

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

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**MINUTES**  
**OF THE MEETING OF THE**  
**NOTTINGHAMSHIRE POLICE AND CRIME COMMISSIONER**  
**JOINT AUDIT & SCRUTINY PANEL**  
**HELD ON THURSDAY 15 DECEMBER 2016**  
**FORCE HEADQUARTERS, SHERWOOD LODGE,**  
**ARNOLD, NOTTINGHAMSHIRE NG5 8PP**  
**COMMENCING AT 2.00 PM**

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**MEMBERSHIP**

(A - denotes absent)

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

**OFFICERS PRESENT**

Charlotte Radford	Chief Finance Officer, OPCC
Sue Fish	T/Chief Constable, Notts. Police
Mark Lunn	Mazars
Brian Welch	Mazars
Simon Lacey	KPMG (External Audit)
Liz Rogers	T/DCI PSD Notts Police
Natalie Baker-Swift	Governance & Business Planning Manager
Mark Kimberley	Head of Finance, Notts Police
Alison Fawley	Democratic Services, Notts. County Council

**1) APOLOGIES FOR ABSENCE**

Apologies for absence were received from Philip Hodgson, Paddy Tipping & Andrew Cardoza.

## 2) **DECLARATIONS OF INTERESTS BY MEMBERS AND OFFICERS**

None.

## 3) **MINUTES OF THE PREVIOUS MEETING**

The minutes of the last meeting held on 15 September 2016, having been circulated to all Members, were taken as read and were confirmed, subject to the following amendments, and were signed by the Chair:

- Peter McKay had declared an interest in item 10 Public Finance Initiative Contracts
- The Panel work plan and meeting schedule to be renumbered as item 16.

## 4) **FORCE IMPROVEMENT ACTIVITY**

Liz Rogers introduced the report which informed Panel Members of force improvement activity, lessons learned monitoring, and the response of the organisation to IPCC bulletins during the period April – September 2016.

Since the last reporting period no new strategic organisation learning points had been identified within PSD. Learning the Lessons Bulletin 27(appendix 1) had two key points of learning relevant to Nottinghamshire which had been shared with the relevant departments and were under consideration.

During discussion the following point was made:

- Learning was monitored and captured on the Centurion database and outcomes used to inform and track individual and team learning. It was difficult to use the system to quantify learning impact but improvements were noticeable in other areas for example a reduction in the number of complaints due to keeping victims better informed.

### **RESOLVED 2016/027**

That the report be noted.

## 5) **IPCC INVESTIGATIONS**

Liz Rogers introduced the report which informed Panel Members in respect of complaint and conduct matters referred by Nottinghamshire Police to the IPCC with the relevant recommendations and actions for the period 1 April – 30 September 2016. An amendment was made to the finalised table to show that the correct number of finalised cases was 10. Twenty five cases had been referred to the IPCC during the period which was a reduction of 29% compared to the previous period.

During discussions the following points were raised:

- Mandatory referrals were to ensure absolute transparency and that the action by the officer was correct in the circumstances.
- Panel Members requested that more detail be given for the cases classified as miscellaneous.
- It would be helpful to know how many cases were carried over from the previous reporting period so that the actual number of open cases was known rather than the number of new cases.
- Compared to other forces nationally, Nottinghamshire do well regarding timescales for dealing with complaints. It was explained that difficulties occurred if other agencies were involved, for example CPS.

#### **RESOLVED 2016/028**

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

#### **6) PROFESSIONAL STANDARDS AND CONFIDENTIAL REPORTING PROCEDURE**

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

During the period 1 April – 31 October 2016 49 referrals were made to the Counter Corruption Unit (CCU) through the Force's confidential reporting system which included Integrity Messenger, a digital reporting platform that allowed two way communication and preserved the anonymity of the person reporting and enabled rapport and confidence to be built and also a confidential telephone reporting system maintained by CCU and available to staff and officers. Some anonymous written communication was also received.

All referrals have been the subject of investigation and or immediate intervention,

#### **RESOLVED 2016/029**

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

#### **7) ASSURANCE MAPPING QUARTER 3**

Natalie Baker-Swift introduced the report which provided the Panel with a dashboard view of assurance levels against potential risk to the achievement of Force objectives for quarter 3 2016-17.

The new approach had been agreed at the Force Executive Board (FEB) in January 2016 and provided a three lines of defence approach for assessing

risk. Assurance maps would be reviewed biannually and reported to the FEB and the Audit and Scrutiny Panel.

During discussion the following points were made:

- The new assurance maps were felt to be more focused and a useful tool that could be used to develop the Panel's agenda in future.
- A workshop session would be arranged for Panel members to look at the concept in more detail and provide training in how to use the tool to identify particular aims.
- Internal Audit and External Audit were supportive of the new approach.

#### **RESOLVED 2016/030**

- 1) That the levels of assurance against potential risks to the achievement of Force objectives as out lined in Appendix 1 to the report, be noted.
- 2) That the Panel considered recommendations concerning the future application of assurance mapping.

#### **8) CORPORATE RISK MANAGEMENT POLICY AND PROCEDURE AND GOVERNANCE**

Natalie Baker-Swift presented the Corporate Risk Management Policy and Procedure and outlined the strengthened governance arrangements around anticipating, capturing, reporting and managing organisational risks.

The policy was a simpler version of risk management and was more in line with that of other forces, particularly those in the tri force collaboration.

During discussions the following points were made:

- The new policy was still a work in progress but had been introduced as the previous policy was no longer fit for purpose.
- The policy would be developed so that strategies were in place for both risk and opportunity.
- The policy would balance between good governance and control whilst ensuring accountability.
- There was still work to do to ensure consistency across collaborations.

#### **RESOLVED 2016/031**

- 1) That the new Corporate Risk Management Policy and Procedure as detailed in Appendices 1 & 2 to the report, be noted.
- 2) That the strengthened governance arrangements as detailed in appendices C, D & E to the report be acknowledged.
- 3) That the addition of risk into the terms of reference of the Force Performance Board as outlined in appendix F to the report, be noted.
- 4) That the creation of a Force Organisational Risk and Learning Board and terms of reference as outlined in appendix G to the report, be noted.

**9) EXTERNAL AUDIT – ANNUAL AUDIT LETTER 2015-16**

Simon Lacey introduced the report which provided members with a copy of the Annual Audit Letter – the final stage in the Statement of Accounts 2015-16 process.

Mr Lacey confirmed that an unqualified conclusion had been issued for the Police and Crime Commissioner and the Chief Constable's arrangements to secure value for money. The Auditors had also issued an unqualified opinion on 29 September 2016 for the 2015-16 financial statements.

**RESOLVED 2016/032**

That the External Annual Audit Letter be recommended to the Police and Crime Commissioner and Chief Constable for approval.

**10) AUDIT & INSPECTION REPORT QUARTER 2**

Natalie Baker-Swift introduced the report which provided the Panel with an update on progress against recommendations arising from audits and inspections that had taken place during quarter two, 2016-17.

During discussions the following points were raised:

- The Panel requested that the report for appendix 2 be revised so that the information is presented in a more compact format.
- The backlog of work had been cleared.
- There were a number of actions with a target completion date of 31 December 2016 and Mrs Baker-Swift reported that at the time of writing the report she was comfortable with achieving the deadline and that no significant changes to this.

**RESOLVED 2016/033**

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

**11) INTERNAL AUDIT PROGRESS REPORTS**

Brian Welch introduced the report which provided the Panel with an update on progress made against the Internal Audit Plan for 2016-17 and the findings from audits completed to date. He also provided Members with an overview of activity undertaken to verify implementation of audit recommendations made as a result of 2015-16 audits.

During discussions the following points were raised:

- The status of the core financial systems audit had changed to final since the report had been written which brought the total of completed audits to five. A satisfactory opinion had been issued although there were still issues with MFS.
- Five collaborative audits would be undertaken in 2016-17 and the terms of reference were the same across the collaborations.
- A draft report on the effectiveness of the Audit & Scrutiny Panel had been released.

#### **RESOLVED 2016/034**

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

#### **12) PANEL WORK PLAN AND MEETING SCHEDULE**

The meeting schedule and work plan was discussed. Panel members were concerned that some finance items appeared to be missing from the agenda. Charlie Radford explained that she had issues with the new work plan and agreed to discuss with Kevin Dennis. The Chair requested that the programme be reviewed in line with assurance mapping.

#### **RESOLVED: 2016/035**

That the report be noted subject to a review of the detail of the work programme.

The Chair thanked Mrs Fish for her contributions to the Audit & Scrutiny Panel and wished her well for her retirement.

The meeting closed at 4.15pm

CHAIR