assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied and effective.</p> <p>However we have identified issues that, if not addressed, increase the likelihood of the risk materialising.</p>	<p>Taking account of the issues identified, the Board can take substantial assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied and effective.</p>

The matters raised in this report are only those which came to our attention during our internal audit work and are not necessarily a comprehensive statement of all the weaknesses that exist, or of all the improvements that may be required. Whilst every care has been taken to ensure that the information provided in this report is as accurate as possible, based on the information provided and documentation reviewed, no complete guarantee or warranty can be given with regard to the advice and information contained herein. Our work does not provide absolute assurance that material errors, loss or fraud do not exist.

This report, together with any attachments, is provided pursuant to the terms of our engagement. The use of the report is solely for internal purposes by the management and Board of our client and, pursuant to the terms of the engagement, it should not be copied or disclosed to any third party or otherwise quoted or referred to, in whole in part, without our written consent. No responsibility to any third party is accepted as the report has not been prepared, and is not intended for any other purpose.

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For Information	
Public/Non Public	Public
Report to:	Audit & Scrutiny Panel
Date of Meeting:	1st July 2013
Report of:	Assistant Chief Officer Margaret Monckton
Report Author:	Read Hibbert Planning & Policy Officer
E-mail:	Read.hibbert@nottinghamshire.pnn.police.uk
Other Contacts:	Simon Tovey – Head of Business and Finance
	Julie Mair – Organisational Development Manager
Agenda Item:	8

Audit, Inspection and Review Status Update

1. Purpose of the Report

- 1.1 The purpose of this report is to provide the Audit and Scrutiny Panel with an update on the status of actions from past audits, inspections and reviews. The report also informs the Panel of expected future audits, inspections and reviews.

2. Recommendations

- 2.1 That the panel note the progress made against audit and inspection recommendations.
- 2.2 That the panel also note the forthcoming audits, inspections and reviews.

3. Reasons for Recommendations

- 3.1 To enable the panel to fulfil its scrutiny obligations to oversee and consider Force arrangements to deliver against key audits, inspections and reviews.

4. Summary of Key Points

- 4.1 Actions are raised in response to recommendations from audits, inspections and reviews. These actions are added to the Force Action Plan and delivered through the Force business planning process.
- 4.2 **Appendix 1** shows the status of all current actions resulting from live audits, inspections and reviews. There are 4 actions that are currently showing as overdue.

These are summarised as follows:

Audit, Inspection, Review	Action	Comment
Criminal Justice Joint Inspection Report on Unannounced Visit to Custody Suites, HMIP/HMIC	Replace the call bell system at the Bridewell.	Call bell fitted and awaiting Commissioning document. A new target completion date is to be agreed.
Proceeds of Crime Act Audit Report 01.11/12	Complete the force wide roll out of electronic property recording, ensuring access is granted to the Force Investigation Unit and that they are involved in the development and roll out of the system.	20/05/2013 DCC Scrutiny. Does not support completion. Phase 1 is coming to an end. Phase 2 is 2-3 months away. This is not complete and a new target completion date is required.
Without fear or favour: A review of police relationships. HMIC review	Contract Management Policy to be written to provide guidance on governance and oversight of effective management of procurement and contractual arrangements.	A Contract Management Policy has been drafted, however, this document does not fully reflect the requirements of a policy. The DCC has asked that amendments are made to ensure that it fulfils all necessary requirements. A new target completion date is to be agreed.
Office of Surveillance Commissioner	A suitably robust audit process must be established in relation to level 1 Tactical Surveillance Unit to ensure integrity of purpose and accountability of equipment held.	20/05/2013 DCC Scrutiny. Does not support completion of the robust audit. The evidence of audit was three operations, the DCC would like to see a more robust and thorough audit process as proposed for the next quarterly SRO audit.

4.3 Number of new actions and actions closed since last report

New actions	Total	Originating from:
	3	CJJI Inspection – Examining Multi-Agency response to children and young people who sexually offend.
	1	HMIC Review – “Mistakes were made” review into allegations and intelligence material concerning Jimmy Savile.
		ACPO Report – National Community Tensions Team

	5	Problem Profile: Child sexual exploitation and community tensions.
Actions closed	Please see Appendix 2 for a full list of the actions that have been closed since the previous Audit and Scrutiny Panel.	

- 4.4 Forthcoming audits, inspections and reviews planned to take place are detailed below.

RSM Tenon Internal Audit

Collaboration – June 2013

Workforce Planning – June 2013

Equality and Diversity – July 2013

Governance – Financial Governance – 2013/14 Q2

HMIC Inspection

Child Sexual Abuse & Sexual Exploitation (CSASE) – May – July 2013.

Strategic Policing Requirement – June 2013.

CJJI Inspection

Child Protection Arrangements – From May 2013.

4.5 Force Action Plan

The Force Action Plan has been included (see **Appendix 3**) to give a more detailed overview of the actions which are currently taking place throughout the Force.

As well as actions identified through audit and inspection, those identified through the business planning process 2013/14 are also reported through the Force Action Plan. It was determined that if an activity is a key control to a strategic risk or requires significant financial investment or significant resources, it should be managed corporately. Only corporate actions are reported through the Force Action Plan process, local actions, i.e. those that do not fit the above criteria, are managed at Senior Management Team meetings.

The Force Action Plan is governed through the Chief Officer Portfolio Boards for Local Policing, Corporate Services and Operational Support. Updates are requested on a monthly basis from the action owners. Actions are categorised according to those which are past their target completion date, those at risk of going past their completion date, actions on target and new actions which have been added and reported. The DCC scrutinises the updates given at the Portfolio Boards to ensure the appropriate evidence is provided to support completion of actions.

This process is due to be improved in the coming weeks with the implementation of the RSM Tenon 4Action Software which is a purpose designed action tracking tool. This will give action owners the ability to update the status of actions they have responsibility for, a dashboard view to give information 'at a glance' and configurable reports.

5 Financial Implications and Budget Provision

- 5.1 Financial implications may arise from recommendations raised from audits, inspections and reviews. These implications are considered when agreeing actions and where these cannot be delivered through current budgets, approval is sought through the responsible Finance Officer.
- 5.2 This report has been approved by Simon Tovey, Head of Business and Finance.

6 Human Resources Implications

- 6.1 Where an audit or inspection has Human Resources implications, these will be managed through the Force Action Plan.

7 Equality Implications

- 7.2 Equality and Diversity implications are considered at the outset of any action and managed through the Force Action Plan.

8 Risk Management

- 8.1 Risk to Force reputation, governance or compliance if mandatory or agreed actions are not completed. All associated risks will be managed through the Force Strategic Risk Register.

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

- 9.1 Where an audit or inspection recommends changes to Force Policy or Strategy, those changes will be managed through the Force Action Plan.

10 Changes in Legislation or other Legal Considerations

- 10.1 Where an audit or inspection relates to a change in Legislation or other legal considerations, those changes will be managed through the Force Action Plan.

11 Details of outcome of consultation

- 11.1 This process for monitoring audits, inspections and reviews has been agreed by the Business Planning Group and approved by the COT.

12. Appendices

Appendix 1 shows the status of all current actions resulting from live audits and inspections.

Appendix 2 actions closed since the previous report to the Panel.

Appendix 3 is the Force Action Plan.

Appendix 1

Status Key	Definition								
Red – Overdue	The action has passed its Target Completion Date and requires urgent review								
Green – On schedule	The action is likely to be completed by its Target Completion Date								
White – Not yet started	The action has been agreed but has not yet reached its planned start date								
Title	Scrutiny Body	Audit / Inspection / Review	Chief Officer Lead	Total number of actions	Number overdue	Number on schedule	Number not started	Number completed	STATUS
Annual Governance Report of the District Auditor	Audit Commission	Audit	ACO Monckton	8	0	0	0	8	Completed
Appropriate Adult Provision & Children in Detention: 'Who's looking after the children'	CJJI (HMIC)	Review	ACC Waterfield	3	0	0	0	3	Completed
ASB Follow up 2012	HMIC	Inspection	ACC Fish	4	0	0	0	4	Completed
Capability Review of Organised Crime Group Management	Crime & Justice Department	Review	ACC Waterfield	6	0	4	0	2	On going
Child Abuse Provision	ACPO	Inspection	ACC Waterfield	5	0	0	0	5	Completed
Criminal Justice Joint Inspection Report on unannounced Visit to Custody suites	HMIP (HMIC)	Inspection	ACC Waterfield	38	1	1	0	36	On going
Examining Multi-Agency Response to children and young people who sexually offend	CJJI	Inspection	ACC Waterfield	3	0	3	0	0	On going
Exercising Discretion. The Gateway to Justice. Cautions, PNDs and Restorative Justice	CJJI (HMIC)	Inspection	ACC Waterfield	2	0	0	0	1	Completed
			ACC Fish		0	0	0	1	Completed
Follow up of Previous Audit and Inspection Recommendations. (02.12/13)	RSM Tenon	Audit	DCC Scarrott	2	0	0	0	1	Completed

Title	Scrutiny Body	Audit / Inspection / Review	Chief Officer Lead	Total number of actions	Number overdue	Number on schedule	Number not started	Number completed	STATUS
			ACC Waterfield		0	0	0	1	Completed
IT Healthcheck Audit	RSM Tenon	Audit	ACO Monckton	5	0	0	0	5	Completed
Key Financial Controls	RSM Tenon	Audit	ACO Monckton	4	0	1	0	3	On going
Procurement-Programme of Change	RSM Tenon	Audit	ACO Monckton	7	0	7	0	0	On going
Local Policing Plan	RSM Tenon	Audit	ACC Fish	4	0	1	0	3	On going
"Mistakes were made" HMIC's review into allegations and intelligence material concerning Jimmy Savile between 1964 and 2012	HMIC	Review	ACC Waterfield	1	0	1	0	0	On going
Management of Crime	RSM Tenon	Audit	ACC Waterfield	2	0	0	0	1	Completed
			ACC Fish		0	0	0	1	
National Community Tensions Team Problem Profile: Child Sexual Exploitation and Community Tensions	ACPO Report	Report	ACC Waterfield	4	0	4	0	0	
			ACC Fish	1	0	1	1	0	

Title	Scrutiny Body	Audit / Inspection / Review	Chief Officer Lead	Total number of actions	Number overdue	Number on schedule	Number not started	Number completed	STATUS
Office of Surveillance Commissioner	Office of Surveillance Commissioner	Inspection	ACC Waterfield	10	1	0	0	9	On going
Partnerships Governance	RSM Tenon	Audit	ACC Fish	1	0	1	0	0	On going
Performance Management	RSM Tenon	Audit	ACC Waterfield	5	0	0	0	5	Completed
Proceeds of Crime Act	RSM Tenon	Audit	ACC Waterfield	7	1	0	0	6	On going
Without fear or favour: A review of police relationships	HMIC	Review	ACO Monckton	30	1	5	0	16	On going
			DCC Scarrott		0	0	0	8	Completed
TOTAL				199	4	29	1	119	

Appendix 3: Force Action Plan 2013-14

Date added (Month / Year)	Source type	Source originator	Source title	Recommendation or area for improvement	Action / Project (or manager's comment to support no action)	Target completion date	Action / Project update	Status
Audit								
March 2012	Audit	RSM Tenon	Local Policing Plan Audit 02.11/12	1.2 The Website should be updated to reflect the most current neighbourhood structures, and the current priorities, progress, actions and successes for each.	Update the website to reflect the most current neighbourhood structures, and the current priorities, progress, actions and successes for each.	31/07/2013	Update 2/05/2013. This is progressing as part of the website improvement project and remains on track for the target completion date.	On schedule
March 2012	Audit	RSM Tenon	Proceeds of Crime Act Audit Report 01.11/12	1.2 The Force should ensure that the electronic recording of property is rolled out across the Force and that access is granted to the FIU which will help increase the means in which they have to identify potential cases and marking / flagging POCA related property. In addition, the FIU should be involved within the development and roll out of the system to ensure that any requirements from the system are established and addressed where practical.	Complete the force wide roll out of electronic property recording, ensuring access is granted to the FIU and that they are involved in the development and roll out of the system.	31/03/2013	Update 02 Feb 2013 - The property element for CRMS is now available force wide and training of new and existing A&E staff is being undertaken w/c 21 and 28th Jan. Additional training will be undertaken with other staff who may require access eg front counter staff. Recommend further update in 1 month to confirm completion and roll out to A&E staff.	Overdue
March 2012	Audit	RSM Tenon	Key Financial Controls Audit 2011	6.2 An Asset Management Policy should be developed, in accordance with the Financial Regulations, which clearly details the process and requirement of the Authority in relation to the disposal of assets. In addition, the Asset Management Policy should also provide detail on the maintenance of the asset register, annual verification responsibilities and outlining the account treatment of assets and the depreciation.	Develop an Asset Management Procedure, in accordance with the Financial Regulations, which clearly details the process and requirement of the Authority in relation to the disposal of assets. In addition, the Asset Management Policy should also provide detail on the maintenance of the asset register, annual verification responsibilities and outlining the account treatment of assets and the depreciation.	31/06/2013	Update 10/05/13 - The Asset Management Software for 2012/13 has been released by CIPFA & is in the process of being updated for year end.	On schedule

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October 2012	Audit	RSM Tenon	Partnerships Governance	The Independent Advisory Groups webpage on the Force's Public website should be updated to reflect the latest adopted structure.	Update the Independent Advisory Groups webpage on the Force website to reflect the latest adopted structure.	31/07/2013	Update 22/04/2013. This action has 60 items on it and this piece of work is priority 3. Had to go to procurement for a website supplier, hence the delay. Recommend target completion date be end of July 2013. Update 12/05/2013. The IAG information has been collated and is ready for upload to the new website in June. The content includes information about what an IAG is and how people can join, a profile of each of our IAGS, including members, what they focus on and where and when they meet.	On schedule
May 2013	Audit	RSM Tenon	Procurement - Programme of Change	1. As planned by the Commercial Director, a review of all savings should be completed which clearly identifies revenue savings and their quantum. We recommend that these savings are stripped out of the main saving plan and reported separately, as revenue savings are a critical success factor to the Programme of Change.	1a. Monitor, track and report on a monthly basis to the Corporate Services Programme Board the target of 10% savings to be made on all procurement projects.	30/06/2013	Update June. An MI Pack has been produced which was presented to and signed off at the EMSCU Board on 29/05/13, the pack will be presented to the Board every month. Head of Procurement will also present the pack at the Corporate Services Programme Board.	On schedule
May 2013	Audit	RSM Tenon	Procurement - Programme of Change	2. Profile the revenue savings into the year, month or quarter they will be actually delivered, to ensure the relevant Finance Directors have clarity when budgets can be reduced. In addition, individual sign off from each regional Finance Director should be obtained.	Design a savings capture report and present monthly to the Corporate Services Programme Board.	30/06/2013	Update June. There has been a meeting with all heads of finance across the three Forces and agreed a protocol to sign off savings. Savings captured will be reflected in the MI pack and taken to the monthly EMSCU Board and the Corporate Services Programme Board.	On schedule
May 2013	Audit	RSM Tenon	Procurement - Programme of Change	3. Continue to measure the savings from within the Unit, but agree a protocol with each Finance Director to agree and sign off when the saving has been achieved and furthermore that the Finance Director has taken action to reduce the relevant budget.	Head of Procurement Services to meet with Heads of Finance within each force to agree protocols for signing off savings on a monthly basis.	30/06/2013	Update June. There has been a meeting with all heads of finance across the three Forces and agreed a protocol to sign off savings. Savings captured will be reflected in the MI pack and taken to the monthly EMSCU Board and the Corporate Services Programme Board.	On schedule
May 2013	Audit	RSM Tenon	Procurement - Programme of Change	4. Now the Unit is fully resourced, the Commercial Director should now take some time to consider the strategic approach to procurement. For example, how innovation will deliver efficiencies and new procurement practices that will be used to deliver efficiencies and new procurement practices that will be used to deliver this i.e. licensed models, eAuctions, SME engaged Frameworks, Use of social enterprises etc...	Implement an additional project to the Programme of Change to develop outputs from the workshop day led by the Commercial Director and the Leadership Team	30/09/2013	Update June. Project started, the product is currently in the design stage and on track to be complete by 30/09/2013.	On schedule
May 2013	Audit	RSM Tenon	Procurement - Programme of Change	6. Review the service again within 6 months, focusing on the delivery of the revenue savings.	Carry out a full review of procurement services to include the business case. Present the findings to the Corporate Services Programme Board.	30/09/2013	June update. Review on track to complete by 30/09/13.	On schedule

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May 2013	Audit	RSM Tenon	Procurement - Programme of Change	7. The Unit should consider how it engages with the wider customer market i.e. other forces, Blue Light Services and Local Authorities.	Implement an additional project to the Programme of Change, and report on this as part of the full review of Procurement Services to the Corporate Services Programme Board.	30/09/2013	June update. Project started, the product is currently in the design stage and on track to be complete by 30/09/2013.	On schedule
Date added (Month / Year)	Source type	Source originator	Source title	Recommendation or area for improvement	Action / Project (or manager's comment to support no action)	Target completion date	Action / Project update	Status
Inspection								
March 2012	Inspection	HMIP / HMIC	Criminal Justice Joint Inspection Report on Unannounced Visit to Custody Suites	7.41 All medical and nursing records should be subject to audit and remain compliant with the Data Protection Act and Caldicott guidance at all times.	Provide assurance that provider has in place an audit programme for all medical records to monitor compliance with the Data Protection Act and Caldicott guidance.	31/05/2013	Update 19/04/2013 - New action wording put in place - Provide assurance that provider has in place an audit programme for all medical records to monitor compliance with the Data Protection Act and Caldicott guidance.	On schedule
March 2012	Inspection	HMIP / HMIC	Criminal Justice Joint Inspection Report on Unannounced Visit to Custody Suites	7.13 The call bell system at Nottingham should be replaced or refurbished.	Replace the call bell system at the Bridewell.	30/04/2013	Update 10/05/2013 to BT. Call bell fitted - awaiting commissioning document and training days dates. Should all be complete by the end of May. Update 4/06/2013. New PCs to arrive end of June awaiting ICT software update and then it will be 2-3 weeks after that of final installation.	Overdue
August 2012	Inspection	Office of Surveillance Commissioner		In relation to the Level 1 TSUs. 3) A suitably robust audit process must be established to ensure integrity of purpose and accountability of equipment held.	3) An audit regime will form part of any centralised structure and plans are in place for the CAB to provide training to the TSU staff.	28/02/2013	7/3/13 TSU has been subject of a dip test reported in the most recent SRO audit submitted to ACC on 7/3. Full compliance was found. A more extensive audit will be conducted for the next quarterly SRO audit - it is recommended that this action can be closed. Update 29/05/2013. Final audit to be completed by end of June.	Overdue
March 2013	Inspection	CJJI	Examining Multi-Agency Responses to Children and Young People who Sexually Offend	Youth Offending Team Management Boards should: Ensure that YOT case managers take a lead role in working with police offender managers to improve communications links and to develop, with others, joint public protection management plans for children and young people who have offended.	Force obligations under the Crime and Disorder Act 1998 have been met. Officers do work within YOT setting. Review with city and county YOTs to establish that current offender management processes are fit for purpose and identify any gaps in provision.	31/10/2013	If offenders on licence or registered they are managed in the normal way. Outside of that any work is educational or is mainly welfare based through social services or targeted service. It falls to case workers to establish any action plan and this is mainly support based. Processes are fit for purpose.	On schedule

NOT PROTECTIVELY MARKED

March 2013	Inspection	CJJI	Examining Multi-Agency Responses to Children and Young People who Sexually Offend	Police Service should: ensure the effective use of police officers to support the full range of Youth Offending Team responsibilities including routine information sharing, risk assessment and management.	Force obligations under the Crime and Disorder Act 1998 have been met. Officers do work within YOT setting. Review with city and county YOTs to establish that current offender management processes are fit for purpose and identify any gaps in provision.	31/10/2013	If offenders on licence or registered they are managed in the normal way. Outside of that any work is educational or is mainly welfare based through social services or targeted service. It falls to case workers to establish any action plan and this is mainly support based. Processes are fit for purpose.	On schedule
March 2013	Inspection	CJJI	Examining Multi-Agency Responses to Children and Young People who Sexually Offend	Police Service should: ensure police offender managers work closely with Youth Offending Team case managers to improve communication links and to develop, with others, joint public protection management plans for children and young people who have offended.	Force obligations under the Crime and Disorder Act 1998 have been met. Officers do work within YOT setting. Review with city and county YOTs to establish that current offender management processes are fit for purpose and identify any gaps in provision.	31/10/2013	If offenders on licence or registered they are managed in the normal way. Outside of that any work is educational or is mainly welfare based through social services or targeted service. It falls to case workers to establish any action plan and this is mainly support based. Processes are fit for purpose.	On schedule

Date added (Month / Year)	Source type	Source originator	Source title	Recommendation or area for improvement	Action / Project (or manager's comment to support no action)	Target completion date	Action / Project update	Status
Internal Review								
August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1a: Establish principal statutory obligations and organisational objectives.	Establish, communicate and implement a joint partnership protocol to include a partnership working definition and adherence to the criteria according to the CIPFA guidance.	31/07/2013	Update 04/04/2013. Action has changed due to Governance Guidance for Police published by CIPFA at the end of last year. There is now a requirement for a joint partnership protocol with the PCC. This will be coordinated by the partnership representatives with a view to getting the proposed protocol in place by July 13. Request new target completion date and rewording of action to "Establish, communicate and implement a Joint Partnership Protocol to include a partnership working definition and adherence to the criteria as set out in the CIPFA guidance.	On schedule

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August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1a: Establish principal statutory obligations and organisational objectives.	Create a central log or 'partnership database' of all partnerships, providing information on the type of partnership, partnership aims, financial implications, staff involved, risk assessment, information received and reporting requirements.	31/07/2013	Update 04/04/2013. Action has changed due to Governance Guidance for Police published by CIPFA at the end of last year. There is now a requirement for a joint partnership protocol with the PCC. This will be coordinated by the partnership representatives with a view to getting the proposed protocol in place by July 13. Request new target completion date	On schedule
August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1a: Establish principal statutory obligations and organisational objectives.	Finance reports regarding external funding and contributions to be scrutinised at SMT meetings and COT, in order to determine whether value for money has been assessed and is in keeping with objectives.	31/03/2013	Update 10/04/2013 - This action requires completion of another action in relation to the improvement of financial reporting. Reports to be submitted.	Overdue
August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1a: Establish principal statutory obligations and organisational objectives.	Work with Planning & Policy to develop and introduce a corporate performance management framework, assigning strategic leads for each area of performance, to ensure business planning and performance monitoring are aligned, enhance accountability and drive performance improvement	31/08/2013	Update SM 24/04/2013 - Worked closely with planning and policy to produce performance management framework targets. Met with departmental heads to identify strategic leads. Process to be firmly embedded by end May. Evidence will be Performance and insight reports, Corporate Performance Meetings, Operational Reviews and Performance Reporting Mechanisms. The Senior Performance Analyst will be the Action Owner / Project Manager. Update 12/06/2013. Evidence for May include County Div OPR, Themes 1-7 Corporate Services Insight Report, Exec Summary Performance and Insight Report, CPR ppt.	On schedule

NOT PROTECTIVELY MARKED

August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1a: Establish principal statutory obligations and organisational objectives.	Improve financial reporting in order to include external funding and contributions to partner agencies, operations and projects; and implement a process for the dissemination to Business Partners, Head of Finance and Department Heads.	31/03/2013	Update 14/05/2013 - Reviewed and revised the way that external funding and contributions to partners is reported for 2013/14. The management reports now incorporate the main funded accounts, externally funded and seconded officers to produce an overall total for the force. This ensures that all areas are reviewed at month end. A new method for accounting for externally funded projects has been introduced for 2013/14. These new reports will go out monthly with other departmental budget holder reports and will be by individually project. Monthly/Quarterly finance reports that are sent to COT and the PCC have been changed to show the split of contributions to regional collaboration partners and contributions to other partners ie PCC community support grant or city/county payments to partners. If required there are supporting comments in the report explaining variances. Recommend complete.	complete
August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1b: Establish principal statutory obligations and organisational objectives.	Develop a succession planning framework as part of the People Programme.	31/08/2013	08/04/13 - paper & high level plan developed for the Corporate Service Programme Board (CSPB). Briefing of ACCs 14/05/13 - ACC briefing conducted. Paper and high level plan agreed at CSPB. To be considered at COT meeting in July.	On schedule
August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1b: Establish principal statutory obligations and organisational objectives.	Update budget authorisation lists to ensure appropriate delegation of authorisation.	31/08/2013	Update 26/03/2013. Awaiting Treasurer issuing Fin Regs and list of delegations. Update 10/05/13 The PCC approved the Financial Regulations at the end of March (Decision 2013/009) Awaiting for the approval of the scheme of Delegations.	On schedule
August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1a: Establish principal statutory obligations and organisational objectives.	Produce and publish a record of principal statutory obligations.	31/03/2013	Update 15/06/2013 Legal services have replied and this together with the final list of statutory obligations has been forwarded to Planning & Policy for decision on publication.	Overdue

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August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Delivering good governance in local government; Guidance note for police	Produce revised terms of reference and annual work programmes for high level corporate meetings, ensuring that statutory obligations (including joint responsibility of the CC and PCC for internal audit) are included and reviewed annually, and responsibility for agreeing the Policing Plan and departmental business plans are made clear.	31/08/2013	Update 15/05/2013. No further update. Awaiting feedback from ST. Update 11/06/2013. Work is underway on reviewing terms of reference and reviewing the force meeting structure.	On schedule
August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1a: Establish principal statutory obligations and organisational objectives.	Work with Learning & Development to develop and introduce a regular programme of training on roles and responsibilities for corporate governance, to be delivered to Chief Officers and divisional commanders / heads of department	31/08/2014	Update 15/05/2013. Initial contact made with learning and development, awaiting confirmation of contact names and date of initial meeting.	On schedule
August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1b: Establish principal statutory obligations and organisational objectives.	Develop guidance documentation for senior officers and managers in relation to corporate governance, to include a dedicated section of the Force intranet and a summary manual, including details of roles and responsibilities, the decision making framework	31/03/2014	Update 15/05/2013. Initial contact made with learning and development, awaiting confirmation of contact names and date of initial meeting.	On schedule
August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1b: Establish principal statutory obligations and organisational objectives.	Review the internal audits which currently take place within the Force, assess their effectiveness, and ensure they provide appropriate assurance.	31/08/2013	Update 22/04/2013. On the research work schedule due to review audits from June. Scoping of review to be agreed dates to be finalised. Update 11/06/2013 Research work load to be reviewed in light of TOM work.	On schedule
August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1b: Establish principal statutory obligations and organisational objectives.	Develop and introduce a process for compliance with the ICOs publication scheme.	31/03/2013	Update 11/06/2013. The revised ICO publication scheme has now been published. We are currently reviewing current scheme to ensure we are meeting this requirement to make improvements.	Overdue
August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1b: Establish principal statutory obligations and organisational objectives.	Establish a feedback mechanism to communicate changes resulting from the Staff Perception Survey.	31/08/2013	Update 05/03/2013. Proposal to be discussed at COT 08/03/2013. HR will work with Comms. Maintain the target completion date to dip test / quality assure the feedback mechanism is in place and working.	On schedule
August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1a: Establish principal statutory obligations and organisational objectives.	Develop and publish a strategic planning process and cycle which identifies when and how the vision and priorities are to be reviewed (including the production of a strategic intelligence assessment and Force strategic assessment) and requirements for sta	31/08/2013	Update 11/06/2013. Initial meetings held with OPCC and currently working with them to align our planning time lines.	On schedule

NOT PROTECTIVELY MARKED

NOT PROTECTIVELY MARKED

August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1b: Establish principal statutory obligations and organisational objectives.	Review the complaints reporting process in order to promote access across all communities and use of available communication channels.	31/08/2013	23/05/13 Taking part in Road shows and looking to design posters for internal and external locations.	On schedule
August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1b: Establish principal statutory obligations and organisational objectives.	Carry out a review against the ACPO Integrity Model and make recommendations for improvement.	31/08/2013	14/06/2013 - Review to start 17/06/2013. A number of activities in place for continual improvement * Complainants Charter * Code of Conduct *Integrity Programme *Presentations to key staff members *Performanve reports. Request new target completion date.	On schedule
August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1b: Establish principal statutory obligations and organisational objectives.	Develop, run and evaluate an internal communications campaign to promote the Force vision	31/10/2013	Update 15/05/13 PC. New intranet site combining vision and values launched on 28/03/13, accompanied by forcewide poster and marketing campaign. Toolkit for manager discussion sessions developed and distributed, along with an aide memoire for all officers amd staff. The campaign now incorporates the Police Operating Model.	On schedule
August 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1a: Establish principal statutory obligations and organisational objectives.	Review, update and embed the formal induction process.	31/08/2013	Update 11/06/2013 Still on track to implement and start to roll out with effect from July 2013. Further work has been undertaken to look at both Derbyshire and Leicestershire processes to ensure that there are no additional complications of differing timeframes around probation periods for example within the regional HRSS project. An additional piece of work being looked into is to have an intranet site to support both new Starters – sign posting information etc, and also for Line Managers guidance. Likely to be completed until August.	On schedule
December 2012	Internal Review	Internal	Corporate Governance Improvement Plan	Corporate Governance: Objective 1a: Establish principal statutory obligations and organisational objectives.	Update the Manual of Financial Guidance in line with revised Financial Regulations provided by the Chief Financial Officer of the PCC	31/08/2013	Update 10/05/13 The PCC approved the Financial Regulations at the end of March (Decision 2013/009). A meeting is to held this later this month within the finance team to discuss how best to take this process forward.	On schedule

May 2013	Internal Review	EMSCU	Provision of Cleaning Services. Lessons Learned Report.	Caveats 3. Issuing of letters of intent should be reviewed. There were too many caveats at the point of contract negotiation. Most, if not all of the caveats, were in relation to forces providing the supplier with further information. As in point 1 above it was agreed that if information was provided earlier then caveats would not have been required. Concern was raised that when a supplier has received a letter of intent it effectively forms a contractual agreement, therefore, putting the forces at risk of little negotiating power. On the occasion of this contract award there was potential for legal challenge from unsuccessful bidders should all caveats be negotiated in favour of the supplier, as this would have materially changed the nature of the contract and added additional costs into the contract.	Review and develop a policy on letters of intent.	31/07/2013	Update 10/06/2013: No Letter of Intent should be issued is to be added to the EMSCU Standing Orders & Contract Procedure Rules currently being reviewed by the three member Forces' PCCs.	On schedule
May 2013	Internal Review	EMSCU	Provision of Cleaning Services. Lessons Learned Report.	Contract Terms & Conditions 4. Standardise terms and conditions. Legal and EMSCU (Customer Services) are now working to standardise terms and conditions including TUPE. These are to be published on the force's web site for suppliers to be aware of before bidding for work.	Update and work with legal services to standardise terms and conditions including TUPE. Publish on the force web site.	31/08/2013	Update 10/06/2013: A guidance document, Managing TUPE in the Procurement Process, which identifies the contract conditions to be included within relevant contracts was approved by the EMSCU Board on 29th May 2013. Standard contract conditions, including TUPE are currently being finalised by EM Legal Services.	On schedule
May 2013	Internal Review	EMSCU	Provision of Cleaning Services. Lessons Learned Report.	Evaluation process 6. Provide commercial guidance on evaluation process. Not all members of the evaluation panel had recent experience of evaluating bids. EMSCU Commercial Awareness training/surgeries will assist in building procurement/tender evaluation capabilities.	Produce a commercial guidance note on the evaluation process.	31/08/2013	Update 10/06/2013: An Evaluation Code of Conduct is due to be launched by the end of June. As part of the Commercial Awareness project, guidance on evaluation tenders is to be developed - an initial draft is currently being reviewed.	On schedule
May 2013	Internal Review	EMSCU	Provision of Cleaning Services. Lessons Learned Report.	Police & Crime Commissioners 9. Provide Police & Crime Commissioners with planned procurement activities (and include within the governance structure for high value/risk procurement projects). The Derbyshire PCC was asked to sign a contract when he had little prior knowledge of the procurement strategy. This led to a number of questions requiring clarification before the PCC was able to sign contracts. This was primarily due to the timing of incoming PCCs.	Develop and present quarterly reports to the three PCCs to inform on planned activities.	30/06/2013	Update 10/06/2013: A MI Pack has been produced and was approved by the EMSCU Board on 29/05/2013. The pack includes scheduled procurements / contracts which are relevant to the PCC's.	On schedule

NOT PROTECTIVELY MARKED

22/05/2013	Internal Review	Internal	Business Planning 2013/14	NA	Collaborate with Derbyshire Constabulary to link and upgrade Control Room systems (including ICCS replacement)	TBC	22/05/2013 Initial project board held 8/5/13 chaired by ACC Collins Derbyshire. Next meeting scheduled for 30/5/13	On schedule
22/05/2013	Internal Review	Internal	Business Planning 2013/14	NA	Implement a new Resource Allocation Model (subject to approval of the Business Case)	31/10/2013	Updates due in July - action is new & added in June.	On schedule
22/05/2013	Internal Review	Internal	Business Planning 2013/14	NA	Develop and implement a three year risk based audit programme for Data Protection.	31/10/2013	Updates due in July - action is new & added in June.	On schedule
22/05/2013	Internal Review	Internal	Business Planning 2013/14	NA	Complete a review of the staff suggestion scheme and make recommendations for improvement.	31/06/2013	Updates due in July - action is new & added in June.	On schedule
22/05/2013	Internal Review	Internal	Business Planning 2013/14	NA	Work with Intelligence (C&J) to develop and complete a Force Strategic Assessment for approval by COT, and provide to the NOPCC.	31/10/2013	Updates due in July - action is new & added in June.	On schedule
31/05/2013	Internal Review	Internal	Business Planning 2013/14	NA	Provide resource to enable effective use of ANPR functionality.	31/03/2014	Updates due in July - action is new & added in June.	On schedule
31/05/2013	Internal Review	Internal	Business Planning 2013/14	NA	Implement retail crime initiative to reduce shop theft and business crime in the county, including Operation Doornice.	31/03/2014	Updates due in July - action is new & added in June.	On schedule
31/05/2013	Internal Review	Internal	Business Planning 2013/14	NA	Increase capacity and capability to implement POCA.	31/03/2014	Updates due in July - action is new & added in June.	On schedule

Date added (Month / Year)	Source type	Source originator	Source title	Recommendation or area for improvement	Action / Project (or manager's comment to support no action)	Target completion date	Action / Project update	Status
External Review / National Thematic Inspection								
March 2012	External Review / National Thematic	HMIC	Without fear or favour: A review of police relationships	Forces and authorities institute robust systems to ensure risks arising from contracting are identified, monitored and managed.	Quarterly report to be produced to address scrutiny to the Police Authority's Business and Finance Committee - any issues in relation to procurement and contractual relationships to be highlighted and addressed.	30/06/2013	Update 10/06/2013: Policy & Process documents have been set up, high level risks are reported to EMSCU Boards and recorded on Derbyshire ORCHID as necessary.	On schedule
March 2012	External Review / National Thematic	HMIC	Without fear or favour: A review of police relationships	Forces and authorities institute robust systems to ensure risks arising from contracting are identified, monitored and managed.	Contract Management Policy to be written to provide guidance on governance and oversight of effective management of procurement and contractual arrangements.	31/03/2013	Update 12/06/13: Policy emailed for feedback before inclusion on Force library.	Overdue
March 2012	External Review / National Thematic	HMIC	Without fear or favour: A review of police relationships	Forces and authorities institute robust systems to ensure risks arising from information disclosure are identified, monitored and managed.	New template to be produced during Regionalisation project to ensure mechanism in place to identify inappropriate disclosure in procurement.	31/05/2013	Update 10/06/2013: Anti Fraud & Corruption Policy was presented to and signed off at the EMSCU Board on 29/05/2013, document still needs to be launched on Intranet will be complete by end of June 2013.	On schedule

NOT PROTECTIVELY MARKED

March 2012	External Review / National Thematic	HMIC	Without fear or favour: A review of police relationships	Forces and authorities institute robust systems to ensure risks arising from secondary employment are identified, monitored and managed.	Conduct a review to look at registering and charging for our Intellectual Property. There is no central register of what our trademarks and intellectual property are. The 'Process Project' will cover having a central registry. This will ensure organisation	31/05/2013	Update 02/05/2013 Request target completion date be end June. Update: 10/06/2013: IPR Policy was presented to and signed off at the EMSCU Board meeting on 29/05/2013, document still needs to be launched on Intranet will be complete by end of June 2013.	On schedule
March 2012	External Review / National Thematic	HMIC	Without fear or favour: A review of police relationships	Forces and authorities institute robust systems to ensure risks arising from secondary employment are identified, monitored and managed.	Update Contracts of Employment for existing employees to state intellectual property rights	30/06/2013	Update 05/03/2013. Two paragraphs agreed. It is easy to add choice to all new contracts and these will achieve the target date. Further discussion is needed however in relation to existing contracts. May 13 - Agreement with ACO that this will be incorporated in the the Stage 2 transfer from the PCC - this item can now be closed.	On schedule
March 2012	External Review / National Thematic	HMIC	Without fear or favour: A review of police relationships	Chief officer teams should review their corporate governance and oversight arrangements to ensure that those arrangements are fulfilling their function in helping promote the values of their force in the delivery of its objectives, and that they are, thro	All HR Policies are currently being reviewed and where appropriate will be re-written or updated. Appropriate communication/training will follow.	31/10/2013	08/04/13 Policy review schedule sent to Business & Finance. New target date to be agreed. May 13 - Request target completion date to be set at December 2013.	On schedule
November 2012	External Review / National Thematic	Crime and Justice Department	Capability Review of Organised Crime Group Management	It is recommended that the Force builds on the good work from Vanguard + to extend engagement with Level I partners	In conjunction with the EMSOU OCGM team, prepare and deliver a range of training packages which outline how front line policing, partners and communities can impact on organised crime groups.	30/06/2013	Update 7/3 Conference now planned for 7 May.	On schedule
November 2012	External Review / National Thematic	Crime and Justice Department	Capability Review of Organised Crime Group Management	It is recommended that the Force establishes a process where all OCGs have designated enforcement and disruption tactics used against them.	Establish a process for the use of designated enforcement and disruption tactics against OCGs.	30/08/2013	Ongoing.	On schedule
November 2012	External Review / National Thematic	Crime and Justice Department	Capability Review of Organised Crime Group Management	It may be appropriate to extend the terms of reference and guidance produced by the Head of Public Protection for retraction of Domestic Violence statements to all cases.	Extend the terms of reference and guidance currently used for retraction of Domestic Violence statements to all cases.	30/06/2013	Update 17/01/2013 Checklist adapted from DV to provide the same support against OCGs. This ensures we support and retain witnesses. Copy of checklist recieved. Checklist needs approval as does the method of communication and guidance change. Update 06/06/2013. Form sent to all interested parties. Approval needed.	On schedule

NOT PROTECTIVELY MARKED

November 2012	External Review / National Thematic	Crime and Justice Department	Capability Review of Organised Crime Group Management	It is recommended that the force recommence operational security (OpSy) reviews	Review requirements for the force to carry out regular OpSy reviews, considering current capacity and make recommendations to Operational Support Board	31/08/2013	Update 04/03/2013 -provided the last update on 8th February re the OpSy role and the residual local requirements left within Force following the regionalisation of some Intel functions. Action wording changed to match with recommendation - Work ongoing & need new target completion date.	On schedule
May 2013	External Review / National Thematic	ACPO	National Community Tensions Team Problem Profile: Child Sexual Exploitation and Community Tensions	Preventative: All forces to complete Community Impact Assessments (CIA) pre-arrest/charge/trial to identify and manage the community impact of CSE cases which are likely to prompt increased tensions.	Review and update Form G893 Community Impact Assessment (CIA) & Guidance and the Critical Incident Procedure PD 37 v 3.0. Appendix B, to include a reference to Child Sexual Exploitation cases. Also requires reference to an action plan to be agreed between BCU commander and the SIO, including ways in which the the needs of the investigation can be met while minimising community tension Communicate across the force these changes to ensure reassurance.	31/08/2013	Updated 28/05/2013. Review started. Form has been ammended and additional guidance notes updated. Feedback needed from EDHR re equality and diversity. Additional briefing sessions for CSE for newly promoted Inspectors and Chief Insp have been advertised. County lead will report through City crime.	On schedule
May 2013	External Review / National Thematic	ACPO	National Community Tensions Team Problem Profile: Child Sexual Exploitation and Community Tensions	Reassurance: Forces to implement consistent, frequent and relevant engagement with representative members of affected local communities by NPTs, Engagement Officers, etc.	Conduct a review and update the Force Neighbourhood Policing Policy, Minimum Standards of Community Engagement section, to include the requirement for consistent, frequent and relevant engagement by NPTs with representative members of local communities that may be affected by community tensions, such as that related to CSE investigations and trials	31/08/2013	Update 10/05/2013 RF via phone. Neighbourhood Policing Policy is under review and this requirement will be built into the policy in consultation with Matt Tapp. The Force Engagement Strategy is out for consultation and we will ensure the two are linked.	On schedule
May 2013	External Review / National Thematic	HMIC	"Mistakes were made" HMIC's review into allegations and intelligence material concerning Jimmy Savile between 1964 and 2012.	Recommendation 4 Each agency which has a role to play in safeguarding arrangements for children and vulnerable adults should ensure they comply with relevant policies; there must be regular and systematic checks to ensure that those policies are being properly and fully put into practice.	Establish a performance and audit regime to monitor the effectiveness of the Local Safeguarding Children and Adults policies and procedures.	31/08/2013	Update 07/06/2013. That both LSCBS already carry out extensive multi agency audit process of policy and procedure of which we are involved and expected to take part in due to our S.11 Children's act liability. Therefore there is no need to create additional audit processes. Evidence to support this has been forwarded. Recommend complete.	On schedule

For Consideration	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	1st July 2013
Report of:	DCC and Chief Executive
Report Author:	Paul White, Strategic Support Officer
E-mail:	paul.white@nottinghamshire.pnn.police.uk
Other Contacts:	Julie Mair, Acting Organisational Development Manager
Agenda Item:	9

JOINT STRATEGIC RISK REGISTER REPORT (2013/14 QUARTER 1)

1. Purpose of the Report

- 1.1 To present the PCC and Force Joint Strategic Risk Register for 2013/14 Quarter 1 to the Joint Audit and Scrutiny Panel for consideration.

2. Recommendations

- 2.1 That the Joint Audit and Scrutiny Panel consider the effectiveness of risk management arrangements within the Nottinghamshire Office of the Police and Crime Commissioner (NOPCC) and Nottinghamshire Police, in light of the summary of current risks, their respective ratings, and the key controls that are either in place or in the process of being implemented.

3. Reasons for Recommendations

- 3.1 Under the Corporate Risk Management Policy the Joint Strategic Risk Register is formally reviewed every quarter, and is presented to the Joint Audit and Scrutiny Panel for consideration to inform an evaluation of the effectiveness of risk management arrangements.

4. Summary of Key Points

- 4.1 The Joint Strategic Risk Register (2013/14 Quarter 1) is attached as **Appendix I**.
- 4.2 All risks on the Joint Strategic Risk Register have been fully reviewed with the Responsible Officer, in line with the Corporate Risk Management Policy and Procedure. Force strategic risks have been approved by the Chief Officer Team; PCC strategic risks have been approved by the Chief Executive on behalf of the Commissioner.
- 4.3 Part 1 of the Joint Strategic Risk Register details risks to the achievement of Police and Crime Plan objectives. The following Part 1 risk is currently assessed as **High**:

Risk title	Responsible officer	Key controls in place	Key controls to be implemented
Resourcing the Police & Crime Plan	Treasurer	<ul style="list-style-type: none"> • Medium Term Financial Plan (MTFP) • NOPCC horizon scanning • Lobbying government for improved settlement 	<ul style="list-style-type: none"> • Base budget review

4.4 The following Part 1 risks are currently assessed as **High Medium**:

Risk title	Responsible officer	Key controls in place	Key controls to be implemented
Maintaining an efficient and effective police force	Chief Executive	<ul style="list-style-type: none"> • Joint Audit & Scrutiny Panel • Scheme of Delegation • Financial Regulations 	<ul style="list-style-type: none"> • Development of use of resources self assessment
Achieving Police & Crime Plan objectives	Chief Executive	<ul style="list-style-type: none"> • Police & Crime Plan 2013-18 • PCC governance framework 	<ul style="list-style-type: none"> • Balanced Scorecard • In Phase enterprise management system
Protecting, supporting and responding to vulnerable people	ACC (Crime, Justice & Protective Services)	<ul style="list-style-type: none"> • County Multi Agency Safeguarding Hub (MASH) 	<ul style="list-style-type: none"> • Public protection restructure • Development of a vulnerability policy • Supporting development of an integrated City & County MASH
Local areas most affected by crime & ASB	ACC (Local Policing)	<ul style="list-style-type: none"> • Corporate Performance Review (CPR) • County Partnership Plus areas • City High Priority areas 	<ul style="list-style-type: none"> • CPR focus on violent crime and theft
Drug and alcohol misuse	ACC (Crime, Justice & Protective Services)	<ul style="list-style-type: none"> • Substance Misuse Board, with Drugs and Alcohol Tactical Boards 	<ul style="list-style-type: none"> • Improved testing for drugs and alcohol in custody • Ongoing work with partners and licensed trades to tackle NTE issues

Risk title	Responsible officer	Key controls in place	Key controls to be implemented
Organised crime and gangs	ACC (Crime, Justice & Protective Services)	<ul style="list-style-type: none"> • OCG mapping and management • Improved use of POCA 	<ul style="list-style-type: none"> • Ongoing partnership work on Ending Gang and Youth Violence (City)
Efficiency savings and annual budget	ACO (Resources)	<ul style="list-style-type: none"> • Efficiency savings plan for 2013/14 	<ul style="list-style-type: none"> • Further refinement of efficiency savings plans for 2014/15 & 2015/16 • Development of future policing model
Workforce recruitment, management, training & development	ACO (Resources)	<ul style="list-style-type: none"> • Positive action campaigns 	<ul style="list-style-type: none"> • Succession planning and talent management framework • Ongoing HR policy review • Collaborative HR Shared Services
Investigation and criminal justice processes	ACC (Crime, Justice & Protective Services)	<ul style="list-style-type: none"> • Local Criminal Justice Board (LCJB) • Investigation policies & procedures • Criminal justice policies & procedures 	<ul style="list-style-type: none"> • Improving investigations project • Criminal Justice regional collaboration • National development of a single crime, case preparation & custody system (Athena)

4.5 Part 2 of the Joint Strategic Risk Register details risks to the achievement of the Force's Policing Plan objectives. The following Part 2 risks are currently assessed as **High**:

Risk title	Responsible officer	Key controls in place	Key controls to be implemented
Information Assurance	DCC	<ul style="list-style-type: none"> • Information governance consultant 	<ul style="list-style-type: none"> • Information Assurance Maturity Model (IAMM) improvement plan • Protective monitoring solution project
Provision of ICT	ACO (Resources)	<ul style="list-style-type: none"> • Corporate project management of essential ICT projects 	<ul style="list-style-type: none"> • Engagement of an external partner to advise on long term ICT strategy

4.6 The following Part 2 risks are currently assessed as **High Medium**:

Risk title	Responsible officer	Key controls in place	Key controls to be implemented
Health, safety and wellbeing	ACO (Resources)	<ul style="list-style-type: none">• Health & Safety Policy	<ul style="list-style-type: none">• Stress action plan• Fire safety improvements in custody• Review of body armour options
Integrity and reputation	DCC	<ul style="list-style-type: none">• Proactive misconduct communications policy	<ul style="list-style-type: none">• Awareness raising of corruption and misconduct issues

4.7 All other Part 1 and Part 2 risks are currently assessed **Medium** or **Low Medium**.

4 Financial Implications and Budget Provision

- 5.1 The annual maintenance cost for the Orchid Risk Management System is currently £5,700, with an additional £3,833.33 paid to Leicestershire Police for hosting the system (of which £2,000 is allocated for an annual security penetration test).
- 5.2 The relative benefits of continuing to invest in the use of Orchid, and alternative options, are currently being considered by the Planning and Policy team.

5 Human Resources Implications

- 6.1 Professional support for implementation of the Corporate Risk Management Policy, which includes maintenance of the Strategic Risk Register, is provided by a Strategic Support Officer within the Planning and Policy team (Business and Finance department).
- 6.2 Additional responsibilities for risk management are detailed within the Policy.

6 Equality Implications

- 7.1 An Equality Analysis carried out in relation to the implementation of the Corporate Risk Management Policy did not identify any specific equality implications.

7 Risk Management

- 8.1 Good practice in corporate governance requires the Force and PCC to publish the contents of their strategic risk register on a regular basis, in order to

provide assurance to key stakeholders and the public that significant risks are being identified and addressed. In doing this the Force and PCC run the risk that they may be drawing attention to particular risks, and therefore attract criticism.

- 8.2 The mitigation for this risk is that the Joint Strategic Risk Register is supported by a robust and effective risk management process and the PCC and Force can demonstrate that positive action is being taken in relation to all identified strategic risks.

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

- 9.1 The Joint Strategic Risk Register reflects the biggest risks to the achievement of the objectives set by the Commissioner in the Police and Crime Plan 2013-18 and in the Force's Policing Plan 2013-18. Decisions taken to mitigate strategic risks will support and enable the achievement of those objectives.

9 Changes in Legislation or other Legal Considerations

- 10.1 There are no known legal considerations or potential changes in legislation that are likely to impact on the implementation of the Corporate Risk Management Policy.

10 Details of outcome of consultation

- 11.1 Corporate Risk Reviews are carried out on behalf of the Responsible Officer with a nominated Risk Co-Ordinator (where applicable) and specific business leads, then presented to the Responsible Officer for their approval.
- 11.2 Details of all individuals engaged in risk analysis are contained within each Corporate Risk Review.


12. Appendices

- 12.1 **Appendix I – Joint Strategic Risk Register (2013/14 Quarter 1)**

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Joint Strategic Risk Register


2013/14 Quarter 1 (June 2013)

Part 1: Risks to Police & Crime Plan priorities

Risk ref	Risk title & description	Impact category	Key risk controls	Responsible officer	Risk rating
STR 001	Resourcing the Police & Crime Plan Will the Commissioner be able to resource the objectives and key activities in the Police & Crime Plan?	Finance	In place: <ul style="list-style-type: none"> • Medium Term Financial Plan (MTFP) • NOPCC horizon scanning (developments in government policy) • Lobbying Government for a better deal on funding formula, police grant, precept and community safety fund • Engagement with development of future Force policing model • Lobbying Government for a better deal on funding formula, police grant, precept and community safety fund To be implemented: <ul style="list-style-type: none"> • Base budget review (independent consultant) 	Treasurer	High 



Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Joint Strategic Risk Register

2013/14 Quarter 1 (June 2013)

Risk ref	Risk title & description	Impact category	Key risk controls	Responsible officer	Risk rating
STR 021	Protecting, supporting & responding to vulnerable people Will the Force and its partners continue to provide effective protection, support and response to vulnerable people?	Service Delivery	In place: <ul style="list-style-type: none"> Local Safeguarding Adults & Childrens Boards (City & County) Multi Agency Public Protection Arrangements (MAPPA) Multi Agency Risk Assessment Conferences (MARACs) Multi Agency Safeguarding Hub (MASH) – County Nottingham & Nottinghamshire Safeguarding Adults Multi Agency Policy, Procedure & Guidance Nottinghamshire & Nottingham City Safeguarding Children Boards' Safeguarding Children Procedures Child Sex Offender Disclosure Scheme (Sarah's Law) Policy and Procedure To be implemented: <ul style="list-style-type: none"> Public Protection restructure Development of vulnerability policy Force wide problem profiles for domestic violence, child abuse and rape Support development of an integrated Multi Agency Safeguarding Hub (MASH) – City & County 	ACC (Crime, Justice & Protective Services)	High Medium 



Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Joint Strategic Risk Register

2013/14 Quarter 1 (June 2013)

Risk ref	Risk title & description	Impact category	Key risk controls	Responsible officer	Risk rating
STR 005	Local areas most affected by crime and ASB Will the Force, working in partnership where necessary, sustain performance improvements within those local areas that are most affected by crime and ASB?	Performance	In place: <ul style="list-style-type: none"> Corporate Performance Review (CPR) process Safer Nottinghamshire Board (County): Partnership Plus Nottingham Crime & Drugs Partnership (City): High Priority Areas Priority crime leads To be implemented: <ul style="list-style-type: none"> Focus on violent crime Focus on theft 	DCC	High Medium 
STR 011	Efficiency savings & annual budget Will the Force make necessary efficiency savings and operate consistently within its annual budget?	Finance / Efficiency	In place: <ul style="list-style-type: none"> Efficiency savings plan 2013/14 Budget monitoring Contingent liability in accounts (for A19 tribunals) To be implemented: <ul style="list-style-type: none"> Efficiency savings plan 2014/15 Target operating model development 	ACO (Resources)	High Medium 



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2013/14 Quarter 1 (June 2013)

Risk ref	Risk title & description	Impact category	Key risk controls	Responsible officer	Risk rating
STR 012	Workforce recruitment, management, training & development Will the Force recruit, manage, train and develop a diverse workforce so that it has the right people, with the right skills, in the right place at the right time?	Performance / Service Delivery	In place: <ul style="list-style-type: none"> East Midlands Collaborative HR Services: <ul style="list-style-type: none"> ➢ Learning & Development ➢ Occupational Health Workforce plan Positive action campaigns Management Development Programme (MDP) Attendance management policy, procedure, guidance & training To be implemented: <ul style="list-style-type: none"> Target operating model development Succession planning & talent management framework HR policy review East Midlands Collaborative HR Services – Shared Service Centre 	ACO (Resources)	High Medium 
STR 002	Maintaining an efficient and effective police force Will the Commissioner be able to maintain an efficient and effective police force for the police area of Nottinghamshire?	Performance / Service Delivery	In place: <ul style="list-style-type: none"> Joint Audit & Scrutiny Panel Scheme of Delegation Financial Regulations Standing Orders for dealing with land & property Working Relationship Agreement between the PCC and the Force To be implemented: <ul style="list-style-type: none"> Development of an internal use of resources self assessment toolkit 	Chief Executive	High Medium 



Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Joint Strategic Risk Register

2013/14 Quarter 1 (June 2013)

Risk ref	Risk title & description	Impact category	Key risk controls	Responsible officer	Risk rating
STR 003	Achieving Police & Crime Plan objectives Will the Commissioner receive assurance that the Force is on track to achieve the objectives set in the Police & Crime Plan?	Performance	In place: <ul style="list-style-type: none"> Police & Crime Plan 2013-18 PCC Strategic Performance & Resources Board PCC and Deputy PCC engagement plan with the Force and partners PCC weekly update meeting with Chief Constable PCC weekly update briefing from NOPCC PCC/DPCC attended at Force and partnership meetings To be implemented: <ul style="list-style-type: none"> Creation of a balanced scorecard Introduction of enterprise management system (In Phase) 	Chief Executive	High Medium 
STR 006	Drug & alcohol misuse Will the Force, working in partnership where necessary, reduce the impact of drug and alcohol misuse as a driver of crime and ASB?	Performance	In place: <ul style="list-style-type: none"> Substance misuse strategy 2013-18 Substance misuse board: <ul style="list-style-type: none"> ➤ Drugs tactical group ➤ Alcohol tactical group Integrated Offender Management (IOM) Safer Nottinghamshire Board (County) Nottingham Crime & Drugs Partnership (City) Health & Wellbeing Boards (City & County) <ul style="list-style-type: none"> ➤ Joint Strategic Needs Assessments (JSNAs) To be implemented: <ul style="list-style-type: none"> Improved drug testing in custody Work with local partner agencies and licensed trades to tackle Night Time Economy issues 	ACC (Local Policing)	High Medium 



Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Joint Strategic Risk Register

2013/14 Quarter 1 (June 2013)

Risk ref	Risk title & description	Impact category	Key risk controls	Responsible officer	Risk rating
STR 007	Organised crime & gangs Will the Force, working in partnership where necessary, reduce the local threat from organised crime groups (OCGs) and urban street gangs (USGs)?	Performance / Service Delivery	In place: <ul style="list-style-type: none"> East Midlands Special Operations Unit (EMSOU): <ul style="list-style-type: none"> Serious Organised Crime (EMSOU-SOC) Fraud & Financial Investigation (EMSOU-FFI) Regional Asset Recovery Team (EMRART) OCG mapping Ending gang & youth violence strategy Vanguard Plus multi-agency gang & youth violence team (City Division) 	ACC (Crime, Justice & Protective Services)	High Medium 
STR 020	Investigation & criminal justice processes Will the Force maintain investigation & criminal justice processes that are efficient, effective and where necessary accessible?	Confidence	In place: <ul style="list-style-type: none"> Local Criminal Justice Board (LCJB) Investigation policies & procedures Criminal justice policies & procedures File Review Unit (temporary) Temporary replacement healthcare provider in custody (G4S) To be implemented: <ul style="list-style-type: none"> Improving investigations project Regional criminal justice structure National criminal justice system efficiency programme Athena Crime, Case & Custody system Archive & exhibits programme NHS commissioning to take over healthcare provision in custody from 2015 	ACC (Crime, Justice & Protective Services)	High Medium 


Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Joint Strategic Risk Register

2013/14 Quarter 1 (June 2013)

Risk ref	Risk title & description	Impact category	Key risk controls	Responsible officer	Risk rating
STR 008	Crime prevention and reducing reoffending Will the Force and its partners continue to work together effectively to prevent crime, deliver early interventions and reduce reoffending?	Performance	In place: <ul style="list-style-type: none"> Reducing Reoffending Board (LCJB) Integrated Offender Management (IOM) Multi Agency Public Protection Arrangements (MAPPA) To be implemented: <ul style="list-style-type: none"> Total offender health project 'Supporting Families' (County) programme 'Priority' Families (City) programme 	ACC (Crime, Justice & Protective Services)	Medium 
STR 022	Protecting, supporting & responding to victims of crime & ASB Will the Force continue to provide effective protection, support and response to victims and witnesses?	Service Delivery	In place: <ul style="list-style-type: none"> Citizen Focus Board Victim of crime & ASB satisfaction surveys Team & individual performance monitoring To be implemented: <ul style="list-style-type: none"> Valuing Victims briefings Track My Crime web based crime tracking portal 	ACC (Local Policing)	Low Medium 

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Joint Strategic Risk Register



2013/14 Quarter 1 (June 2013)

Risk ref	Risk title & description	Impact category	Key risk controls	Responsible officer	Risk rating
STR 004	Managing public expectations Will the Commissioner be able to manage public expectations and improve public understanding of their responsibilities?	Confidence	In place: <ul style="list-style-type: none"> Public relations & media management – Better Times Ltd PCC Communication strategy PCC statutory requirement to produce Annual Report PCC Consultation and Engagement Strategy PCC website (including Executive decision log) PCC and partnership newsletter To be implemented: <ul style="list-style-type: none"> Establishment of stakeholder boards for City and County Development and establishment of public meeting structure PCC's Annual Report 	Chief Executive	Low Medium 

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Joint Strategic Risk Register


2013/14 Quarter 1 (June 2013)

Part 2: Risks to Force Policing Plan objectives

Risk ref	Risk description	Impact category	Key risk controls	Responsible officer	Risk rating
STR 018	Provision of ICT Will the Force continue to provide its officers and staff with the Information and Communication Technology (ICT) they need to carry out their jobs efficiently and effectively?	Service delivery	In place: <ul style="list-style-type: none"> Nottinghamshire / Leicestershire / Northamptonshire Information Services Collaboration Project management for ICT projects To be implemented: <ul style="list-style-type: none"> Development of long term ICT strategy Telephony infrastructure replacement Windows 7 upgrade 	ACO (Resources)	High 
STR 025	Information assurance Would the Force be able to provide assurance that its systems and processes are effective in preserving the confidentiality, integrity and availability of its data and information?	Reputation	In place: <ul style="list-style-type: none"> Force Information Assurance Board (FIAB) Corporate Documentation / System Management Policy & Procedure Information Management Policy, Procedures & Guidance Information Security Policy & Procedure Information Sharing Policy, Procedures & Guidance Information assurance e-learning package To be implemented: <ul style="list-style-type: none"> Information Assurance Maturity Model (IAMM) programme Protective monitoring solution project 	DCC	High 


Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Joint Strategic Risk Register

2013/14 Quarter 1 (June 2013)

Risk ref	Risk description	Impact category	Key risk controls	Responsible officer	Risk rating
STR 013	Health, safety & wellbeing Will the Force continue to support, promote and maintain the health, safety and wellbeing of its workforce, and others who might be affected by its activities?	Health & safety	In place: <ul style="list-style-type: none"> Health & Safety Policy & guidance Strategic Health & Safety Committee & sub-groups East Midlands Collaborative HR Services Occupational Health Unit (EMCHRS-OHU) Employee Assistance Provider (CiC) Officer & police staff safety policy & training Stress management guide & training To be implemented: <ul style="list-style-type: none"> Stress action plan Fire safety system improvements in custody Review of body armour options 	ACO (Resources)	High Medium 



Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Joint Strategic Risk Register

2013/14 Quarter 1 (June 2013)

Risk ref	Risk description	Impact category	Key risk controls	Responsible officer	Risk rating
STR 026	Integrity and reputation Will the integrity and reputation of the Force be preserved in light of its decisions and the conduct of its officers and staff?	Reputation	In place: <ul style="list-style-type: none"> • PROUD values • Professional Standards Reporting Procedure • Police staff misconduct policy • Maintaining Professional Boundaries and Standards of Behaviour Code of Conduct • Misconduct & Criminality Communications Policy • Vetting Procedures for the Police Community • Unmanageable Debt Procedure • Notifiable Associations for Police Personnel Policy & Procedure • Business Interests & Additional Employment for Police Officers and Police Staff Procedure • Gifts, Gratuities & Hospitality Procedure • Media and Social & Digital Media Policies • Giving Evidence of Character in non-work related proceedings Policy To be implemented: <ul style="list-style-type: none"> • Awareness raising (corruption & abuse of authority risks) • Review of complaints reporting process 	DCC	High Medium 



Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Joint Strategic Risk Register

2013/14 Quarter 1 (June 2013)

Risk ref	Risk description	Impact category	Key risk controls	Responsible officer	Risk rating
STR 014	Corporate governance & internal controls Would the Force be able to provide assurance that it has in place effective corporate governance arrangements and robust internal controls?	Reputation	In place: <ul style="list-style-type: none"> Joint Code of Corporate Governance Scheme of Delegation Financial Regulations Corporate risk management policy & procedure Business Continuity Strategy 2011-14 Police Regulations & Police staff misconduct policy Information management policy & procedures Performance Development Review (PDR) process Independent Advisory Groups (IAGs) To be implemented: <ul style="list-style-type: none"> Policy development framework Information governance improvement plan Partnership working policy Division & department risk registers Succession planning & talent management framework 	ACO (Resources)	Medium 
STR 019	Provision of vehicles, premises and facilities Will the Force continue to provide its officers and staff with the vehicles, premises and facilities they need to carry out their jobs efficiently and effectively?	Service delivery	In place: <ul style="list-style-type: none"> Estates project board Strategic transport group Vehicle services contract: Vensons Public Sector To be implemented: <ul style="list-style-type: none"> Estates rationalisation project (Phase 3) Central Police Station redevelopment project Integrated shared services project Vehicle fleet management review Artemis & Tranman fleet management systems Research into premises & facilities improvements 	ACO (Resources)	Medium 




Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Joint Strategic Risk Register

2013/14 Quarter 1 (June 2013)

Risk ref	Risk description	Impact category	Key risk controls	Responsible officer	Risk rating
STR 024	Tackling local community issues Will the Force and its partners continue to work together effectively to tackle the issues that matter most within local communities?	Confidence	In place: <ul style="list-style-type: none"> • Citizen Focus Board • Public Engagement Strategy 2013-18 • Neighbourhood Policing policy • ASB Policy & Communication Strategy • Community Safety Partnerships (CSPs) To be implemented: <ul style="list-style-type: none"> • Tailored services for our diverse communities (project) • Integrated shared service centres • Partnership ASB transition working group (to prepare for the Antisocial Behaviour, Crime & Policing Act) • ASB case management system options 	ACC (Local Policing)	Medium 
STR 023	Responding to emergencies, major incidents and other calls for service Will the Force and its partners continue to work together effectively in response to emergencies, major incidents and other calls for service?	Service delivery	In place: <ul style="list-style-type: none"> • Service Level Agreement (SLA) with East Midlands Ambulance Service (EMAS) • Business continuity plans To be implemented: <ul style="list-style-type: none"> • Appointment based policing project • Review of Contact Management resources and shift patterns 	ACC (Local Policing)	Medium 



Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Joint Strategic Risk Register

2013/14 Quarter 1 (June 2013)

Risk ref	Risk description	Impact category	Key risk controls	Responsible officer	Risk rating
STR 017	Provision of equipment & services Will the Force continue to provide its officers and staff with the equipment and services they need to carry out their jobs efficiently and effectively?	Service delivery	In place: <ul style="list-style-type: none"> East Midlands Strategic Commercial Unit (EMSCU): Nottinghamshire, Derbyshire, Northamptonshire Sustainable procurement policy Contract management policy Electronic contract management system (Crystal) Guide to business continuity in the procurement process To be implemented: <ul style="list-style-type: none"> EMSCU policies & procedures Commercial awareness training & surgeries 	ACO (Resources)	Medium 
STR 016	Environmental impact Will the Force continue to reduce its impact on the environment?	Environment	In place: <ul style="list-style-type: none"> Environmental Management Policy & Strategy Environmental Management Group Strategic Transport Group To be implemented: <ul style="list-style-type: none"> Carbon Management Plan Bunkered fuel sites review 	ACO (Resources)	Medium 
STR 009	Strategic Policing Requirement (SPR) Will the Force maintain the necessary capacity, contribution, capability, consistency and connectivity to meet the Strategic Policing Requirement (SPR)?	Community impact	In place: <ul style="list-style-type: none"> East Midlands Special Operations Unit (EMSOU): <ul style="list-style-type: none"> Major Crime (EMSOU-MC) Serious Organised Crime (EMSOU-SOC) Special Branch (EMSOU-SB) Local Resilience Forum (LRF) Regional public order policing (Leics police lead) 	ACC (Crime, Justice & Protective Services)	Low Medium 

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Joint Strategic Risk Register

2013/14 Quarter 1 (June 2013)

Risk ref	Risk description	Impact category	Key risk controls	Responsible officer	Risk rating
STR 010	Road safety & security Will the Force, working in partnership where necessary maintain a safe and secure road network?	Performance	In place: <ul style="list-style-type: none"> Nottinghamshire Strategic Road Safety Partnership Nottinghamshire Camera Safety Partnership Drink & drug driving procedure Driver education courses (AA Drivetech) Community resolution for road traffic offences To be implemented: <ul style="list-style-type: none"> Multi agency Community Road Safety group 	ACC (Crime, Justice & Protective Services)	Low Medium 
STR 015	Financial controls Will the Force maintain effective financial controls?	Finance	In place: <ul style="list-style-type: none"> Scheme of delegation Financial regulations Treasury management strategy E-Financials electronic management system Insurance policies To be implemented: <ul style="list-style-type: none"> Review & update of Manual of Financial Guidance 	ACO (Resources)	Low Medium 

Nottinghamshire Police & Crime Commissioner and Nottinghamshire Police Joint Strategic Risk Register

2013/14 Quarter 1 (June 2013)

Explanatory note

The Joint Strategic Risk Register details identified risks to the achievement of the Commissioner's and Force's principal aims and objectives. It is managed in line with the Corporate Risk Management Policy and Procedure.

This report provides a summary of current strategic risks, as follows:

- The **Risk ref** is the unique reference number allocated to each risk
- The **Risk title & description** provides a simplified outline of the risk (details of specific threats, vulnerabilities, opportunities and risk control strategies are contained within individual Corporate Risk Reviews)
- The **Impact category** is the area of business most affected by the risk should it materialise
- **Key controls** are the main policies, structures, systems and processes that are in place or in process of implementation to mitigate the risk
- Each risk is assigned to either the Commissioner or a member of the Chief Officer Team as **Responsible Officer**
- The **Risk rating** is determined by the current risk score, graded as High (Red), Medium High (Red / Amber), Medium (Amber), Low Medium (Green / Amber) or Low (Green), and the arrow shows direction of travel

For Decision	
Public/Non Public	Public
Report to:	Audit & Scrutiny Panel
Date of Meeting:	1st July 2013
Report of:	The Chief Finance Officer
Report Author:	Charlotte Radford
E-mail:	
Other Contacts:	
Agenda Item:	10

JOINT CODE OF CORPORATE GOVERNANCE

1. Purpose of the Report

To share with the Audit & Scrutiny Panel the Joint Code of Corporate Governance approved by the Police & Crime Commissioner and the Chief Constable.

2. Recommendations

Members are requested to endorse this code as good practice.

3. Reasons for Recommendations

This complies with the principles of good governance.

4. Summary of Key Points

- 4.1 This Code sets out the principles of good governance under which the Commissioner and the Chief Constable will operate. The Joint Code is attached at **Appendix A**.

5. Financial Implications and Budget Provision

None as a result of this code.

6. Human Resources Implications

None as a result of this code.

7. Equality Implications

None as a result of this code.

8. Risk Management

As detailed within the attached code.

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

This complies with good governance and the CIPFA/SOLACE guidance.

10. Details of outcome of consultation

The OPCC and force have jointly produced this document.

11. Appendices

Appendix A - The Joint Code of Corporate Governance



Code of Corporate Governance

For the

**Nottinghamshire Police and Crime
Commissioner**

And the

Chief Constable

<<Document Number>>

Joint Code of Corporate Governance

Type of Document:

Code

Version:

2.0

Registered Owner(s):

Nottinghamshire Police and Crime
Commissioner
Chief Constable

Author:

Effective Date:

Review Date:

Replaces document (if applicable)

Linked Documents:

Functional owner

Signed:

Date:

Name:

Post:

Authorised

Signed: **Date:**

Name:

Post:

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Appendix A: Corporate Governance Principles Framework documents and processes

SECTION 1: VERSION CONTROL

Version No.	Date	Post Holder/ Author	Post	Reason for Issue
1.0				
2.0	April 2013			Updates

SECTION 2: BACKGROUND

2. Introduction

- 2.1 This Code of Corporate Governance sets out the standard that the Nottinghamshire Police and Crime Commissioner (the Commissioner) and the Chief Constable (the Chief) will govern as separate corporations sole. This Code provides the framework for review and reporting on the effectiveness of the Commissioner's and Chief's governance arrangements, and sets out how they will govern both jointly and separately, to ensure that they are doing the right things, in the right way, for the right people, in a timely, inclusive, open and accountable manner.
- 2.2 The Code sets out the principle systems, processes, culture and values by which the Commissioner and the Chief are directed and controlled, and through which they account to, engage with and, where appropriate, lead the community.
- 2.3 The new structure for governance in policing in England and Wales is set out in the 2011 Police Reform and Social Responsibility Act. The important changes to the landscape resulting from the 2011 Act are a move away from the traditional "tripartite structure" with the three partners being the Home Secretary, the Police Authority and the Chief, to the:
- Abolition of the police authority and the transfer of most of its functions to the elected Commissioner.
 - Establishment of both the Commissioner and the Chief as corporations sole.
 - Creation of an additional body – the Police and Crime Panel whose core role is to hold the Commissioner to account.
- 2.4 The core principles, which are adopted by both corporations sole will be those set out in the CIPFA/SOLACE Framework *"Delivering Good Governance in Local Government"*. This shapes the formal annual governance review processes and forms an integral part of each body's annual statement of accounts. The principles are outlined in the Police and Crime Plan 2013-2018, which are:
- **Principle 1:** Focusing on the purpose of the Commissioner and the Force, and on outcomes for the community, and creating and implementing a vision for the local area.
 - **Principle 2:** Leaders, officers and partners working together to achieve a common purpose with clearly defined functions and roles.
 - **Principle 3:** Promoting values for the Commissioner and demonstrating the values of good governance through upholding high standards of conduct and behaviour.
 - **Principle 4:** Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.
 - **Principle 5:** Developing the capacity and capability of the Commissioner, officers of the Commissioner and the Force to be effective.
 - **Principle 6:** Engaging with local people and other stakeholders to ensure robust public accountability.

- 2.5 To achieve this, a framework has been formulated locally which ensures that these principles are fully integrated into the conduct of the Commissioner's and Chief's business as well as establishing a means of demonstrating compliance. The Nottinghamshire Office of the Police and Crime Commissioner (NOPCC) and the Force can also demonstrate that the systems and processes in place are:

- Monitored for their effectiveness in practice; and
- Subject to annual review to ensure they remain up to date.

Appendix A provides an overview of the principles key supporting documents and processes.

SECTION 3: THE CODE OF CORPORATE GOVERNANCE

- 3.1 The Commissioner and the Chief Constable have developed this Code of Corporate Governance using the six principles of Good Corporate Governance as the framework for setting out the local arrangements which are referenced in the Police and Crime Plan 2013-18 Strategic Framework. The following sections set out the principles and their supporting activities.

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

To achieve this, the Commissioner and Chief will:

- Develop and promote the Commissioner's purpose and vision for the local area and setting the priorities for policing through community engagement and consultation.
- Review on a regular basis the Commissioner's vision for the local areas and its impact on governance arrangements.
- Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties.
- Publish an annual report on a timely basis to communicate the Commissioner's activities and achievements, the financial position and performance.
- Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available to demonstrate robust financial and resourcing to deliver the Police and Crime Plan.
- Put in place effective arrangements to identify and deal with failure in service delivery through robust complaint procedures and lessons learned for informed positive service improvement.
- Ensure that the information required to review efficiency and effectiveness, value for money and performance is readily available and reflected in performance plans.
- Consider the environmental impact of policies, plans and decisions.

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

To achieve this, the Commissioner and Chief will:

- Set out a clear statement of the roles and responsibilities of the Commissioner, and the Deputy Commissioner, and the Commissioners approach to governance and decision making.
- Set out a clear statement of the respective roles and responsibilities of the Senior officers and staff of the NOPCC and the Force
- Determine a scheme of delegation and consent, including a formal schedule of those matters specifically reserved for decision by the Commissioner and those delegated to the Chief, taking account of relevant legislation and ensure that it is monitored and updated when required.
- Make a Chief Executive responsible and accountable to the Commissioner for all aspects of operational management of the NOPCC.
- Develop protocols to ensure that the Commissioner, Deputy Commissioner, Chief Executive and Chief negotiate their respective roles and that a shared understanding of the roles and objectives is maintained.
- Make the Chief Finance Officer (Section 151 officer) responsible to the Commissioner for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control.
- Make the Chief Executive the Monitoring Officer responsible to the Commissioner for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.
- Develop protocols to ensure effective communication between the Commissioner, Deputy Commissioner, Chief and officers in their respective roles.
- Set out the terms and conditions for remuneration of the Commissioner, Deputy Commissioner, Chief and officers and an effective structure for managing the process including an effective remuneration panel (if applicable).
- Ensure that effective mechanisms exist to monitor service delivery.
- Ensure that the Commissioner's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated.
- When working in partnership ensure that the Commissioner and Deputy Commissioner are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the Commissioner.
- When working in partnership, ensure that there is clarity about the legal status of the partnership, and ensure that representatives or organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions.

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

To achieve this, the Commissioner and Chief will:

- Ensure that Commissioner's and Chief's leadership sets a tone for the organisation by creating a climate of openness, support and respect.
- Ensure that standards of conduct and personal behaviour expected of those holding public office and their staff are defined and communicated through codes of conduct and protocols.
- Put in place arrangements to ensure that the Commissioner, Deputy Commissioner and officers of the NOPCC and Chief are not influenced by prejudice, bias, or conflicts of interest in dealing with different stakeholders, and put in place appropriate processes to ensure that they continue to operate in practice.
- Develop and maintain shared values including leadership values both for the organisation and staff reflecting public expectations, and communicate these between the Commissioner and the Chief, staff, the community and partners.
- Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice.
- Develop and maintain an effective standards monitoring process.
- Use the organisations shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships.
- In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively.

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

To achieve this, the Commissioner and Chief will:

- Develop and maintain an effective review and scrutiny function which encourages constructive challenge and enhances the Commissioner's performance overall and of any organisation for which it is responsible.
- Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.
- Put in place arrangements to safeguard the Commissioner, the Deputy Commissioner's, the Chief and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice.
- In conjunction with the Chief, the Chief will develop and maintain an effective Joint Audit and Scrutiny Panel.
- Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints.

- Ensure that those making decisions whether for the Commissioner, the Chief or partnership are provided with information that is fit for the purpose, relevant, timely and gives clear explanations of technical issues and their implications.
- Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately.
- Ensure that risk management is embedded into the culture, with all parties recognising that risk management is part of their job.
- Ensure that arrangements are in place for whistle blowing to which staff and all those contracting with the Commissioner have access.
- Actively recognise the limits of lawful activity, for example the ultra vires doctrine, but also strive to utilise powers to the full benefit of the community.
- Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on the Commissioner and Chief by public law; and
- Observe all specific legislative requirements placed upon the Commissioner and the Chief, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law - rationality, legality and natural justice into the Commissioner and Chief's procedures and decision making processes.

Principle 5: Developing the capacity and capability of the Commissioner, the officers of the Commissioner and the Force to be effective.

To achieve this, the Commissioner and Chief will:

- Provide induction programmes tailored to individual needs and opportunities for the Commissioner, Deputy Commissioner, Chief and officers to update their knowledge on a regular basis.
- Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood.
- Assess the skills required by the Commissioner, the Deputy Commissioner, Chief and officers and make a commitment to develop those skills to enable roles to be carried out effectively.
- Develop skills on a continuing basis to improve performance including the ability to scrutinise and challenge and to recognise when outside expert advice is needed.
- Ensure that effective arrangements are in place for reviewing the performance of the Commissioner, Deputy Commissioner, Chief and the organisation as a whole, and agreeing action plans which might for example aim to address any training or development needs.
- Ensure that effective arrangements are designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the Commissioner.
- Ensure that career structures are in place for officers to encourage participation and development.

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

To achieve this, the Commissioner and Chief will:

- Define who the Commissioner is accountable to, and for what.
- Consider those institutional stakeholders to whom the Commissioner is accountable and assess the effectiveness of the relationships and any changes required.
- Produce an annual report on the activities of the Commissioner in relation to monitoring their own performance and that of the Chief and Force.
- Ensure that clear channels of communication are in place with all sections of the community and other stakeholders and put in place monitoring arrangements to ensure they operate effectively.
- Ensure arrangements are in place to enable the Commissioner to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands.
- Establish a clear policy on the types of issues that the Commissioner will meaningfully consult on or engage with the public and service users, including a feedback mechanism for those consultees to demonstrate what has changed as a result.
- Publish a performance plan on an annual basis, giving information on the Commissioner's vision, strategy and performance plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period.
- Ensure that the Commissioner and the NOPCC as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so.
- Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.

SECTION 4: ARRANGEMENTS FOR THE REVIEW OF GOVERNANCE

- 4.1 The Commissioner and the Chief have put in place the following arrangements to review the effectiveness of the Code of Corporate Governance.

4.2 **Self Assessment**

Using the Framework of the six principles of Good Governance, the Commissioner and Chief will test the structure of governance by carrying out a thorough and wide ranging self-assessment. This assessment will be carried out each year as part of the Annual Governance Statement production process.

4.3 **Annual Governance Statement**

As separate corporations sole, both the Commissioner and the Chief are required to produce an Annual Governance Statement (AGS), in order to provide assurance of their respective compliance with the Code. The Audit and Scrutiny Panel will review the draft AGS in June / July. This will be finalised and published with the Annual Statement of Accounts, which have to be published by the 30 September each year.

The Commissioner's and the Chief's AGS will include action plans to rectify any significant areas of weakness in corporate governance. The statements will be signed by the Commissioner and the Chief Executive and the Chief and the Assistant Chief Officer (Resources) respectively.

4.4 **The Police and Crime Panel**

The Police and Crime Panel are responsible for reviewing and scrutinising the Commissioner's exercise of their statutory functions. The Panel does not scrutinise the Chief Constable, this is the role of the Commissioner. While the Panel is there to scrutinise the Commissioner, it must also exercise its functions with a view to supporting the effective exercise of the Commissioner's functions.

4.5 **Joint Audit and Scrutiny Panel**

In accordance with the Financial Management Code of Practice for the police service issued by the Home Office, the Commissioner and Chief have established a Joint Audit and Scrutiny Panel. This Panel will advise the Commissioner and Chief according to the Good Governance principles.

The Panel's terms of reference include the following key requirements in respect of corporate governance:

- To provide independent assurance 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.
- To enable effective in depth scrutiny of key areas of policing activity to ensure that the Force is meeting the needs of Nottinghamshire.

4.6 Internal Audit

The primary role of Internal Audit is to give assurance to the Commissioner and Chief, on the effectiveness internal controls and arrangements for risk management and good governance. Following consideration of internal audit reports by the Commissioner and Chief, the Internal Auditor's, RSM Tenon, will report to the Joint Audit and Scrutiny Panel on a quarterly basis, highlighting any major control weaknesses identified.

The review of both corporate governance and risk management arrangements periodically feature in the Annual Audit Plan which is subject to review by the Joint Audit and Scrutiny Panel. Corporate governance and risk management issues may arise through other reviews carried out by Internal Audit. In this case the issues will be escalated through to the relevant audit report.

4.7 External Audit

The External Auditors, KPMG LLP, audit the Commissioner's and Chief's financial statements, AGS and performance management arrangements. The External Auditor's plans and reports, including the Annual Audit Letter, will be considered by the Commissioner and Chief and reviewed by the Audit and Scrutiny Panel at appropriate times in the annual cycle of meetings.

4.8 Her Majesty's Inspectorate of Constabulary (HMIC)

The role of Her Majesty's Inspectorate of Constabulary (HMIC) is to promote the efficiency and effectiveness of policing in England, Wales and Northern Ireland through inspection of police organisations and functions to ensure agreed standards are achieved and maintained; good practice is spread and performance is improved. It also provides advice and support to the Home Secretary, Police and Crime Commissioners and forces.

HMIC reports are sent to the Chief Constable and Commissioner for consideration and appropriate action.

4.9 Independent Police Complaints Commission

The Independent Police Complaints Commission (IPCC) oversees the police complaints system in England and Wales. It is independent, making its decisions entirely independently of the police, government and complainants. There are opportunities to build in the lessons learned through complaints and subsequent reviews into improved policing policies and working practices for the Commissioner and the Chief.

SECTION 5: RISK MANAGEMENT

- 5.1 An organisation's risk management framework provides the foundations and organisational arrangements for designing, implementing, monitoring, reviewing and continually improving risk management. It should be embedded within the organisation's overall strategic and operational policies and practices and hence forms a key part of the system of governance.
- 5.2 Risk governance examines how risk management is integrated into the governance arrangements of an organisation. Good governance requires that risk management is embedded into the culture of the organisation; with members and managers at all levels recognising that risk management is part of their job. At the highest level, risk management must be closely aligned to the Police and Crime Plan 2013-18, ensuring that there is a clear focus, on those significant risks that would prevent the Commissioner from demonstrating achieving the vision and priorities of policing for Nottingham and Nottinghamshire.
- 5.3 The Commissioner and Chief will therefore demonstrate that risk management has been embedded in corporate business processes, including:
- Strategic planning
 - Financial planning
 - Service delivery
 - Policy making and review
 - Project management
 - Performance management.

Risk assessments will be performed on a continuous basis, prioritised and ranked to capture the risk profile of delivering the Police and Crime Plan.

Appendix A: Corporate Governance Principles Framework

Key Principles and supporting documentation:

- **Principle 1:** Focusing on the purpose of the Commissioner and the Force, and on outcomes for the community, and creating and implementing a vision for the local area.
- **Principle 2:** Leaders, officers and partners working together to achieve a common purpose with clearly defined functions and roles.
- **Principle 3:** Promoting values for the Commissioner and demonstrating the values of good governance through upholding high standards of conduct and behaviour.
- **Principle 4:** Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.
- **Principle 5:** Developing the capacity and capability of the Commissioner, officers of the Commissioner and the Force to be effective.
- **Principle 6:** Engaging with local people and other stakeholders to ensure robust public accountability.

Principle 1	Principle 2	Principle 3	Principle 4	Principle 5	Principle 6
Police and Crime Plan	Police and Crime Plan	Police and Crime Plan	Risk Management Strategy	Personal Development Review	Police and Crime Plan
Code of Governance	Policing Plan	Policing Plan	Risk Registers	Learning and development	Policing Plan
Governance Statement	Div / Dept Business Plans	Codes of conduct	Business Continuity Plans	Job Descriptions	Div / Dept Business Plans
Medium Term Financial Plan	Medium Term Financial Strategy	Financial Regulations	Health and Safety	Consultation and Engagement Strategy	Medium Term Financial Strategy
Resourcing Plan	Scheme of Delegation	Standing Orders	Code of Conduct	Leadership Training	Budget
Annual Report	Governance Framework	Anti-fraud & Corruption Policy	Governance Reports	Officer Training	Annual Accounts
Annual Accounts	Codes of conduct	Whistle Blowing Policy	Job Descriptions	Probation Training	Annual Report
Consultation and Engagement Strategy	Consultation and Engagement Strategy	External Audit	Audit Reports	Induction training	Community Safety Strategies
Communications Strategy	Job Descriptions	Partnership Agreements	Induction Training	Performance Management	Consultation and Engagement Strategy
Police and Crime Panel	People Strategy	Complaints Procedure	Officer Training	Succession Planning	Communications Strategy
Force Meeting Reports	Audit and Scrutiny Panel		Risk Management		Minutes of Meetings
Performance Reports	Financial Regulations		Emergency Planning		Satisfaction Surveys
Complaints Procedure	Performance Management		Complaints procedures		Partnership Frameworks
Collaboration Contract	Partnership Protocols		External Audit		Public Meetings
Risk Management			Internal Audit		FOI
			HMIC		
			IPCC		

	Annual Review / Production
	Regular reports / Strategies
	Contributory Processes

For Consideration / Comment	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	1st July 2013
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
E-mail:	
Other Contacts:	ACO Monckton, DCC Goodman
Agenda Item:	11

DRAFT ANNUAL GOVERNANCE STATEMENTS 2012-13

1. Purpose of the Report

- 1.1 To provide members of the Audit & Scrutiny Panel with the draft annual governance statements for the annual statement of accounts 2012-13.

2. Recommendations

- 2.1 Members are requested to consider and make comment on the drafts annual governance statements from the Commissioner, the Chief Constable and the Regional DCC.

3. Reasons for Recommendations

- 3.1 This complies with the principles of good governance.

4. Summary of Key Points

- 4.1 This is the first year that the legal entities of the Police & Crime Commissioner and the Chief Constable are required to produce individual annual governance statements.
- 4.2 The Commissioner and the Chief Constable have agreed a joint corporate code for Governance and this is on the agenda for today's panel meeting.
- 4.3 In line with the guidance note issued by the Chartered Institute of Public Finance & Accountancy (CIPFA) both entities have completed individual processes to inform the individual governance statements.
- 4.4 In addition to this the Regional DCC has published for an Annual Governance Statement for the East Midlands Regional Collaboration activities.
- 4.5 All of the statements are issued as draft until they are finally signed with the approved statement of accounts.

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 and will be considered as part of ongoing business.

8. Risk Management

8.1 The Annual Governance Statements consider risk as part of the annual assurance assessment. The review includes consideration of the risk management processes in place and how risks once identified are managed and mitigated.

8.2 The assurance review also considers what significant governance issues there are that require further work and improvement.

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

9.1 The attached statements demonstrate compliance with the principles of good governance and the Joint Corporate Code of Governance. They demonstrate that a process of annual review is undertaken, which inform the statements made.

9.2 The adherence to the principles of good governance and the ability to demonstrate that there are effective arrangements in place contributes to the wider assurance that we can provide the public in relation to governance and all evidence of achievements against the Police & Crime plan.

10. Changes in Legislation or other Legal Considerations

10.1 The production of the annual governance statements by both legal entities meets the requirements of the Accounts and Audit Regulations.

11. Details of outcome of consultation

11.1 Within the force process of assurance review the Chief Officer Team, Heads of Department and Divisional Heads are consulted and complete an assurance return.

11.2 Within the OPCC the process is the same but limited to the Chief Executive and the Chief Finance Officers. The assurance returns of the Chief Constable and ACO Resources are also part of this process.

12. Appendices

12.1 Three Annual Governance Statements are attached:

- A- The Regional Annual Governance Statement
- B- The Draft Annual Governance Statement of the Chief Constable
- C- The Draft Annual Governance Statement of the Police & Crime Commissioner – TO FOLLOW

I confirm that the relevant controls and procedures are in place to manage the following issues within Regional Collaboration for the East Midlands:

1. The monitoring processes by which performance against operational, financial and other strategic plans are considered and key issues identified and tasked.

DCC (East Midlands) monitors performance. This is reported to the East Midlands Police Authority Joint Committee (EMPAJC) on a quarterly basis.

2. Ensuring compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful.

Compliance is monitored by management review, supported by specialist professional advice where appropriate. Where areas for improvement are identified these are subject to action plans that are revisited to ensure that they have been attended to. Reviews of business processes have not identified significant and systemic control failures within the department. Where issues have been identified these are being addressed through defined management action plans.

3. That the appropriate controls are in place for the management of all resources deployed within Regional collaboration

A management structure is in place, with clear lines of accountability for both operational issues and use of resources.

A budget is approved each year at EMPAJC which defines the expenditure targets for each area of policing within regional collaboration. Each force actively supports the budget allocation and sets its own precept accordingly.

Management reports showing costs against budget are provided monthly. Unexpected variances are investigated and explained, ready for reporting to EMPAJC quarterly. The monthly expenditure reports are shared across the region to provide each force with visibility over expenditure to date.

4. Incorporating good governance arrangements in respect of partnerships.

EMPAJC provides a forum for all members of collaboration to feedback their experiences of the partnership work. All forces can discuss governance, performance and financial issues at the quarterly EMPAJC meetings. The collaboration builds on best practice from across the region to improve performance as well as saving money.

Signed



Deirdre Newham

Chair of the East Midlands Police Authority Joint Committee (EMPAJC)



Peter Goodman

Deputy Chief Constable (East Midlands)



Nottinghamshire Police Annual Governance Statement 2013/14

DRAFT

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1. **Scope of responsibility**

This document has been drawn up with the assumption that primary legislation, which is due to be put in place, will make the Chief Constable a local authority, for financial purposes. This will be applied retrospectively and will cover the period of this AGS.

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 the 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 for Nottinghamshire have approved and 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 our website at www.nottinghamshire.police.uk. This Annual Governance statement explains how Nottinghamshire Police has complied with the code and also meets with the requirements of Accounts and Audit (England) Regulations 2011, regulation 4(3), which requires all relevant bodies to prepare an annual governance statement.

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 its activities through which it accounts to, engages with and leads its communities. 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.

The system of internal control is a significant part of the framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve aims and objectives and can therefore only provide reasonable and not absolute assurance to identify and prioritise the risks to the achievement of the Force's aims and objectives, to evaluate the likelihood and potential impact of those risks being realised, and to manage them efficiently, effectively and economically.

The systems, processes, cultures and values comprising Nottinghamshire Police's Governance Framework are regularly reviewed. The key elements are described in the following sections.

3. **Creating a clear vision and purpose**

The vision

In 2012 Nottinghamshire Police introduced a new vision to be the best performing police force in England and Wales. Clear, measurable aims have been set in terms of reduction of crime and antisocial behaviour, resource management and victim satisfaction, so the Force will know when this has been achieved.

Corporate plans

To meet the challenges that lie ahead the Force has planned carefully how to use its resources, whilst retaining the flexibility to respond to new and emerging threats to the people and communities it serves. The Force plans are built from the ground up, taking account of the views of local people and partner agencies as well as analysis of available evidence, and utilising the vast amount of experience and expertise within the organisation so that the Force is confident it is addressing the right issues in the right way.

In November 2012 all police forces in England and Wales, except London, elected their first Police and Crime Commissioner. One of the Commissioner's key responsibilities was to issue a Police and Crime Plan to cover their period in office, in which they make clear their priorities and the objectives they are setting for the Force.

In April 2013 the Force published its new five year Policing Plan, outlining how it will translate the strategic objectives set by the Commissioner into action.

The Policing Plan was developed by the Chief Officer Team following a comprehensive joint strategic assessment, carried out with local community safety and criminal justice partners to identify what is being done well, areas for improvement and how well equipped we are to meet future challenges.

The Plan is built on strong foundations established over many years of working together with other police forces and law enforcement agencies, and in partnership with criminal justice agencies, local authorities and other organisations in the public, private and voluntary sectors.

In order to support the Policing Plan 2013/18 and the PCC's Police and Crime Plan a corporate approach has been taken to business planning throughout the Force. Each division and department now has a business plan in place in the form of a Corporate Improvement Plan. Activity is being delivered and monitored either through the Force Action Plan, the five Strategic Programmes, or through the Research and Review Schedule, depending on the most appropriate method of delivery.

Delivering and monitoring the Policing Plan

In order to achieve Force objectives it is necessary to continually review and revise Force activity. The Force Action Plan was introduced in 2012 to manage our response to improvement opportunities identified through independent inspections, internal audits, and other reports and research relevant to policing. In addition, major projects are managed within a framework of five strategic programmes, which focus on five themes: public, performance, partners, people and productivity.

A comprehensive performance framework was developed and published as an appendix to the Policing Plan 2013/18. It demonstrates how performance against Force objectives, under the three priorities, will be measured and monitored by the Police and Crime Commissioner and the Chief Constable.

Detailed Performance and Insight Reports are published on a monthly basis on the Nottinghamshire Office of the Police and Crime Commissioner's (NOPCC) website, and are reported to the Force's Corporate Performance Review meeting. The remit of this meeting is monitor and manage performance risks across all departments and divisions set against the requirement to meet the Force performance targets as set out in the Policing Plan.

The following areas are reported on under each Force priority:

- **Priority one: to cut crime and keep you safe.** Year to date performance information on all crime types, incidents of antisocial behaviour, detections rates and other performance information relating to targets set out in the Policing Plan, such as the value of assets recovered from the Proceeds of Crime Act.
- **Priority two: to spend your money wisely.** This report consists of detailed performance information concerning value for money and productivity. It includes a year to date comparison of projected spend against actual spend by Force and portfolio areas, overtime budget, number of days lost to sickness, fleet mileage and costs, vehicle hire and efficiency savings. There are also performance dashboards specific to each department within Corporate Services.
- **Priority three: to earn your trust and confidence.** This report includes year to date performance information on victim satisfaction, attendance at crime where required, percentage of people who feel that local issues are being dealt with, use of the Neighbourhood Alert facility and the average time to locally resolve allegations about the conduct of employees arising from public complaints.

Partnership working and performance monitoring

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.

The City of Nottingham's 'Plan 2020' sets out a clear 10 year strategy with a shared vision, strategic priorities and cross-cutting aims, which all partners, including the Force will contribute to. The delivery of the strategy is governed by the One Nottingham Board which brings together the leaders of key public sector organisations and stakeholders across Nottingham City with the overriding purpose of promoting and ensuring the delivery of the 2020 Vision and Sustainable Community Strategy. The One Nottingham Executive Group is responsible for driving and managing the delivery of the strategy, and the medium term action plan around delivery of the wider strategy.

Each strategic priority is owned by a theme partnership, which is accountable to the One Nottingham Executive Group. Strategic Priority Five 'Safer Nottingham' is led by the Crime and Drugs Partnership, of which the Nottinghamshire Police City Division is a key member.

One Nottingham produces an annual report in June, which reports on progress toward headline indicators set under each priority.

In the County, strategic partnerships are underpinned by a common vision and objectives, which are documented in the terms of reference for the Safer Nottinghamshire Board (SNB).

The SNB is responsible for setting strategic direction for community safety and substance misuse, ensuring the effective delivery of the Nottinghamshire Community Safety Strategy, supporting the statutory local Community Safety Partnerships (CSPs) to deliver their community safety strategies and ensuring 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.

Performance is managed through problem profiles and action plans. Problem profiles provide a greater understanding of established and emerging crime or incident series, priority locations and other identified high risk issues in an area. Action plans describe the interventions that will be delivered to achieve measurable outcomes for local communities.

The SNB's Performance Group is tasked to provide a summary of performance to the Board at each meeting together with exception reports around areas of poor performance or areas of concern in order that the Board is then able to take key decisions.

The Force's internal auditors, RSM Tenon, undertook an audit of Partnership Governance Arrangements in July 2012. The review highlighted some weaknesses in the controls and arrangements associated with the identification and monitoring of partnership activity.

It is acknowledged that a corporate Partnership Working Policy should be developed in order to outline the key controls and arrangements to be followed establishing a partnership agreement at the beginning of a partnership and for monitoring partnership activity throughout the life of the partnership. This should include the requirement for consistent risk and financial management, documenting the vision and purpose of the partnership, roles and responsibilities of partnership members and dispute resolution.

The final audit report also recommended that a central partnership register should be established to ensure that the PCC and the Chief Officer Team are aware of exactly what partnerships are operating to enable them to proactively challenge the partnerships progress against its objectives and ensure the continued benefit of the Force's involvement.

Further recommendations, included the need to develop and document a formal and consistent process to ensure that risks are considered upon entering into, and through the

lifecycle of a partnership, to ensure they are being appropriately managed. Regular formal reporting to the PCC was also recommended in order to hold the performance of the Force to account in delivering against set partnership objectives.

Finally, it was recommended that the Force establish a consistent statement of funding sources and proper financial administration around partnership working.

These recommendations have been captured and are being monitored through the Force Action Plan. Progress is reported to the Local Policing Board, chaired by the ACC for Local Policing, on a monthly basis.

4. Clearly defined functions and roles

Scheme of delegation

The Force is subject to the PCC's Scheme of Delegation, which details the functions delegated to the Chief Executive, the Chief Finance Officer (CFO) of the PCC the Assistant Chief Officer (ACO) Resources of the Force and the Head of Legal Services. The Force will develop its own Scheme of Delegation in the coming months to break down the accountabilities further for the organisation.

The Scheme enables the Office of the PCC and the Force to function in an efficient and effective manner. It sets out the extent to which the PCC has delegated decisions to the Chief Constable, Chief Executive and CFO that are the statutory responsibility of the PCC.

The ACO has a statutory responsibility to carry out the functions of the CFO as set out in the Police Reform and Social Responsibility Act 2011 and section 114 of the Local Government Act 2011 1988 ensuring that the financial affairs of the Force are properly administered having regard to probity, legality and appropriate standards. The requirements for the role of the Chief Constable's CFO are now formally documented in the ACO Resources job description.

Policing Protocol

The Force endeavours to comply 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. It is intended to encourage an effective working relationship and mutual understanding of, and respect for, each party's statutory functions will serve to enhance policing for local communities.

Financial regulations

Responsibilities within the Financial Regulations that have been in place during the 12 month period of 2012/13 have been applied universally across the Force and there are no significant issues to be reported and no instances of non-compliance to be reported.

Going forward into 2013/14 the Force will be adopting the PCC's Financial Regulations. All Divisional and Departmental Heads have formally acknowledged their responsibilities in accordance with the Force and the PCC's Financial Regulations that uphold the internal control and assurance framework.

Contract standing orders

The Contract Procedure Rules and Standing Orders were reviewed and updated in February 2013 as a guide for our suppliers and staff to help those engaged in buying or providing goods and services, once formally approved these will be published on the PCC website.

5. Standards of conduct and behaviour

Our Values

The PROUD values were introduced in response to the 2012 staff survey. The values, to be professional, have respect of all, working as one team, having utmost honesty and integrity and by doing it differently; define what unites all officers and staff in delivering policing services within Nottinghamshire.

The Force values have been communicated widely to all staff through the Policing Plan, the Force intranet and via interactive briefings, which all officers and staff have taken part in. The values have also been integrated into the new PDR process. Officers and staff are asked to provide evidence on how they have actively demonstrated support for the Force's Values. Evidence of commitment must also be demonstrated during the recruitment and promotion process.

Standards of conduct

Standards of conduct and personal behaviour expected of all officers and staff have been communicated formally through Police Conduct Regulations, 2012, and the Police Staff Misconduct Policy and Procedure. The latter was issued in 2012 to provide a clear and transparent framework to let police staff employees know what is expected of them in terms of standards of conduct and the likely consequence of failure in meeting those standards.

A National Code of Conduct for Officers is currently being developed as part of the Home Office integrity reforms, in order to support this, a new Force code of conduct has been published which aims to give greater clarity around the expected standards of behaviour of officer in staff in maintaining professional boundaries with victims, witnesses and offenders. This has been published and publicised on both the Force intranet and the Force website.

Professional Standards have an effective standards monitoring process in place. All matters of conduct are governed by the Professional Standards and Conduct Meeting, which is chaired by the Deputy Chief Constable and takes place on a monthly basis. The meeting's remit is to oversee 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. It forms an integral part of the Force's internal Governance arrangements by bringing together the relevant members of the Professional Standards and Human Resources management teams to review all matters of performance relating to conduct of Police Officers and Police Staff.

Conflicts of interest

The Force has a Business Interests and Additional Employment for Police Officers and Police Staff Procedure which was revised in 2012 due to the publication of revised guidance from the Association of Chief Police Officers (ACPO) following the HMIC Integrity Review 'Without fear or favour'. The guidance outlines the recommended approach to the management of business interests and additional occupation for those working in the Police Service of England and Wales. It is intended to provide consistency of application and enable appropriate decisions to be taken to ensure the reputation of the Police Service and the health, safety and wellbeing of members of staff. A Register of Interests is published on the Force website; any changes are reported on a monthly basis to the Professional Standards and Conduct Meeting.

The Notifiable Associations for Police Personnel Procedure was also reviewed in 2012 following the HMIC Integrity Review. It provides guidance to all personnel as to what could be interpreted as a 'notifiable association'. Furthermore, 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. This is available on the Force intranet and website.

Gifts and hospitality

The Gifts, Gratuities and Hospitality Procedure provides both officers and staff with an ethical framework in which to determine the boundaries of acceptability around gifts, gratuities and hospitality. This was last reviewed in October 2012 following the issuing of ACPO guidance.

Managing complaints

The Force has ensured there are effective, transparent and accessible mechanisms for managing complaints, which are managed in accordance with statutory guidance provided by the IPCC which was revised as a result of the Police Reform and Social Responsibility Act 2011.

Any complaints which may indicate a failure in service delivery are fed into the Service Improvement Plan, which is governed by the Professional Standards and Conduct Meeting. The process is subject to continual review and improvement.

All complainants receive regular updates and reports in respect of investigations taking place, in line with statutory guidance. Furthermore, once complaints have been investigated complainants are surveyed to ensure they are satisfied with the service they have received and the resolution reached.

Any lessons learned as a result of complaints which are investigated by the Independent Police Complaints Commission (IPCC) and Nottinghamshire Police are outlined and accompanied with resulting guidance for officers on the Professional Standards intranet page.

Whistle blowing

The Force has a Professional Standards Reporting Procedure in place, which was reviewed and amended in 2012. The purpose of the procedure is to set out the ways in which individuals within Nottinghamshire Police can report breaches of professional standards in a supportive and confidential environment. Incidents can be reported via a confidential telephone line, through Integrity Messenger, which is a confidential IT reporting facility or direct to line management.

6. Decision making and risk management

Governance structures and decision making

The Chief Officer Team Meeting is the Force's primary decision making forum. It receives commissioned reports, presentations and business cases to provide the Chief Officer Team with the adequate information required for informed decision making. This meeting is minuted and decisions are published on the Force intranet to enable greater understanding and awareness amongst employees. The requirements for publishing minutes on the external website, in line with the Office of Information Commissioner's publication scheme, are currently being reviewed and appropriate action will be taken in line with the outcome of this. The reporting template is also being reviewed to ensure the Chief Officer Team receive sufficient information regarding legislative implications when making a decision.

Both the Assistant Chief Constable's and the ACO chair a portfolio board which has the remit for governance of one or more of the five strategic programmes. The progress of projects under each of the programmes is monitored and any arising risks are managed. The portfolio boards also review business cases, approve project initiation documents, review actions arising from internal and external audit, inspection and review and receive financial and HR updates. All portfolio boards are formally minuted and decisions documented.

The corporate meeting structure will be reviewed and updated during 2013 to ensure it reflects and meets the requirements of the PCC's governance arrangements and to ensure clear decision making processes and robust governance for systems of internal control are within the Force. The meeting structure, terms of reference and work plans are reviewed regularly to ensure effective governance and monitoring, real accountability to stakeholders and value for money.

Risk management

The process for the production of this AGS identified that although Senior Managers were acutely aware of the risks facing their department or division; these were not necessarily documented or managed in a consistent manner.

In early 2013 the Force reviewed and updated its Corporate Risk Management Policy and Procedure. This has now been published on the Force intranet and website and is currently being implemented to ensure risk management is fully embedded with a consistent approach across all divisions and departments by the end of September 2013.

The Policy states that Divisional Commanders and Heads of Department will be responsible for managing their own risk registers, allocating responsibility for individual risks to members of their Senior Management Team and escalating potential strategic risks to the Chief Officer Team. In order to promote risk ownership at a senior level, members of the Chief Officer Team have taken ownership of individual strategic risks and nominated senior managers as coordinators to provide risk analysis.

The Policy and Procedure will be revised further in the coming months to create a joint risk management policy and procedure with the PCC. This will be supported with a Joint Strategic Risk Register, which is currently being developed. The Joint Register will document risks to the achievement of objectives within the Police and Crime Plan and under each of the Force priorities set out in the Policing Plan; it will be reported on a quarterly basis to the Joint Audit and Scrutiny Panel.

The Force intends to develop its approach to risk management further over the next three years and will develop and implement a strategy and improvement plan to facilitate this. The objective of this will be to embed risk management throughout the organisation and link with all areas of risk assessment throughout the organisation. An internal communication strategy will also be implemented for risk management to encourage the integration of risk management culture into the organisation.

An audit of the Force's Strategic Risk Management Framework was conducted in April 2013, it concluded that the NOPCC and the Force can take substantial assurance that the controls upon which the organisation relies to manage this area are suitably designed, consistently applied and effective.

Business Continuity

The Force has facilitated business impact analyses and identification of all critical functions in all divisions and departments. These have gone through a risk assessment process to identify any weaknesses. An impact reduction method has been identified and business continuity plans have been produced for each division and department. Plans are exercised and reviewed at least annually with the support of the Force Business Continuity Lead.

Information management

The Force experienced a number of data breaches in 2012/13 and has a preliminary enforcement notice in place against it. A review is being carried out across Information Management and Information Security within the Force. The work is being led by an independent consultant and an improvement plan is being created to address issues such as Information Sharing Agreements and meeting the full requirements of the Data Protection Act.

Policy governance

The Force is currently undertaking a review of its existing policies to ensure they are fit for purpose and appropriate governance is in place. As part of the policy governance framework we will formalise the arrangements by which policy decisions are made and documented.

There is also a need to identify the Force policies that will be jointly owned by the Force and the NOPCC in order to ensure they are centrally managed so that any amendments are consistent. Where there is a decision made not to use joint policy the NOPCC will need to establish and implement their own.

Legislative monitoring and compliance

Legislative change in relation to crime and justice policy is monitored continually by the Force and reported on monthly. The Horizon Summary report is made available on the Force intranet and is sent directly to divisional and departmental heads for their information and action where necessary. Changes in legislation and statutory guidance are also communicated directly to senior management from professional bodies such as ACPO, CIPFA and the IPCC.

Where there is a risk that we may be in breach of our legislative obligations this will be recorded on the Force risk register and managed according to the Corporate Risk Management Policy and Procedure.

7. Development of Officers and Staff

Training and induction

In order to develop the capability of officers and staff individual training needs are assessed as part of the PDR process. HR People Meetings are also held on divisions to assess the training needs of operational staff and HR Partners attend Senior Management Team departmental meetings to ensure training is kept up to date for staff across the rest of the Force.

All Officers and Staff are required to complete mandatory e-learning packages from the National Centre for Applied Learning Techniques (NCALT) on topics such as Health and Safety, Information Assurance and CETIS, which provides them with an understanding of a range of legislation relating to the access and use of information and data held by the Force.

The Force's formal induction process is currently being reviewed and updated to ensure officers and staff are fully supported and given all the information required to carry out their roles effectively. This will include a pre employment information pack around the Force, a structured induction process and mentoring guidelines. Line managers will also have the opportunity to input information tailored to the individual's role and their specific department or function. To support this a three session mandatory training package will be run by Learning and Development covering areas such as the PROUD values, the PDR process and equality and diversity.

Individual performance

Performance of individual officers and staff is reviewed and monitored through the PDR process, which is currently being enhanced to ensure effective arrangements are in place.

Succession planning

A Succession Planning Framework is being developed by HR as part of the People Programme to ensure officers and staff have the key skills and competencies to fulfil their current and future roles. This action is being managed through the Force Action Plan and is monitored at the Corporate Services Programme Board.

8. Engagement and consultation

Community engagement and consultation

There are a number of engagement mechanisms in place to enable Nottinghamshire Police to meaningfully engage with the public and service users on subjects that matter to them, such as neighbourhood meetings, locality boards and Neighbourhood Watch meetings.

The Force has developed a robust structure of strategic and local Independent Advisory Groups (IAGs) which represent different community groups across the whole of the city and county. They provide an invaluable service to Nottinghamshire Police 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, in order to reduce crime.

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.

Recent developments in communication and engagement tools include the increased use of new media outlets such as Twitter and Facebook to engage with communities and the introduction of thematic online events. These are held to enable the public to interact with the Chief Officer Team, the NOPCC and with other members of the Force on matters such as Stop and Search and antisocial behaviour.

Workforce engagement and consultation

The Staff Perception Survey gives employees of Nottinghamshire Police an opportunity to help shape the future of the Force on matters such as values and behaviours, leadership, motivation and morale.

The Force has a statutory obligation to formally consult with employees regarding terms and conditions, workforce change and health and safety. Where a statutory obligation is not present the Force has a duty to consult and when doing so it should be in the proper manner. The arrangements for consultation with staff are being reviewed and will be addressed as part of the Policy Development Framework.

There is a Trade Union Recognition Agreement in place to ensure the Force formally recognises trade unions, which represent members' interests. The Force will consult with them when proposing changes in pay and conditions which are not nationally determined and matters such as disciplinary procedures. Relevant issues, which impact on the Police Staff Associations, on which there is to be consultation will be brought to the Joint Negotiating and Staff Consultative Committee for Police and Support Staff Associations, chaired by the Chief Constable. A Memorandum of Understanding for Diversity and Support Associations is currently being updated.

9. Review of effectiveness

Nottinghamshire Police has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. 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 governance environment. It is also informed by the reports of our internal and external auditors and other review agencies and inspectorates.

The review is made robust by obtaining assurance through the process of interviews with the Chief Officer Team and the Heads of Divisions and Departments and their senior management teams. Each Chief Officer and Divisional and Departmental Head has provided a comprehensive, signed Statement of Assurance which comments on their compliance with the Force's governance framework during 2012/13. Potential areas for improvement where there are weaknesses in either controls or assurances have also been identified for 2013/14. The areas already being addressed and those to be specifically addressed with new actions planned are outlined in Section 10.

The results of this review will be reported to the Joint Audit and Scrutiny Panel alongside the external auditor's annual report, which will set out their opinions in relation to accounts, governance and performance.

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 have established a Joint Audit and Scrutiny Panel. The role of the Panel is to advise the PCC and Chief Constable on the adequacy and effectiveness of the systems of internal control and the arrangements for risk management, control and governance processes, and securing economy, efficiency and effectiveness in terms of value for money.

The Panel will meet four times a year and will be made up of five independent members. The agenda, minutes and associated reports are made available on the PCC's website for members of the public in the interests of transparency and accountability.

Internal audit

The primary role of internal audit is to give assurance to the Commissioner and Chief Constable, on the effectiveness of the controls in place to manage risks. Following consideration of internal audit reports by the Commissioner and Chief Constable, the Internal Auditor's, RSM Tenon, will report to the Joint Audit and Scrutiny Panel on a quarterly basis, highlighting any major control weaknesses identified.

The review of both corporate governance and risk management arrangements periodically feature in the annual audit plan which is subject to review by the Joint Audit and Scrutiny Panel. Corporate governance and risk management issues may arise through other reviews carried out by Internal Audit. In this case the issues will be raised through the relevant audit report.

External audit

The Force's external auditors, KPMG LLP, audit the Commissioner's and Chief Constable's financial statements, Annual Governance Statement and performance management arrangements, as well as undertaking a number of thematic based reviews.

The External Auditor's plans and reports, including the Annual Audit Letter, will be considered by the Commissioner and Chief Constable and reviewed by the Joint Audit and Scrutiny Panel at appropriate times in the annual cycle of meetings.

10. Significant governance issues

The review process to support the production of the Annual Governance Statement in 2013/14 identified the following significant governance issues. 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.

Area of assurance	Action	Responsible Officer
Risk management	Implement the regular use of divisional and departmental risk registers by the end of Q2 2013/14.	Head of Business and Finance
Risk management	Develop a three year corporate risk management strategy to facilitate the Force's development of its future approach to risk management.	Head of Business and Finance
Risk management	Work with Corporate Communication to develop an internal communication strategy for risk management.	Head of Business and Finance

Partnership working	Establish an overarching partnership working policy to outline the key controls and arrangements to be followed for setting up and monitoring partnership activity, including risk management.	City and County Divisional Commanders
Partnership working	Establish a central partnership register to ensure that the Force are aware of exactly what partnerships are operating and whether these are of benefit to the Force and, or stakeholders.	City and County Divisional Commanders
Financial management	Establish a financial reporting process for external funding and contributions to partner agencies, operations and projects.	Head of Business and Finance
Policy governance	Identify policies which will be jointly owned by the NOPCC and ensure they are managed centrally so that amendments are consistent.	Head of Business and Finance
Policy governance	Review the arrangements for consultation with staff as part of the Policy Development Framework.	Head of Business and Finance
Development of officers and staff	Roll out the new PDR process providing support to officers and staff and support managers with implementation.	Head of HR
Corporate meeting structure	Review the corporate meeting structure to ensure it reflects and meets the requirements of the PCC's governance arrangements and to ensure clear decision making processes and robust governance for systems of internal control within the Force.	Head of Business and Finance
Information assurance	Develop and implement the information assurance improvement plan to address weaknesses in Information Sharing Agreements and to meet the full requirements of the Data Protection Act.	Head of Business and Finance


We propose over the coming year to take steps to address the above matters 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



Chris Eyre,
Chief Constable

Signed



Margaret Monckton,
ACO Resources (CFO)

For Information	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	1st July 2013
Report of:	Chief Finance Officer
Report Author:	Charlotte Radford
E-mail:	
Other Contacts:	
Agenda Item:	12

REVIEW WORK UPDATE REPORT

1. Purpose of the Report

- 1.1 To inform members of the current areas of review work being undertaken and the stage that these reviews have currently reached.

2. Recommendations

- 2.1 To note the report.

3. Reasons for Recommendations

- 3.1 This complies with good governance and the panel's terms of reference.

4. Summary of Key Points

- 4.1 The Police & Crime Commissioner has instigated several pieces of review work since appointment these include the following areas of review:

- BME
- Alcohol Strategy
- Base Budget Review
- Restorative Justice
- Probation
- Mental Health
- Strategic Assessment for the Police & Crime Plan 2014

4.2 BME

A piece of work has been commissioned, which looks into BME recruitment and stop and search in the local communities. This work is nearly complete and a final report is due to be launched on 15th July. This report will be on the next meeting agenda for this panel.

4.3 Alcohol Strategy

A conference for all partners that work in this area has been arranged for the 1st July. It is intended that this meeting will be the catalyst for producing a countywide (including the City) Alcohol Strategy.

4.4 Base Budget Review

A detailed review on the principles of zero based budgeting has been initiated. This will review all current budgets with a view to identifying how underspends arise, where savings could be generated and how the budget can be directly aligned with the Police & Crime Plan. Independent consultants have been appointed to assist in this work which should be the start of a process of continuous review and improvement. The Commissioner will with the Chief Officer Team of the Force lead on this to obtain contribution and buy-in from all staff, officers and stakeholders. The final report is due in the Autumn.

4.5 Restorative Justice

A piece of review work is underway which will review the use of restorative justice.

4.6 Probation

Following the Government announcement for reforming the Probation Services the Commissioner has held a meeting of interested and related stakeholders to consider a regional response/bid for the provision of this service.

4.7 Mental Health

This has been identified as an area of risk and therefore a review has been instigated in this area.

4.8 Strategic Assessment for the Police & Crime Plan 2014

A Joint Partnership Strategic Assessment Working Group has been set up. A Methodology and timeline has been shared and agreed by the Group. A Template for the collection of evidence for the Opportunities and Threats across each of the Partnerships, which will be completed by the 16 July and reported to the NOPCC. There will be a further stage of work concentrating on the Demand Analysis, where the evidence will be prioritised and compiled into an Assessment for the Commissioner. This will form the basis of engagement and consultation from September to December, in preparation for the refreshment of key activities for prioritisation for 2014-2015.

5. Financial Implications and Budget Provision

- 5.1 The cost of the BME research is included within the budget for the OCC at £10,000.
- 5.2 The Alcohol Strategy summit has been met from the OPCC budget at an estimated total cost of £5,000.
- 5.3 The cost of the Base Budget Review will be met from the PCC reserve and at the time of writing the report the final stages of contract negotiation and evaluation were taking place.
- 5.4 The costs of the remaining review pieces are unknown currently, but should be met from the existing OPCC budget.

6. Human Resources Implications

- 6.1 Each of the reviews require staff resources and these have been factored in where known and possible.

7. Equality Implications

- 7.1 None as a direct result of this report. Each individual piece of review work will consider any equality implications.

8. Risk Management

- 8.1 The only issue of risk in relation to all of the current reviews is the impact on staff availability and project management resourcing. These risks are being considered with each individual area of review work.

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

- 9.1 These pieces of review work directly relate to the Police & Crime Plan.

10. Changes in Legislation or other Legal Considerations

- 10.1 None as a direct result of this report, but work such as Probation has been instigated by a change in legislation.

11. Details of outcome of consultation

- 11.1 None currently, the reports will be made available to future meetings of this panel once they are finalised.

12. Appendices

- 12.1 None

Consideration	
Public/Non Public	Public
Report to:	Audit and Scrutiny Panel
Date of Meeting:	1st July 2013
Report of:	The Chief Executive
Report Author:	Sara Allmond
E-mail:	sara.allmond@nottsc.gov.uk
Other Contacts:	
Agenda Item:	14

PANEL WORK PLAN AND MEETING SCHEDULE

1. Purpose of the Report

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

2. Recommendations

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

3. Reasons for Recommendations

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

4. Summary of Key Points

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

5. Financial Implications and Budget Provision

- 5.1 None as a direct result of this report

6. Human Resources Implications

- 6.1 None as a direct result of this report

7. Equality Implications

- 7.1 None as a direct result of this report

8. Risk Management

- 8.1 None as a direct result of this report

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

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

10. Changes in Legislation or other Legal Considerations

- 10.1 None as a direct result of this report

11. Details of outcome of consultation

- 11.1 None as a direct result of this report

12. Appendices

- 12.1 Work Plan and schedule of meetings

JOINT AUDIT AND SCRUTINY PANEL WORK PLAN

<u>10th September 2013 – 2pm</u>	Accounts External Audit Report Scrutiny Topics Report Standard items:- Update on implementation of previous Scrutiny Recommendations Internal Audit Progress Report Audit & Inspection Report Force Risk Register OPCC Risk Register
<u>12th December 2013 – 10am</u>	Audit Progress Reports Scrutiny Report – interim report Standard items:- Update on implementation of previous Scrutiny Recommendations Internal Audit Progress Report Audit & Inspection Report Force Risk Register OPCC Risk Register
<u>18th February 2014 – 2pm</u>	Draft Audit Plan Outcome of Scrutiny Report Future Scrutiny Topics Standard items:- Update on implementation of previous Scrutiny Recommendations Internal Audit Progress Report Audit & Inspection Report Force Risk Register OPCC Risk Register

MEETING DATES AND AGENDA PUBLICATION DATES

<u>Agenda publication</u>	<u>Date of Committee</u>
2 nd September 2013	10 th September 2013
4 th December 2013	12 th December 2013
10 th February 2014	18 th February 2014