

JOINT AUDIT AND SCRUTINY PANEL

TUESDAY 27 OCTOBER 2020 at 11.00 AM
Virtual Meeting by Microsoft Teams

(No virtual pre-meeting for Panel Members on this occasion)

Membership

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

A G E N D A

1. Apologies for absence
2. Declarations of interest by Panel Members and Officers (see notes below)
3. Presentation – GDPR Audit Update
4. Presentation – IT and Strategy: Understanding Demand
5. Presentation – Neighbourhood Policing
6. Presentation – Code of Ethics
7. Summary of Actions (verbal)
8. Date of next Meeting: 27 November 2020 at 2pm

NOTES

- For **further information** on this agenda, please contact the Office of the Police and Crime Commissioner on 0115 9670999 extension 801 2005 or email nopcc@nottinghamshire.pnn.police.uk

- A **declaration of interest** could involve a private or financial matter which could be seen as having an influence on the decision being taken, such as having a family member who would be directly affected by the decision being taken or being involved with the organisation the decision relates to. Contact the Democratic Services Officer: **Noel McMenamin tel. 0115 993 2670** for clarification or advice prior to the meeting.



Mazars GDPR Audit – December 2018 and March 2020 revisit report

- As part of the Internal Audit Plan for 2018/19 for the OPCC and Nottinghamshire Police, Mazars undertook an audit of the controls and processes in place in respect of the response to General Data Protection Regulation (GDPR) legislation.
- The aim of the audit was to establish the level of GDPR processes and procedures in place within the Force post the implementation date of May 25th, 2018 and where applicable include testing from areas within the Force.
- The outcome of the audit identified a 'Limited Assurance' level and seven areas of risk that required improvement.
- In October 2019 a revisit was arranged and the audit report provided in March 2020. The outcome from the revisit identified improvements in all of the risk areas resulting in a 'Satisfactory Assurance' level.
- The next slides provide some brief details on the original risks and the current position

Risks & Current Position

December 2018 – Limited Assurance	Revisit Report – March 2020 – Satisfactory assurance
<u>GDPR Gap Analysis & Action Plan:</u> Risk: There is no formal plan to achieve compliance or the resource available to implement resulting in non-compliance with key aspects of GDPR	Information Management Strategy agreed at Information Management Board & published Information Management Unit priority areas have been clearly identified and a fuller plan will be implemented once the unit is up to full establishment.
<u>Subject Access Request Resources</u> Risk: The organisation has insufficient resources to manage the demand for disclosures and may be at risk of not achieving the statutory time limit	An increase of 3 full time staff for the Information Request Team was approved as part of the IMU business case and additional staff took up their posts in December 2019
<u>Information Asset Register</u> Risk: The organisation does not have a full view of what and where data is stored and its purpose leading to potential data protection breaches.	The initial first round of IAO visits has been completed and updated Information Asset registers prepared for each department. We are now working with the A & E department in linking these registers with the retention schedule to assist IAO's with putting in place regular review, retention & disposal processes as part of Op Archive

Risks & Current Position

December 2018 – Limited Assurance	Revisit Report – March 2020 – Satisfactory assurance
<u>Deputy Data Protection Officer/Key Knowledge</u> Risk: Key knowledge is lost should team members leave.	<p>Two nominated deputies are now in place, Information Request Team Leader & Information Security & Compliance Team Leader and The Deputy DPO role is now defined in the relevant Job Description.</p> <p>The agreed IMU restructure currently being implemented should also reduce reliance and risk on key single points of knowledge in key areas such as DP and Information Security.</p>
<u>Records Management</u> Risk: Potential to breach retention policies and not fully understand records held.	<p>A decision was taken to return approx. 12000 boxes in off-site storage to an internal facility within the Force and the processes required to manage these assets is being reviewed as part of Op Archive. This work is ongoing.</p>
<u>Training</u> Risk: Staff not effectively trained and aware of their obligations.	<p>The NCALT Managing Information Training package was relaunched on the 18th September 2019, mandated for officers and staff with two separate packages depending on role. Completion is being monitored and Heads of Department have been notified of their team's compliance rates.</p>
<u>Regional Data Protection Meetings</u> Risk: Highlighted by Lincolnshire Police as this audit was approached on a regional basis. Group discussions do not meet terms of reference or provide an effective forum.	<p>Nottinghamshire Police has continued to attend the regional DP meetings and the scope and nature of the meetings has been subject to review.</p> <p>There are also regional meetings in place for Information Security Officers, Compliance Auditors, FOI Officers & Records Management Officers</p>



Nottinghamshire Police

Understanding Demand



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HMICFRS AFI/Recommendation

- PEEL Assessment 2018-19 – Efficiency
- “The force should develop its workforce plans to identify more fully what future capabilities its workforce will need, and improve its analysis of future demand. This will ensure that the force’s medium to long-term plan is aligned effectively and efficiently with future demand”
- The next few slides will focus on the requirement to improve analysis of future demand, and aligning the medium and long-term plans to that analysis

Previous capability

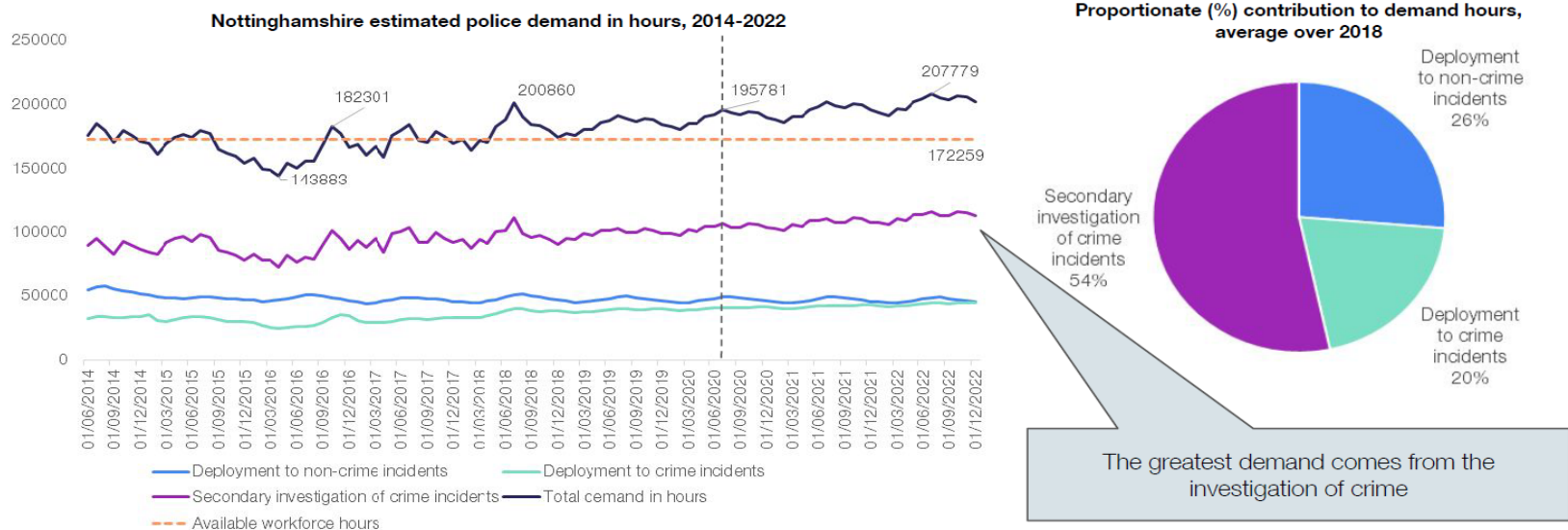
- All previous future demand analysis was undertaken using SPSS software
- All SPSS trained personnel had left the force, leaving a capability gap with regard to forecasting demand
- The SPSS forecasts were purely volumetric in nature, therefore not affording any analysis around workforce requirements

Initial Crest Project

- In early 2019 Crest Advisory were commissioned to undertake demand analysis and modelling work to help the force better understand demand, in respect of volumes of work and resource hours required, both now and in the future
- Crest created a demand tool/model designed to account for levels of demand from 'call to completion' by considering proportionate outcomes against;
 - Volumes of incidents and crimes, including deployment data
 - Estimates on activity based timings – gathered via focus groups and a staff survey. Estimates included time associated with
 - Investigation, arrest, charge and trial stages

Initial Crest Workload Forecast

The number of workforce hours available is already being outstripped by the hours required to meet the demand on Nottinghamshire Police. Total demand on Police is expected to continue to increase



Assuming all of the model inputs are correct, and the available workforce hours remains constant, **Nottinghamshire Police will not be able to meet demand over the next four years**



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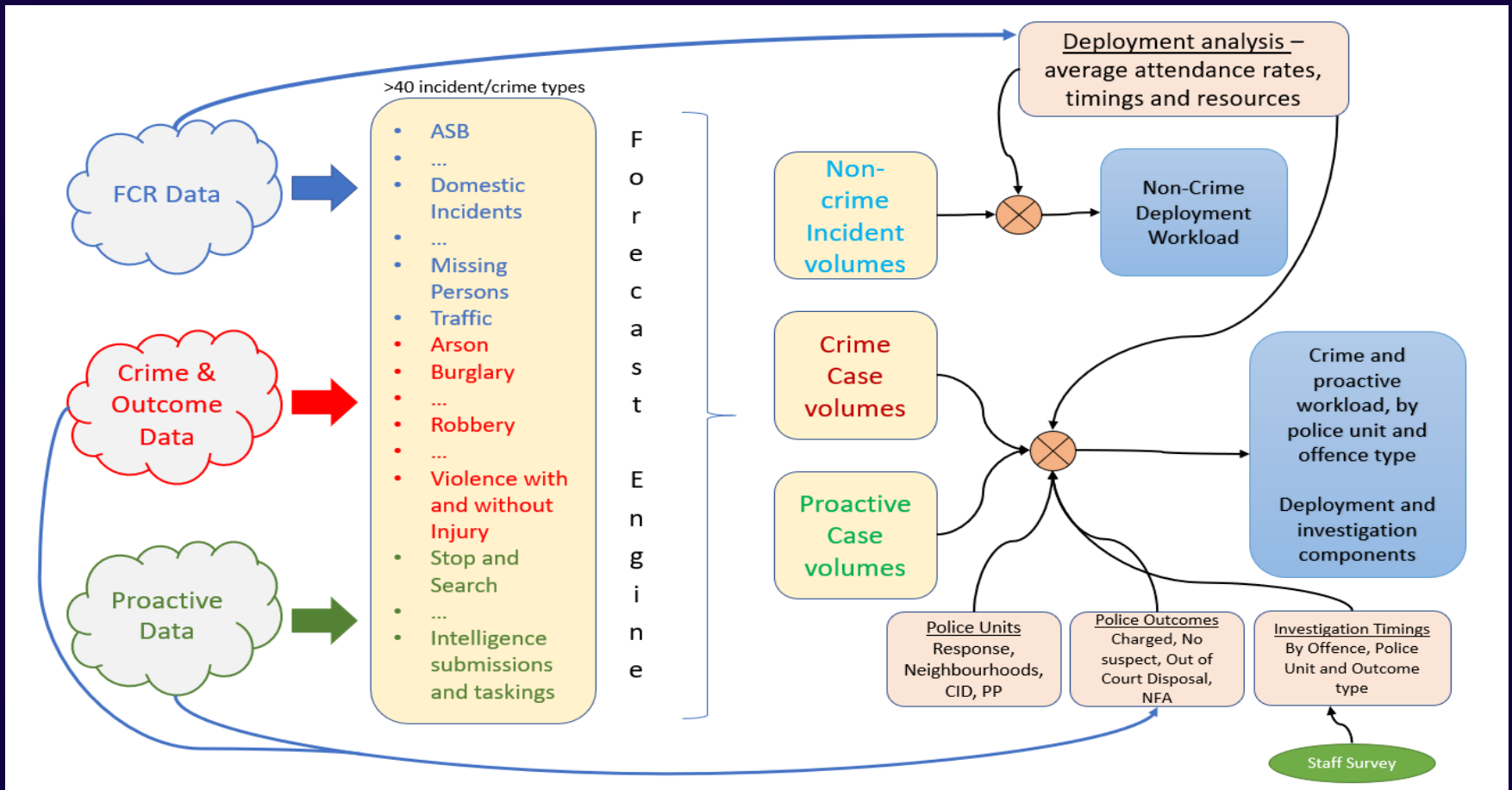
Initial Project Outcomes

- This has not only allowed the force to become more sophisticated in its understanding of demand but also addresses concerns raised by the HMICFRS about our need to develop a better understanding of demand and use this improved understanding to make informed decisions to plan for the future
- The findings of the project informed various force activities including
 - The Annual Force Management Statement
 - The Annual Department Assessment process
 - CSR / Lobbying position in respect of police funding
 - Delivery against HMICFRS recommendations and assessment criteria
 - Operational understanding of demand and configuration of resources

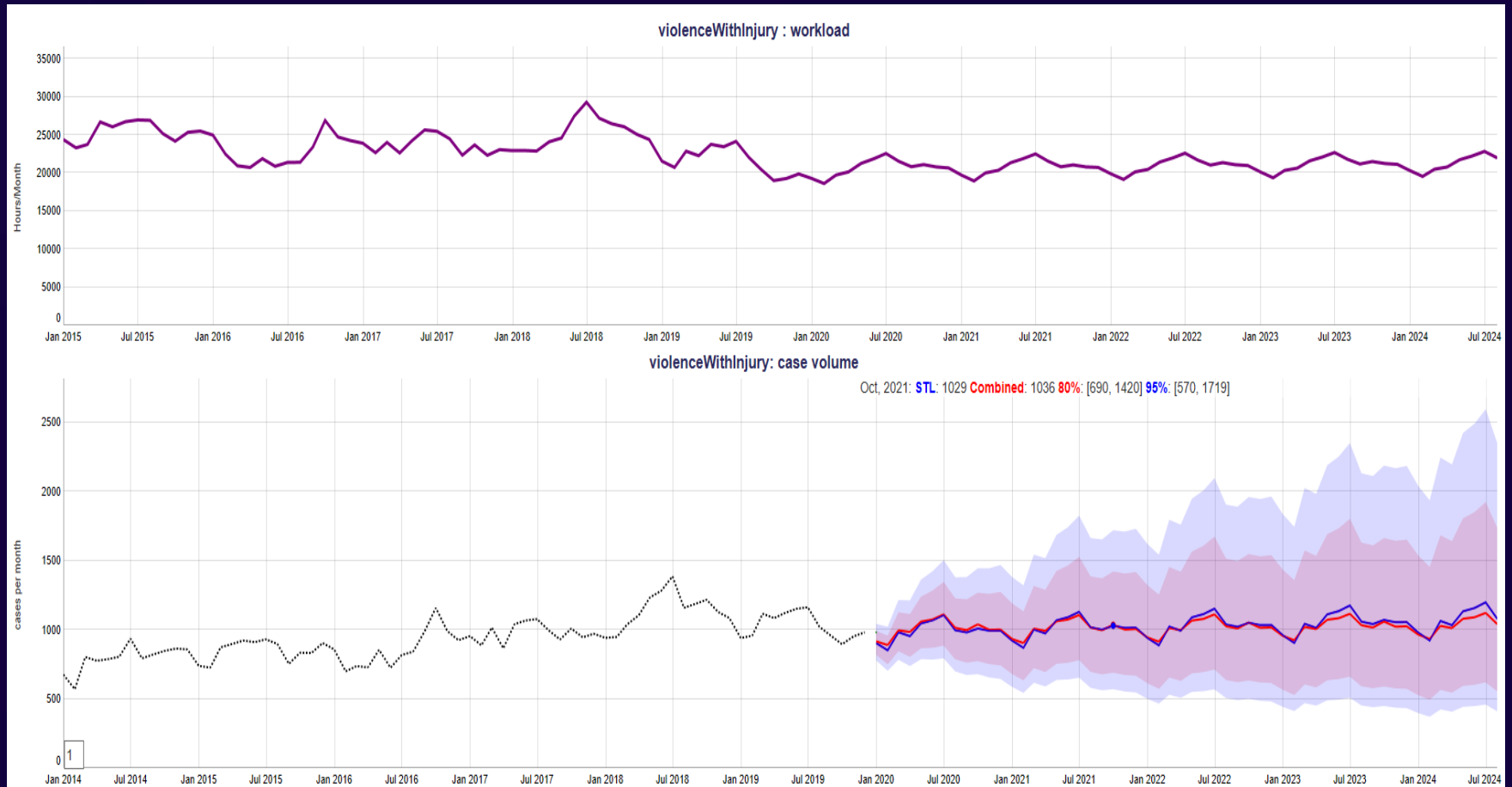
New and Developing Capability

- Based on the strength of the initial Crest Advisory product and the ongoing need and requirement to develop a clearer understanding of demand, the force has embarked on a 2-year partnership approach with Crest Advisory to continue developing the capabilities provided by the demand tool
- The demand tool has been expanded, and will continue to be expanded, to include a more granular level of data and analysis around reactive demand, and an emerging level of detail for proactive/preventative demand

Crest Model Structure and Analysis

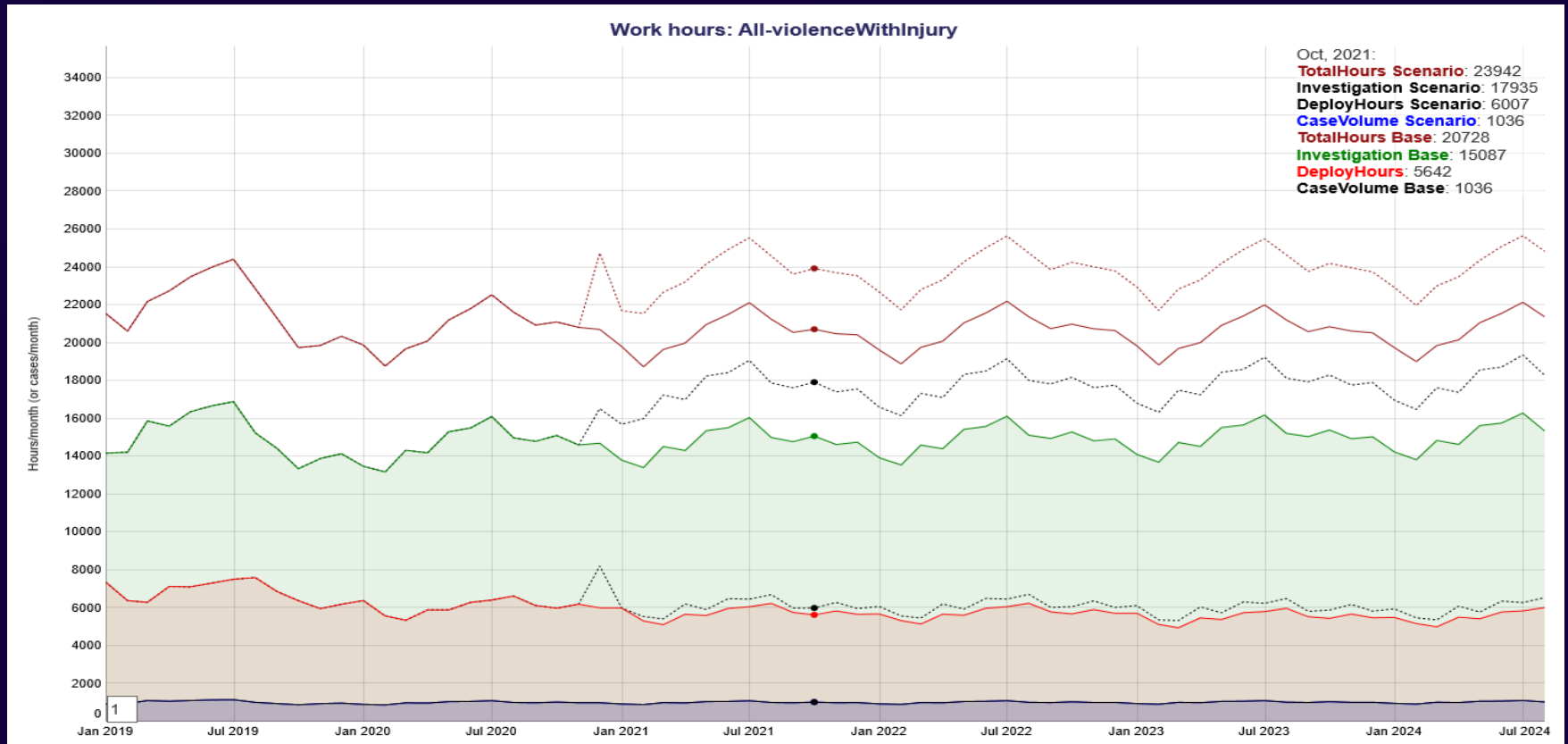


Crest Tool – Case Volume and Workload Forecasting



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Crest Tool – Scenario Testing Capability



N.B - This scenario increase the deployment rate from 73% to 100% and the charge rate from 9% to 15%

Partnership Objective

- At the end of the 2-year partnership, the aim is for the force to be self-sufficient in the use and continued development of the Crest tool
- The model will provide the capability for the force to continue to build its understanding of demand, both current and future, and develop and test various scenarios – culminating in a tool which enables the force to make evidence based decisions around resource capacity, but also capability/skill requirements



Joint Audit and Scrutiny Panel

Neighbourhood Policing

Chief Superintendent Rob Griffin



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HMICFRS INSPECTION 2018 IDENTIFIED THE FOLLOWING SPECIFIC AREAS FOR IMPROVEMENT:

HMICFRS AFI 1: The force should work with local people to improve its understanding of local communities and demonstrate what action it has taken to address their concerns.

HMICFRS AFI 2: The force should evaluate and share effective practice routinely, both internally and with other organisations, to improve its approach to the prevention of crime and anti-social behaviour.



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NHP REVIEW, RE-MODELLING AND IMPLEMENTATION: A 2 YEAR JOURNEY:

Following a comprehensive consultation with stakeholders including operational practitioners, COT, OPCC, HMICFRC and with reference to College of Policing guidance and the NPCC 2025 policing vision, a suite of six guiding NHP principles were agreed which have acted as the touchstone for NHP re-design and delivery in Nottinghamshire Police.

NHP REVIEW, RE-MODELLING AND IMPLEMENTATION: A 2 YEAR JOURNEY:

1. Have an accessible, visible and co-located policing presence in our communities.
 2. Listen and engage with communities and our partners to inform areas of focus and activity.
 3. Work in a multi-agency arena to jointly bring about the most effective response to the issues raised.
 4. Analyse the nature, severity and cause of problems affecting communities and respond appropriately.
 5. Embed effective problem solving in order to prevent crime and anti-social behaviour.
 6. Work with those involved in local policing to target offenders, organised crime, violent extremism and keeping vulnerable people and communities safe.
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NEIGHBOURHOOD POLICING PORTAL

We have reviewed what we have been doing in neighbourhood policing and have now adopted a consistent approach to ensure that we are all doing things in the same way.



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Your neighbourhood policing portal



My neighbourhood

Neighbourhood details.



Neighbourhood policing toolkit

Information and resources.



What works

Review good practices both internal and external.



Problem solving

Effective problem solving guidance and resources.



Engagement - for a purpose

Engaging our communities is at the heart of our work.



Legislation and procedure

Guides for common neighbourhood issues.



Training and development

Supporting development via on-line learning, CPD, induction and NVQ.



Neighbourhood policing guide

A PDF guide for neighbourhood policing teams.



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GOVERNANCE & ACCOUNTABILITY

- STRATEGY SETTING
- ACTION PLAN
- IMPLEMENTATION MEETING

HMICFRS AF1

The force should work with local people to improve its understanding of local communities and demonstrate what action it has taken to address their concerns.

In order to engage effectively, Neighbourhood Policing Teams need to understand their areas.

To support you in building your understanding of our communities, we take a three-step approach based on:

1. Community profiles
 2. Engagement plans
 3. Engagement activity and evaluation documents
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STEP 1 – COMMUNITY PROFILES

Each neighbourhood has a current profile which is regularly reviewed and available on the Neighbourhood Policing Portal.

The profile provides an overview of the communities we serve and helps to inform when, where and how we will engage our communities.

It also helps to identify new and emerging communities and enables us to understand how different groups prefer to engage with the police.



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STEP TWO: ENGAGEMENT PLANS

Each neighbourhood area has an engagement plan developed by the local Neighbourhood Policing Inspector (NPI).



These plans provide a structured approach to delivering extra and targeted community engagement, as well as ensuring that engagement activity is based on threat, risk and harm.



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STEP THREE: ENGAGEMENT ACTIVITY AND EVALUATION DOCUMENTS

This is a 'living' document available on the portal which is designed to be regularly updated by neighbourhood teams. This document captures and evaluates the effectiveness of our engagement activity.

It helps to demonstrate 'what works' and identify where we can re-focus our efforts to engage more effectively with the communities we serve.



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PRIORITY SETTING

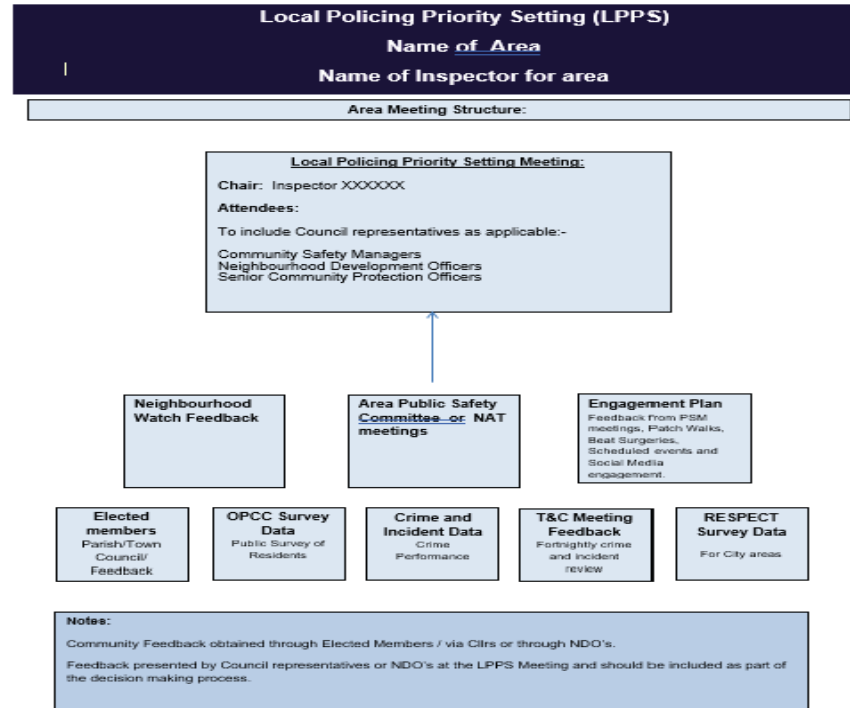
There is now a consistent approach to priority setting across the force, which is:

1. Neighbourhood policing inspectors (NPIs) receive OPCC policing priorities data.
 2. NPIs convene a quarterly Local Policing Priority Setting Meeting (LPPSM) with their local council managers.
 3. NPIs formally set up to three policing priorities quarterly for their area using a variety of information.
 4. The priorities are published on the neighbourhood pages of the force website.
 5. Where necessary, priorities will have a problem solving plan on E-CINS.
 6. Monthly updates are provided to stakeholders and the public – Stakeholder Newsletter, Social Media, Website updates.
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Priority Setting



The Local Policing Priority Setting (LPPS) process



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HMICFRS AFI 2:

The force should evaluate and share effective practice routinely, both internally and with other organisations, to improve its approach to the prevention of crime and anti-social behaviour.



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STAGE 1

Understanding 'what works' Neighbourhood Inspectors and Sergeants populate the 'what works review document' with a completed operational order, problem solving plan, examples of successful community engagement activity and reviews of how we are working to protect vulnerable people. Each case will be submitted using a template that covers the key issues under the EMMIE evaluation framework to ensure a consistent approach.



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STAGE 2

Evaluating our response. A 'what works' board meets every three months to review each submission, evaluate its effectiveness and explore what learning the police and partners can adopt.

STAGE 3

Sharing 'what works' Each submission is uploaded to the neighbourhood policing portal and promoted via a regular 'what works' digest to share good practice and support the force in planning its future activities. Examples of successful cases will be shared at the quarterly neighbourhood inspectors' meeting, promoted as good news stories and considered for further acknowledgement through the force's awards and recognition scheme.



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QUALITY ASSURANCE CHECKLIST

- THE NHP HUB



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ETHICS

T/Detective Superintendent Michael Allen

Ethics Lead

Nottinghamshire Police

October 2020



Ethics Embedded within Policing

1. Clear leadership from Command;
2. Ability at every level of supervision;
3. Integral to our **PROUD** values; and
4. Central to police decision making;



Continuous Learning

- Delivered to all officers, staff & volunteers since 2014;
- Ethics tested in recruitment processes;
- Delivered in core training / induction to new starters;
- Strategic liaison with key stakeholders:
 - College of Policing;
 - NPCC UKPEGG;
 - HMICFRS
- Development of a force ethics forum;
- Fine-tuning the workforce's appreciation of ethics



Code of Ethics

A Code of Practice for the Principles and Standards of Professional Behaviour for the Policing Profession of England and Wales

HMICFRS Inspection

- **Inspection question:** *How legitimately does the force treat the public and its workforce?*
- Assessed as **GOOD.**
- Officers and staff understood the standards of behaviour expected by the force.
- Leaders were judged to be positive role models.
- Suggestion that a forum be established where the workforce could refer ethical dilemmas.

Demystifying Ethics in Force

Forthcoming '*Lets talk ethics*' internal campaign

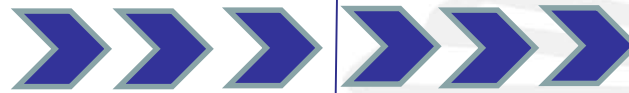
Standards of Professional Behaviour

1. Honesty and Integrity
2. Authority Respect & Courtesy
3. Equality and Diversity
4. Use of Force
5. Orders and Instructions
6. Duties and Responsibilities
7. Confidentiality
8. Fitness for Duty
9. Discreditable Conduct
10. Challenging and reporting improper behaviour.

Policing Principals

1. Accountability
2. Integrity
3. Openness
4. Fairness
5. Leadership
6. Respect
7. Honesty
8. Objectivity
9. Selflessness

Binary



Diverse

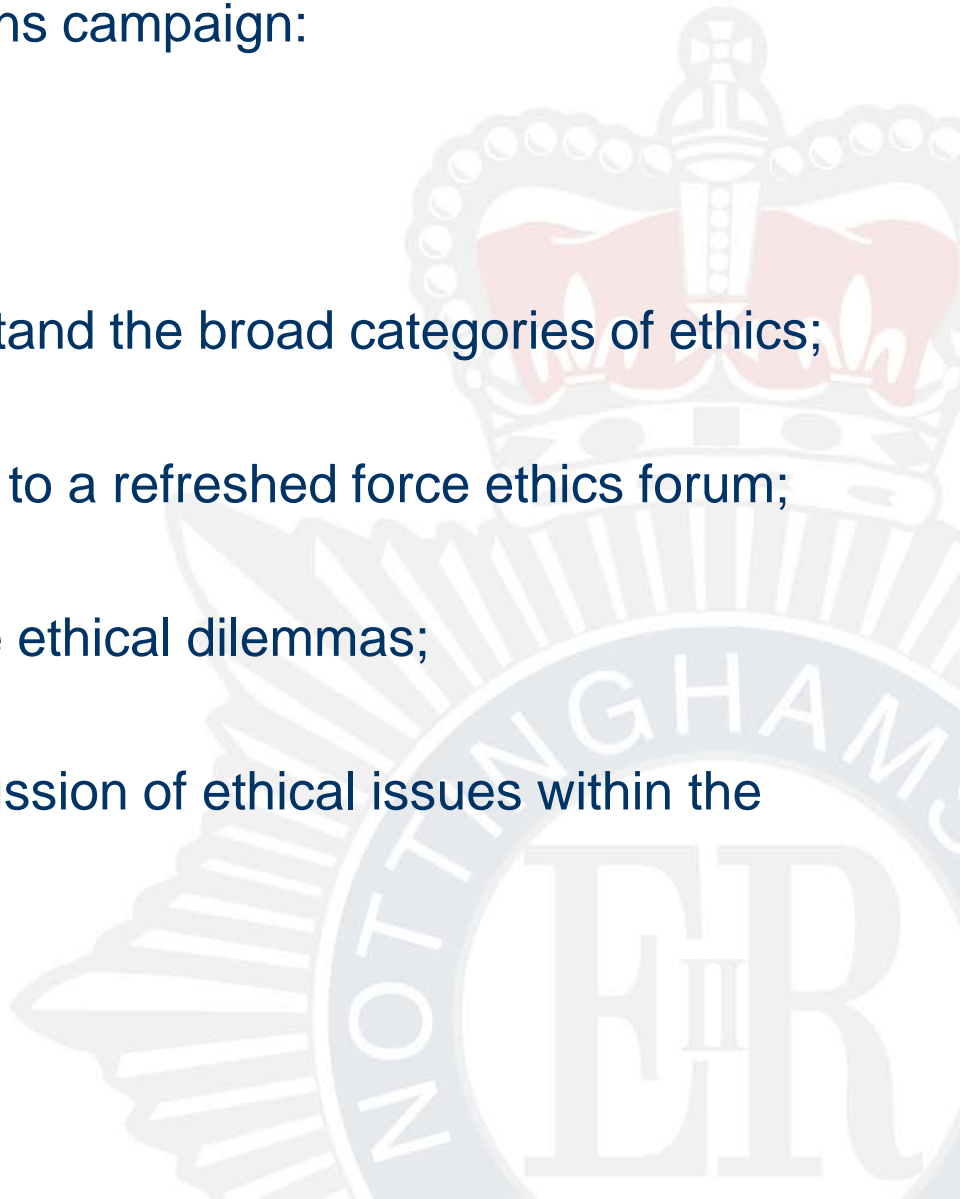


Lets Talk Ethics Campaign

- Internal corporate communications campaign:

Objectives:

1. Enable the workforce to understand the broad categories of ethics;
2. Recruit grassroots membership to a refreshed force ethics forum;
3. Empower the workforce to raise ethical dilemmas;
4. Encourage open and safe discussion of ethical issues within the workplace environment and



Ethics Forum

Officers, Staff &
Volunteers

Confidential Referral

Represented Referral

Ethics Forum

Force
Organisational
Risk &
Learning
Board

Regional
Ethics
Groups

UKPEGG

