

AUDIT COMMITTEE

Tuesday 19 October 2021 at 14.00 hrs
Microsoft Teams

A G E N D A

Note for Members of the Public: Due to the exceptional circumstances this meeting is being held via Microsoft Teams, please contact the OPCCN (details below) prior to the meeting if you wish to submit questions to the Committee on any matter on the public part of the agenda.

Questions should be addressed to the Chair of the Audit Committee.

- The details of the Audit Committee and relevant papers are on the website.
- The deadline for submission of questions is five clear working days before the meeting in order that an appropriate answer to the question can be given.
- Questions should be submitted by email to: - opccn@norfolk.police.uk or written questions can be sent via post to the Office of the Police & Crime Commissioner. (address below).
- A list of questions will be drawn up in order of receipt and copies of all questions and statements will be circulated to all members of the Committee.
- Each member of the public asking a question must give his or her name and the town that they live within Norfolk. We will publish the question and response on our website but redact individuals' details.

Part 1 – Public Agenda

1. Welcome and Apologies
2. Declarations of Personal and/or Prejudicial Interests
3. To approve the minutes of the meeting held on 27 July 2021.....page 04
4. Review and update the Action Logpage 10
5. Internal Audit – 2021/22 Summary of Internal Control.....page 13

6. Corporate Governance Framework - Report from CFO page 35
7. Annual Governance Statement - Report from CFO.....page 48
8. Audit Committee Effectiveness (Skills) - Verbal update from CFO
9. Forward Work Plan – Report from CFO page 65

Part 2 – Private Agenda

10. Fraud update – Report from CFO
11. Strategic Risk Register Update – Report from Chief Executive and Chief Constable – OPCCN and Norfolk Constabulary
12. Date of Next Meeting

Tuesday 29 November 2021 at 1400 hrs - Venue TBC

Enquiries to:

OPCCN

Building 1, Jubilee House,

Falconers Chase, Wymondham, Norfolk, NR18 0WW

Direct Dial: 01953 424455 Email: opccn@norfolk.police.uk

如果您希望把这份资料翻译为国语，请致电 01953 424455 或发电子邮件至：

opccn@norfolk.police.uk 联系诺福克警察和犯罪事务专员办公室。

Если вы хотите получить данный документ на русском языке, пожалуйста, обратитесь в Управление полиции и комиссии по рассмотрению правонарушений в графстве Норфолк по тел. 01953 424455 или по электронной почте: opccn@norfolk.police.uk

Se desejar obter uma cópia deste documento em português, por favor contacte o Gabinete do Comissário da Polícia e Crimes através do 01953 424455 ou pelo e-mail: opccn@norfolk.police.uk

Jei šio dokumento kopiją norėtumėte gauti lietuvių kalba, prašome susisiekti su Policijos ir nusikalstamumo komisarų tarnyba Norfolk grafystėje (Office of the Police and Crime Commissioner for Norfolk) telefonu 01953 424455 arba elektroninio pašto adresu opccn@norfolk.police.uk

Jeśli chcieliby Państwo otrzymać kopię niniejszego dokumentu w języku polskim, prosimy skontaktować się z władzami policji hrabstwa Norfolk (Office of the Police and Crime Commissioner for Norfolk) pod numerem 01953 424455 lub pisać na: opccn@norfolk.police.uk



NORFOLK
CONSTABULARY
Our Priority is You

Audit Committee Meeting

Tuesday 27 July 2021
14:00 hours
Via Microsoft Teams

MINUTES

Members in attendance:

Mr R Bennett (Chair)
Ms A Bennett
Mr A Matthews
Ms J Hills
Mr P Hargrave

Also, in attendance:

Mr P Jasper	Assistant Chief Officer (ACO), Norfolk Constabulary
Ms J Penn	Chief Finance Officer, (PCC CFO), OPCC
Ms F Dodimead	Director of Audit, TIAA
Mr M Hodgson	Associate Partner EY LLP
Mr D Harris	RSMUK (joined at 1430 hours)
Ms A O'Keefe	RSMUK (joined at 1430 hours)
Mrs J Curson	Transcribing the minutes from the Teams Recording

Part 1 – Public Agenda

1.0 Welcome and Apologies

- 1.1 Apologies were received from Chief Constable Paul Sanford, Deputy Chief Constable Simon Megicks, Police and Crime Commissioner Giles Orpen-Smellie and OPCC Chief Executive Mark Stokes.
- 1.2 There were no questions received from the general public.

2.0 Declarations of Personal and/or Prejudicial Interest

- 2.1 None were recorded.
- 2.2 The Chair asked for all committee members to email the CFO direct if there are any changes from the last updated version.

3.0 Minutes of the last meeting

- 3.1 There were no issues with the accuracy of the minutes from the last meeting held on 13 April 2021.
- 3.2 The minutes of the last meeting were duly agreed by the Audit Committee members.
- 3.3 **Action 53:** J Curson to arrange the send to the Chair hard copies of previous minutes to ensure that these are signed and the Chair to advise which copies he still requires to sign.

4.0 Action Log

- 4.1 The action log was reviewed in detail and the log will be updated to reflect the discussion.

5.0 Progress Report

- 5.1 F Dodimead reported that six reports have been issued since the last meeting. The reports for data quality and MOPI were limited assurance. F Dodimead also reported that learning and development and other HR areas which were previously limited assurance have now come out as reasonable assurance, which is very positive.

5.2 Data Quality

This is an area of strategic focus for the constabulary, but there are still significant issues to overcome in some business areas. There is a system implementation programme in place to support data quality improvement work. Stage one of this work is now fully completed and stage two is in progress. TIAA have also been reviewing the policy and strategy, and the reporting suites have also been checked to ensure that the information produced is as required. A number of recommendations are included in the report including the need for data quality training which will need to be taken forward.

5.3 Management of Police Information (MOPI) Project

F Dodimead informed the meeting that the MOPI project has been in progress for a number of years, but the project has lost traction due to the requirements for ICT resource to support the new system that is being implemented and the recommendations reflect this issue in the report.

5.4 Risk Maturity

A further report which F Dodimead commented on was the risk maturity report. This has been given a reasonable assurance but TIAA have not made any recommendations. In relation to risk management there has been significant progress over the last twelve to eighteen months and everything is progressing very well. The reason the report has not been given substantial assurance is because there is still some work to be done in relation to the risk management strategy and also the need to review and understand risk appetite across the different functions of the constabulary.

5.5 Follow Up

F Dodimead reported to the Committee that there eleven recommendations that are overdue and six that are not due as yet. There has been great progress with the overdue recommendations and the number has reduced substantially over the last few years. This has been due to the work of Claire Lavery from TiAA and also the constabulary management team who have progressed those recommendations by re-evaluating how those recommendations can be implemented, whether they are still relevant or whether they will be covered as part of a project.

5.6 F Dodimead reported that there are two more audit reports that still need to be finalised. All the field work for both of these have been completed but there was a slight delay to ensure that all the correct information was received.

5.7 A Bennett asked a question about the ongoing Athena issues and asked the ACO how long Athena still be in place for, as it was noted that one of the actions indicated that it would take two years to deliver. The ACO reported that there is significant ongoing investment into this system. There is a strategic Athena Management board which is made up of the nine forces and an agreement has recently been reached with the contractor in relation to some costs savings from the contract which has been extended for a number of years going forward.

5.8 A further question from A Bennett related to training and its importance with data quality. On the L&D report, there was a recommendation by the auditors about issuing laptops rather than tablets which wasn't accepted. L&D did not accept this recommendation as it was felt that tablets were appropriate for the student training. A Bennet felt that L&D should reconsider this decision. The ACO indicated that he did not feel that tablets were an issue for the students. The Constabulary is currently developing the PEQF (Police Education Qualification Framework) and Police Degree Apprenticeship in line with Anglia Ruskin University. The ACO also confirmed that Anglia Ruskin University are also content with the provision of tablets.

5.9 P Hargrave raised a question relating to data quality on page 23 of the report and the potential risks raised by TIAA if data quality is not improved. Under the

implementation column it is noted that a review will be undertaken by March 2023 and progress advised by March 2022. P Hargrave felt that the Committee should be appraised before these dates of any progress. The ACO informed the Committee that this relates back to work as previously discussed and Mark Williams, the Records Manager is looking to develop this over the course of this year. The ACO also informed the Committee some of the possible incidents have occurred on isolated occasions and this was one of the reasons the Data Quality Board has been set up under the leadership of an ACC.

- 5.10 P Hargrave also questioned about the implementation dates on page 25 of the data quality report which were the end of June 2021.

Action 54: F Dodimead to check with C Lavery about the data quality report and if they haven't been followed up and completed by TIAA then these will be handed over to RSMUK.

- 5.11 J Hills asked if data quality is an issue across all forces and obviously those forces with Athena have similar problems, but what about those forces who do not have Athena. The ACO confirmed that he felt all forces have issues with data quality to varying degrees. MOPI is also a wide-ranging issue presenting challenges to all forces.

- 5.12 The Chair also noted that there is a recurring theme within these reports in relation to updating policies and having policies in place and this be reviewed by the Committee later in the year as a briefing topic.

- 5.13 In relation to TIAA finalising the remaining reports the Chair suggested that rather than inviting F Dodimead to attend future Audit Committee meetings that if these reports are circulated once completed to the Committee then any comments can be taken offline. F Dodimead confirmed that everything will be finalised and handed over to RSMUK properly but would be happy to attend any future meetings if required or be available to answer any queries.

Decision: This was agreed by the Audit Committee.

- 5.14 F Dodimead informed meeting that there are five audits still to be completed and suggested that the finalisation of these is listed as an agenda item and that the Committee summarises that these have been reviewed and agreed offline.

5.15 Annual Report

F Dodimead reported that it is pleasing that despite the pandemic, if you look at where the annual report was a number of years ago in terms of limited assurance reports and borderline reports, that management have done a huge amount of work on these systems and we are now in a much better place.

- 5.16 The Chair thanked C Harris, F Dodimead, C Lavery and the whole team at TIAA for all their hard work over the past few years.

6.0 Internal Audit Plan 2021/2022 RSMUK

D Harris and A O'Keefe from RSM joined the meeting. The plan presented to the Committee is a refresh of the plan for this year during the transition from TIAA to RSM.

6.1 D Harris informed the meeting that the difference with this plan from that of TiAA is that the reviews have been linked to specific risks on the risk registers and has been incorporated into both the appendix document and the assurance map which is still a work in progress. The other point to note is that RSM are aware that the plan for 2021/22 has only just recently been approved, and they felt that the majority of these are the right audits to be undertaken, but there have been some changes to some of the phasing of those audits. There is now a four year rather than three-year plan in place, and this will ensure wider and deeper coverage in some of the audits.

6.2 **Action 55:** One other item to flag to the Committee is that when RSM met with the respective CFOs across Norfolk and Suffolk discussions took place in relation to the programme and the potential options for the annual opinion for this year. RSM will bring this back to the next Committee to confirm how this will take place.

6.3 A Bennett noted that in TIAA's report they discussed the absence management audit being pushed to later in the year and RSM's report it mentions TIAA completing this report. So, this report appears to have fallen between the two providers as there is no audit on absence management and limited duties listed in either plan. The ACO confirmed that as far as he is aware there has not been a deliberate decision to remove this audit.

Action 56: The ACO to discuss the absence management and limited duties audit further with RSM to ensure that this item is covered.

6.4 The Chair asked RSM about their approach to key financial controls. D Harris informed the Committee that it has been agreed to look in depth cyclically across key financial control areas and the assurance opinions from those reviews will determine the future coverage and the frequency of that coverage.

6.5 J Hills asked about the number of days that has been increased for some of the financial audits compared with what was originally in the plan. D Harris confirmed that this was to give a more in-depth reviews for each of the areas.

Decision: The Audit Committee approved the revised plan for the remainder of 2021/22 although this will be kept under constant review and discussed at each of the forthcoming committee meetings.

7.0 External Audit – Audit Plan Addendum Value for Money

7.1 M Hodgson reported that this is an addendum to the audit plan dated 22 March 2021 and presented at the last Committee meeting on the 13 April 2021. The

value for money risk assessment had not been completed at the time of the audit plan but this addendum subsequently updates this and sets out that E&Y have not identified any significant risks to value for money at this time. Therefore, this will cascade through the audit results report and the annual auditor's report and this also confirms that we have not re-designated any of the other risks in that original audit plan.

8.0 Annual Governance Statement

- 8.1 The CFO informed the meeting that the draft Annual Governance Statement has now been shared with the Audit Committee by email and the document is now live on both the websites for the PCC and the Constabulary together with the draft statements of accounts. This document will be kept under review and discussed with E&Y until the conclusion of the audit in case there are any amendments that need to take place. Any changes will be flagged to the Audit Committee via the Corporate Governance Working Group.

9.0 Forward Work Plan

- 9.1 The CFO informed the Committee that the January meeting is still to be arranged but as discussed previously there will be meetings arranged for 19 October and 29 November 2021 and confirmation of these dates will follow shortly. The dates for 2022 are currently being considered and there will be a more detailed forward plan presented at the next meeting. In relation to the informal briefing sessions, items already to be included relate to policies and a visit to Hethersett Old Hall School, possibly in September but this date to be confirmed.

Action 57: A Bennett asked if the plan on data quality could be reviewed at the morning briefing session in January 2022. The CFO confirmed that she would arrange for the most appropriate member of staff to deliver this briefing.

Meeting closed at 1510 hours



Audit Committee Public – Part 1

Action Log

Action Number	Meeting Date	Actions and update	Owner	Status
New Actions: 21 May 2020				
027	21.05.20	<p>Reasonable Assurance Reports</p> <p>There had been a number of questions raised by the Committee in relation to the reasonable assurance reports but due to time constraints these will be dealt with outside of the meeting via email. J Penn has a log of these and will ensure that they are forwarded to TIAA to be dealt with.</p> <p>21.9.20 F Dodimead to circulate the list of questions and responses to the Audit Committee.</p> <p>20.10.20 Responses have been prepared and C Lavery will circulate this document after the meeting.</p> <p>19.1.21 C Lavery to discuss outside of the meeting with the CFO.</p> <p>13.4.21 C Lavery has now passed these to the CFO who will circulate once they have been reviewed.</p> <p>27.7.21 F Dodimead understood that C Lavery had sent a reply between meetings, but the CFO confirmed that she had not received a response. F Dodimead to follow up with C Lavery.</p>	C Lavery / Jill Penn	Live
New Actions: 13 April 2021				

049	13.4.21	<p>Internal Auditors Action: The Chair asked for TIAA to draw up a handover plan for the new auditors, RSM, for any outstanding recommendations to ensure a smooth transition. C Harris confirmed all outstanding recommendations and any other necessary documentation would be handed over to RSM and the ACO would also receive a copy of this. 27.7.21 TIAA in the process of handing over to RSMUK and update on progress at the next meeting.</p>	TIAA	Live
050	13.4.21	<p>Action: TIAA to ensure that the Audit report is updated so that the Committee can see what audits have been completed, as this information would also need to be included within the Annual Governance Statement and presented at the July meeting. 27.7.21 Once the last couple of audits are completed, an end of contract report will be produced by TIAA for this year, but core areas of governance, risk and key financials will not be included within TIAA's area of the plan to give RSM sufficient time and coverage for the rest of the year so that they can do core systems. Update at the next meeting.</p>	TIAA	Live
051	13.4.21	<p>Action: TIAA to ensure that the Information Governance report is included within the final report. 27.7.21 action complete.</p>	TIAA	Action completed 27.7.21
052	13.4.21	<p>Action: The CFO to discuss with M Hodgson the timings for delivering the annual report to enable a date for the Audit Committee to be set at an appropriate time. Following this the CFO will discuss further with the Chair. 27.7.21 Discussion has taken place and the CFO confirmed that the morning and afternoon sessions on the 21 September have been cancelled. The confirmed dates for the rest of the year are Tuesday 19 October and meeting on the 29 November in the afternoon has been added to review the final accounts if they are available at this time.</p>	J Penn/R Bennett/M Hodgson	Live
New Actions: 27 July 2021				
53	27.7.21	<p>Action: J Curson to arrange the send to the Chair hard copies of previous minutes to ensure that these are signed and the Chair to advise which copies he still requires to sign.</p>	J Curson	Action completed 20.9.21

**AUDIT COMMITTEE
19 OCTOBER 2021
AGENDA ITEM 4**

54	27.7.21	Action: F Dodimead to check with C Lavery about the data quality report and if they haven't been followed up and completed by TIAA then these will be handed over to RSMUK	F Dodimead	Live
55	27.7.21	Action: One other item to flag to the Committee is that when RSM met with the respective CFOs across Norfolk and Suffolk discussions took place in relation to the programme and the potential options for the annual opinion for this year. RSM will bring this back to the next Committee to confirm how this will take place.	D Harris	Live
56	27.7.21	Action: The ACO to discuss the absence management and limited duties audit further with RSM to ensure that this item is covered.	P Jasper	Live
57	27.7.21	Action: A Bennett asked if the plan on data quality could be reviewed at the morning briefing session in January 2022. The CFO confirmed that she would arrange for the most appropriate member of staff to deliver this briefing.	J Penn	Live

Police and Crime Commissioners for Norfolk and Suffolk and Chief Constables of Norfolk and Suffolk Constabularies

Summary Internal Controls Assurance (SICA) Report –
Norfolk

2021/22

October 2021

Summary Internal Controls Assurance

Introduction

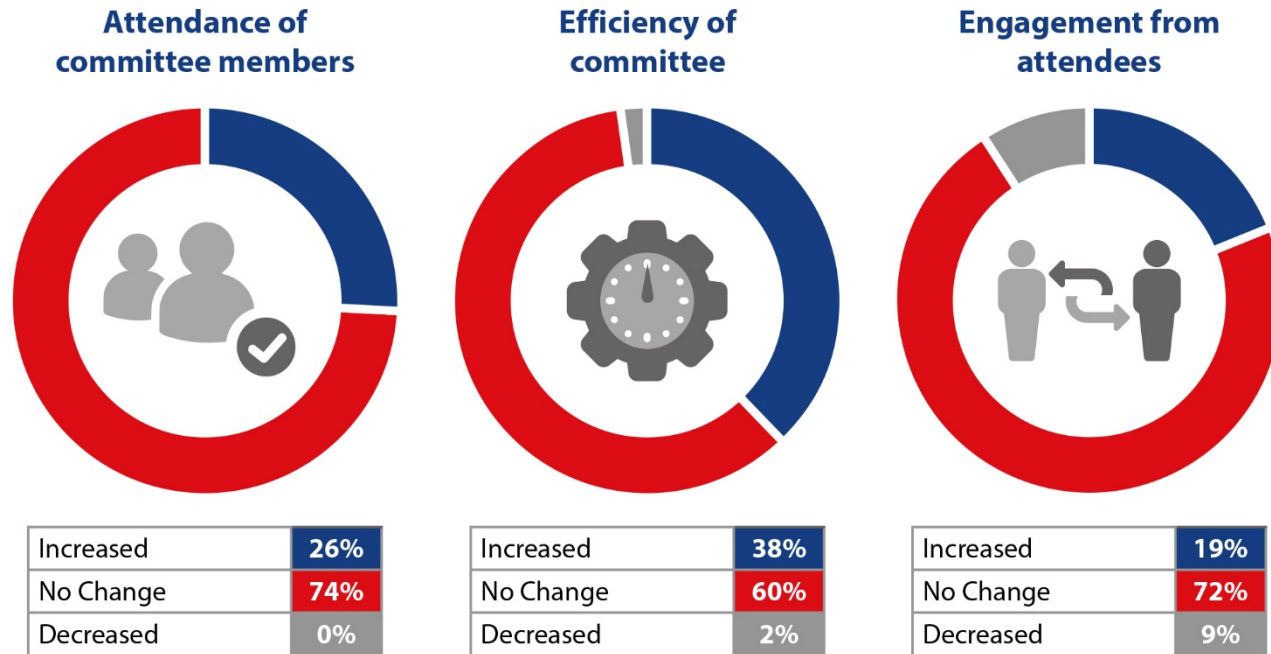
1. This summary controls assurance report provides the Audit Committee with an update on the emerging Governance, Risk and Internal Control related issues and the progress of our work at the Police and Crime Commissioners for Norfolk and Suffolk and Chief Constables of Norfolk and Suffolk Constabularies as at the 7th October 2021.

Emerging Governance, Risk and Internal Control Related Issues

2. In our recent 'Post-Lockdown Working Practices Briefing', we explored the results of our survey of clients to ascertain how organisations are planning to deliver some of their functions going forward. We asked a number of questions regarding Audit Committee meetings and their effectiveness since the pandemic started and gained thoughts on how these will take place once restrictions are eased.

The experience of remotely held Audit Committees meetings has been positive with the majority of respondents recording no change in or increased attendance, efficiency and engagement at meetings.

Post Lockdown Audit Committee Attendance



Audits completed since the last SICA report to the Audit Committee

3. The table below sets out details of audits finalised since the previous meeting of the Audit Committee.

Audits completed since previous SICA report

Review	Evaluation	Key Dates			Number of Recommendations			
		Draft issued	Responses Received	Final issued	1	2	3	OEM
Overtime	Reasonable	July 21	July 21	July 21	0	1	1	0
Transport Management - Maintenance, Repair, Disposal, Transport Stock	Reasonable	August 21	September 21	September 21	0	1	1	1
Dog Handling	Reasonable	September 21	October 21	October 21	0	3	0	0
Business Continuity	Reasonable	July 21	October 21	October 21	0	1	1	0
Joint Justice Services	Reasonable	July 21	October 21	October 21	0	4	1	0

4. The Executive Summaries and the Management Action Plans for each of the finalised reviews are included at Appendix A. There are no issues arising from these findings which would require the annual Head of Audit Opinion to be qualified.

Progress against the 2021/22 Annual Plan

5. Our progress against the Annual Plan for 2021/22 is set out in Appendix B. Audits for quarter one have been completed.

Changes to the Annual Plan 2021/22

- 6. A revised annual plan has been produced which sets out the work for the rest of the year. The revised plan provides sufficient coverage to be able to provide a head of internal audit opinion.
- 7. No Priority 1 recommendations (i.e. fundamental control issue on which action should be taken immediately) have been raised when undertaking audit work during 2021/22 since the previous SICA.

Frauds/Irregularities

8. We have been advised of an overtime fraud since the last SICA report was issued. The fraud appears to be an isolated event and is being investigated by the professional standards department.

Other Matters

9. We have issued a number of briefing notes and fraud digests, shown in Appendix C, since the previous SICA report.

Responsibility/Disclaimer

10. This report has been prepared solely for management's use and must not be recited or referred to in whole or in part to third parties without our prior written consent. The matters raised in this report not necessarily a comprehensive statement of all the weaknesses that exist or all the improvements that might be made. No responsibility to any third party is accepted as the report has not been prepared, and is not intended, for any other purpose. TIAA neither owes nor accepts any duty of care to any other party who may receive this report and specifically disclaims any liability for loss, damage or expense of whatsoever nature, which is caused by their reliance on our report.

Executive Summaries and Management Action Plans

The following Executive Summaries and Management Action Plans are included in this Appendix. Full copies of the reports are available to the Audit Committee on request. Where a review has a 'Limited' or 'No' Assurance assessment the full report has been presented to the Audit Committee and therefore is not included in this Appendix.

Review	Evaluation
Overtime	Reasonable
Transport Management - Maintenance, Repair, Disposal, Transport Stock	Reasonable
Dog Handling	Reasonable
Business Continuity	Reasonable
Joint Justice Services	Reasonable

Executive Summary – Overtime

OVERALL ASSESSMENT

The diagram shows a central yellow circle labeled 'REASONABLE ASSURANCE' surrounded by a blue ring with the text 'Adequate & effective governance, risk and control processes'. To the right is a legend with four colored circles and corresponding labels: a green circle for 'SUBSTANTIAL ASSURANCE', a yellow circle for 'REASONABLE ASSURANCE', an orange circle for 'LIMITED ASSURANCE', and a red circle for 'NO ASSURANCE'.

ASSURANCE OVER KEY STRATEGIC RISK / OBJECTIVE

Inappropriate and/or fraudulent payments are made

SCOPE

The objective of the audit was to review the adequacy, effectiveness and efficiency of the systems and controls in place for overtime for both police officers and police staff.

KEY STRATEGIC FINDINGS

- There is no reconciliation undertaken between POCASO and ERP to ensure that the correct amount of overtime is paid.
- Access to POCASO is reviewed quarterly by one of the POCASO system administrators to ensure access is appropriate, but no evidence of this check is maintained.
- Manual forms are still being used by police staff to claim overtime. The process for inputting of police staff overtime is very labour intensive and there is risk of error.

GOOD PRACTICE IDENTIFIED

- POCASO flags duplicate claims.

ACTION POINTS

Urgent	Important	Routine	Operational
0	1	1	0

Assurance - Key Findings and Management Action Plan (MAP)

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
2	Directed	<p>POCASO and ERP do not interface. Overtime is paid a month in arrears. There is a payroll timetable in place which states when overtime needs to be submitted and approved to ensure that it is paid timely.</p> <p>Monthly as part of the payroll process, an excel extract from POCASO is run and this is uploaded onto ERP so that police officer overtime payments can be made. There is a risk that the excel extract that is taken from POCASO could be manipulated and additional fraudulent payments added.</p>	<p>A monthly reconciliation will be undertaken between POCASO and ERP to ensure that only approved overtime as per POCASO is paid.</p>	2	<p><i>It is accepted that this is a minor risk and a reconciliation process will be introduced to reconcile the input into the payroll monthly.</i></p>	31/12/21	Head of Transactional Services
1	Directed	<p>Access is granted to POCASO by the system administrators for POCASO. Sergeants are granted approval rights access on POCASO as they are needed to approve overtime claim forms that are submitted.</p> <p>Access to POCASO is reviewed quarterly by one of the POCASO system administrators to ensure access is appropriate, but no evidence of this check is actually maintained.</p>	<p>Evidence will be maintained of the quarterly authority checks.</p>	3	<p><i>The access has been reviewed on a quarterly basis and acting sergeant ranks removed as required. A spreadsheet will be retained to monitor the changes made.</i></p>	31/07/21	Head of Transactional Services

Executive Summary – Transport Management - Maintenance, Repair, Disposal, Transport Stock

OVERALL ASSESSMENT






ASSURANCE OVER KEY STRATEGIC RISK / OBJECTIVE

The risk of not being able to get supplies and maintain vehicles is covered under the 'service delivery failure as a result of immediate, high impact or sustained disruption'. Brexit has been identified as a risk on both the Norfolk and the Suffolk Strategic Risk Registers.


SCOPE

The audit appraised the arrangements and controls in place to ensure that the fleet of vehicles are adequately maintained, and to ensure appropriate controls are in place for disposing of vehicles and recording of vehicles proceeds.

KEY STRATEGIC FINDINGS

-  There are still some instances where drivers are not using their RFID card to log onto vehicle.
-  There are some officers/police staff that are not reporting damage to vehicles. Formal monitoring of these individuals need to be undertaken so that potential trends can be identified and action taken accordingly.
-  Generally vehicles are disposed of at auction, there have been some delays in disposing off vehicles as the auction houses were closed.

GOOD PRACTICE IDENTIFIED

-  Donor vehicles have been used, the transport team have seen delays in getting parts and thus a decision was taken that the use of donor vehicles

ACTION POINTS

Urgent	Important	Routine	Operational
0	1	1	1


Assurance - Key Findings and Management Action Plan (MAP)

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
2	Directed	<p>There are some officers/police staff that are not reporting damage to vehicles.</p> <p>There is a need to report damage to vehicles promptly, as failure to report damage to vehicles promptly could put colleagues at risk and will mean that vehicles are out of action for longer.</p>	<p>Records to be maintained of individuals that damage a vehicle and do not report it so that any potential trends can be identified and action taken accordingly. Regular updates to be provided to the Drivers Standards Group on this.</p>	2	<p><i>Any instance of damage found, either by way of a PVIR (damage reporting form) or noted during service is brought to the attention of Professional Standards for them to investigate. This was introduced during July 2021. Since the introduction of dashcams the number and cost of damage found incidents has reduced. Damage found incidents are discussed at the monthly Driver Standards Group where SPOC's and subsequently District Commanders are held accountable. PSD will consider checking hard copy vehicle logbooks and speaking supervisors to determine which shift, group or individual was driving the vehicle prior to the damage being found.</i></p> <p><i>Further comms regarding damage found incidents will be published in due course. Noting a Corporate Communications representative attends the Driver Standards Group.</i></p>	<p><i>This is an ongoing task</i></p>	<p><i>Head of Transport and Uniform Services – linking to the Driver Standards Group</i></p>

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
1	Directed	There are still some instances where drivers are not using their RFID card to log onto vehicle.	Monitoring to be undertaken for individuals that are not using their RFID cards to log onto a vehicle.	3	<i>It is accepted that due to the high number of telematics systems in use and the regularity of that use. Approximately, 5% of units will become unserviceable. A process is in place for drivers to complete a defect form for the telematics unit/card reader to be repaired or replaced. A sub-group from Driver Standards Group membership has been formed during July 2021. This is Chaired by a T/ACC with the Head of Transport, Driver Risk Manager, Suffolk CPC lead (Superintendent rank) and Norfolk CPC lead (Superintendent lead) as members. This Group meets regularly to discuss the reported incidents of non-RFID tagged journeys and actions to increase usage. Comms messages have previously been circulated to all staff. It should be noted the Driver Standards Sub-Group has a member of the Force Executive as Chair. This confirms the require appetite to improve usage.</i>	<i>This is an ongoing task</i>	<i>Head of Transport and Uniform Services – linking to the Driver Standards Sub-Group</i>

Executive Summary – Dog Handlers

OVERALL ASSESSMENT






ASSURANCE OVER KEY STRATEGIC RISK / OBJECTIVE

Dog handlers do not receive the required mandatory training.



SCOPE

The review appraised the effectiveness of controls in place for management of the police dog function.

KEY STRATEGIC FINDINGS

-  Dog handlers shift patters have been reviewed to include designated training days. In addition designated trainers have been assigned and there are sergeants in place to provide operational line support for dog handlers.
-  There is not a designated system in place for managing and monitoring usage of police dogs. Manual records are maintained of when police dogs are used. This makes the process to establish usage of police dogs very labour intensive.
-  There is not a designated system for recording police dog training. Manual records of training are maintained. Records of training undertaken is not currently recorded on either Chronicle or ERP.

GOOD PRACTICE IDENTIFIED

-  There are designated trainers assigned to provide the training.
-  Dog handlers training is factored into shift patterns.

ACTION POINTS

Urgent	Important	Routine	Operational
0	3	0	0


Assurance - Key Findings and Management Action Plan (MAP)

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
1	Directed	<p>There is not a designated system in place for managing and monitoring usage of police dogs. Manual records are maintained of when police dogs are used.</p> <p>This makes the process to establish usage of police dogs very labour intensive, and requires a lot of manual work and analysis to establish usage of police dogs.</p>	A designated system to be used for police dogs.	2	We currently record dog deployments via officers submitting records monthly. We are seeking SBOS assistance to capture some of this data from STORM however Chronicle will also be able to capture and record deployments however this will still need submissions of data by officers to Chronicle inputters. Which may require uplift of staff in the future.	30/04/23	Armed Policing and Dog Inspector
2	Directed	<p>There is not a designated system for recording police dog training.</p> <p>Training records are recorded and written up by the instructor who has taken the training day. They are then uploaded onto a database within the shared folder.</p> <p>Records of training is not currently recorded on either Chronicle or ERP, although Chronicle could be used for this. As there is not a designated system it is not possible for reminders to be generated of training due. There is a risk that dog handlers do not receive the required training as reminders are not automatically generated.</p>	Use of chronicle to be explored for recording of police dog handlers training.	2	Very recently the authoring officer of the forthcoming Police Dogs APP has posed to the region would we want Chronicle for dogs. Norfolk and Suffolk have replied positively but am at this point unaware on the whole regional response, but I believe it was a very positive acceptance of Chronicle being introduced. Once this is agreed regionally procurement will source as a region and then I will work towards implementation with L&D who are expanding the modules on Chronicle for other areas of business.	30/04/23	Armed Policing and Dog Inspector

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
3	Directed	Records of training is not currently recorded on ERP. ERP should record all training undertaken.	Police dog handlers training to be recorded on ERP so that ERP has a full record of training completed.	2	I would not want to explore ERP if Chronicle is to be introduced. We have a method in place (OI folders) which has greatly improved with the new training team and shift pattern.	N/A	N/A

Executive Summary – Business Continuity

OVERALL ASSESSMENT



The diagram shows a central yellow circle labeled 'REASONABLE ASSURANCE' surrounded by a blue ring with the text 'Adequate & effective governance, risk and control processes'. To the right is a legend with four levels: Substantial Assurance (green), Reasonable Assurance (yellow), Limited Assurance (orange), and No Assurance (red).

ASSURANCE OVER KEY STRATEGIC RISK / OBJECTIVE

Service delivery failure as a result of immediate, high impact or sustained disruption has been identified as a strategic risk for both Norfolk and Suffolk constabularies.

SCOPE

The reviewed appraised the effectiveness of controls in place for business continuity.

KEY STRATEGIC FINDINGS

- Whilst each business continuity plan has their "life-saving activities" identified there is not a central record of "life- saving activities". There would be some benefit in having a central record of life-saving defined activities, this would help co-ordinate a constabularies wide business continuity plan.
- The Business Continuity Manager works part-time, in the absence of the Business Continuity Manager there is a named deputy. Whilst there is a named deputy, the named deputy does not have currently much involvement in the business continuity management process.
- Business continuity plans are reviewed and tested annually.

GOOD PRACTICE IDENTIFIED

- There is a significant project underway - the Modern Workplace Programme - to review ways of working.
- A new appendix was added to Business Continuity plan template in 2020 about the Pandemic Response.

ACTION POINTS


Urgent	Important	Routine	Operational
0	1	1	0

Assurance - Key Findings and Management Action Plan (MAP)

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
2	Delivery	<p>There is a designated Business Continuity Manager in post. The Business Continuity Manager works part-time, in the absence of the Business Continuity Manager there is a named deputy.</p> <p>Whilst there is a named deputy, the named deputy does not have currently much involvement in the business continuity management process. There would be some benefit in the named deputy having more involvement in the business continuity process so that they are in a position to provide cover if/or when needed.</p>	The named deputy business continuity lead to have more involvement in the business continuity process so that they can provide adequate cover.	2	<p><i>Agreed, the named deputy will be involved as much as possible. The named deputy will be fully sighted on testing/review and risk group meeting attendance.</i></p> <p><i>The named deputy works all week, and will be accessible in the absence of the Business Continuity Manager.</i></p>	30/11/21	Business Continuity Manager
1	Directed	Whilst each business continuity plan has their "life-saving activities" identified there is not a central record of "life-saving activities" identified. There would be some benefit in having a central record of life saving defined activities, this would help co-ordinate constabularies' wide business continuity response.	A centralised record of all "life-saving activities" to be developed which would support and help co-ordinate constabularies' wide business continuity response.	3	<i>Agreed, this has been addressed life-saving activities are now listed on a new appendices within the gold business continuity plans.</i>	Complete	Business Continuity Manager

Executive Summary – Joint Justice Services

OVERALL ASSESSMENT



ASSURANCE OVER KEY STRATEGIC RISK / OBJECTIVE

Both Norfolk and Suffolk Constabularies have identified failure to deliver a good service to victims as strategic risks on their strategic risk registers.

SCOPE

The review appraised the effectiveness of controls in place for the joint justice services. The joint justice service consists of Criminal Justice Service, Custody and Custody Investigation Unit.

KEY STRATEGIC FINDINGS

- Police Officers are not completing all necessary fields on Athena in relation to victims and witnesses.
- Under the Code of Practice for Victims of Crime all victims should be offered the option to complete a Victim Personal Statement
- Athena is not generating MG2 forms correctly.
- Action has been taken to improve the quality of all investigations and services offered to victims.

GOOD PRACTICE IDENTIFIED

- A Custody Investigation Unit Handover Assessment template has been created and this is used by CIU to ensure that case files are of the appropriate standard.
- The Investigation Improvement Board has been established to improve the quality of all investigations and services offered to victims and suspects.

ACTION POINTS

Urgent	Important	Routine	Operational
0	4	1	0

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
1	Directed	<p>Under the Code of Practice for Victims of Crime (Victims Care Code) issued by the Ministry of Justice, states that some victims of crime such as victims of the most serious crimes, persistently targeted victims, vulnerable and/or intimidated victims are entitled to an enhanced service from the Joint Victim and Witness Support Team.</p> <p>Athena has the ability to flag victims/witnesses that require enhanced services. A sample of ten victims of crime were selected to test, and it was found that in all cases the vulnerable victims of crime had not been flagged on Athena and therefore were not identified to receive the enhanced services available timely.</p>	<p>Police officers be reminded of the need to ensure that victims of crime that are entitled to enhanced support have the appropriate designated boxes completed on Athena so that they are identified timely to receive the enhanced services available.</p>	2	<p><i>Agreed, work is already in place to address this. Good progress is being made, the webinars in April highlighted this point under Right 4. Officers need to ensure the 'Victim information tab' is adequately completed to reflect vulnerability etc and under Right 6 the 'Victim Contract Tab' must highlight the correct option in the 'Person to be updated' field ie 'Opt in Victim - Enhanced VIPS'</i></p> <p><i>In the last couple of months this information has been circulated via webinar/communications and via VCOP champions.</i></p> <p><i>The OPTIK team will be looking to provide a prompt to officers to ensure they complete a NA when creating a crime. The NA will link in with the new IVNA question set being progressed on ATHENA.</i></p> <p><i>Using data from the 30 case audit it has been identified that the rear of the MG11 is the main source of information about needs. This information is rarely transferred onto any ATHENA fields.</i></p>	31/12/21	<p><i>Detective Chief Superintendent, Joint Justice Services Command</i></p>

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
2	Directed	<p>Under the Code of Practice for Victims, all victims are invited to make a Victim Personal Statement. Any victim of crime who has provided a witness statement is invited to submit a Victim Personal Statement (VPS) to explain the affect this incident has had on them.</p> <p>Athena has the ability to record if a victim wishes to make a VPS or not.</p> <p>For the constabularies to be able to demonstrate compliance with the Code of Practice for Victims, all officers should be reminded that they need to offer victims the opportunity to complete a VPS, and if this is declined that a no answer is recorded on the designated field on Athena rather than not applicable.</p>	Police officers be reminded of the need to ensure that all victims of crime are offered the opportunity to complete a VPS, and if this is declined then a no answer rather than a not applicable answer is to be recorded on Athena.	2	<p><i>Work is already ongoing to address this. 'In the last couple of months officers have had reminders via webinar/communications and via VCOP Champions. The message reminds officers to offer a VPS and most importantly complete the VPS field on ATHENA to reflect what action has been taken.</i></p> <p><i>The OPTIK team will look to provide a prompt to officers to ensure they consider the VPS and record correctly.</i></p>	31/12/21	Detective Chief Superintendent, Joint Justice Services Command
4	Directed	Police officers are expected to record on Athena all details of any witnesses and victims of a crime so that the Joint Victims & Witness Care Team are able to provide appropriate support for victims. Audit testing found that police officers were not recording contact details (mobile numbers and email addresses) on the witness information tab	Police officers be reminded of the need to record contact details for witnesses and victims on the Victims Information tab on Athena.	2	<p><i>Work is already ongoing to address this, recent training highlighted the need to record all contact details correctly. NSVC do sometimes have an issue with referrals which have information missing or incorrectly recorded and this will be picked up through discussions with them</i></p> <p><i>We have recently completed some work within the IMU regarding the quality of work completed within the initial investigation build and we are currently reviewing the results.</i></p>	31/12/21	Detective Chief Superintendent, Joint Justice Services Command

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
5	Directed	<p>An MG2 form is expected to be completed when the victim requires special measures. For the ten victims that were randomly selected for testing it was found that whilst nine of them appeared to have special measures there was not a corresponding completed MG2 form.</p> <p>There appears to be an error in Athena with automatic generating of the MG2 form.</p>	Athena be investigated to establish why the MG2 forms are not being created appropriately.	2	<i>This is a case question so has been posed to the Athena team. They have responded to say that there are no current reported issues or in fact any previous faults with the generated MG2. This will be investigated, and an appropriate solution sourced.</i>	31/12/21	<i>Detective Chief Superintendent, Joint Justice Services Command</i>
3	Directed	<p>The Joint Victim & Witness Care Team are able to support victims when they are completing their Victim Personal Statement (VPS) and/or Business Impact Statement (BIS). The BIS gives individuals the opportunity to advise how their business has been affected by a crime. Whilst undertaking the audit it was found that there is a lack of consistency in terms of approach as to whom is responsible for completing the VPS. In some cases, police officers are obtaining VPS/BIS and in some cases these are being undertaken by the Joint Victim & Witness Care Team. There needs to be consistency to ensure that it is clearly defined who is responsible for getting these completed. The Joint Victim & Witness Care Team have a standard letter which they send out to victims, and are looking to make it possible for the VPS/BIS to be completed online.</p>	Clarity be obtained as to whom is responsible for ensuring a VPS/BIS is offered to all victims and clarity to be obtained to ensure that a VPS/BIS is completed where required by the victim.	3	<i>This will be addressed. The WCU are due to ensure a task is sent to the officer if a VPS is required. There has not been so much emphasis during training on the taking of BIS as we held this with our priority focus being on VPS instead. If a VPS cannot be obtained online then OIC should be tasked every time.</i>	31/12/21	<i>Detective Chief Superintendent, Joint Justice Services Command</i>

Progress against Annual Plan

System	Planned Quarter	Current Status	Comments
Overtime	1	Final Report	
Transport Management - Maintenance, Repair, Disposal, Transport Stock	1	Final Report	
Dog Handling	1	Final Report	
Business Continuity	1	Final Report	
Joint Justice Services	1	Final Report	
Shared Service Transaction Centre	1	Draft Report	
Corporate and HR Policies	3	Audit brief issued	
Transformation and Strategic Planning / Change	4	Audit brief issued	
Norfolk – OPCC Audit - Community Safety Partnership	3	Audit brief issued	
Risk Maturity and Development	3	Audit brief issued	
Systems – ERP / Enact / DMS / Chronicle interfaces	3	Audit brief issued	
Key Financial Systems will incorporate AP and Treasury Management as well	4	Audit brief issued	
Capital Programme	3	Audit brief issued	
Pension Administration	3	Audit brief issued	
Procurement Strategy and Policy	3	Audit brief issued	

System	Planned Quarter	Current Status	Comments
Data Quality	4	Audit brief issued	
Establishment, Capacity, Recruitment and Retention	4	Audit brief issued	
Absence Management including limited duties	4	Audit brief issued	
PEQF	3	Audit brief issued	

KEY:

	To be commenced		Site work commenced		Draft report issued		Final report issued
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Briefings on developments in Governance, Risk and Control

TIAA produces regular briefing notes to summarise new developments in Governance, Risk and Control which may have an impact on our clients. These are shared with clients and made available through our Online Client Portal. A summary list of those CBNs issued since the last progress report. Copies of any CBNs are available on request from your local TIAA team.

Summary of recent Client Briefing Notes (CBNs)

CBN Ref	Subject	Status	TIAA Comments
CBN - 21023	Public Procurement Update		No Action Required This briefing note has been provided for information only and is to note.
CBN – 21024	Cyber Device Security Guidance		No Action Required This briefing note has been provided for information only and is to note.
CBN – 21025	Action Fraud Reporting Service		Action Required For information only. Boards and Audit Committees are advised to note that Action Fraud continues to be the UK fraud reporting service. Plans are underway for a replacement system to be implemented in April 2022.
CBN – 21030	VMWare Vulnerabilities		Action Required All organisations running the VMWare virtualisation software need to install the latest version as soon as practicable to address the vulnerability.
CBN – 21035	Cyber Threats using the COVID-19 Pandemic		No Action Required This briefing note has been provided for information only and is to note.



Corporate Governance Framework (Including the Code of Corporate Governance)

Updated July 2021

Statement of Corporate Governance

Police and Crime Commissioner and the Chief Constable

Introduction

The purpose of this statement is to give clarity to the way the Police and Crime Commissioner (the PCC) and Chief Constable, will govern both jointly and separately, to do business in the right way, for the right reason at the right time.

The principle statutory framework within which the corporations sole will operate is:

- Police Reform and Social Responsibility Act 2011 (the Act),
- Policing Protocol Order 2011 (the Protocol),
- (Home Office) Financial Management Code of Practice,
- Strategic Policing Requirement.
- The Police and Crime Commissioner Elections (Declaration of Acceptance of Office) Order 2012
- Policing and Crime Act 2017

The above legislation creates a public sector relationship, based upon the commissioner provider arrangement but with unique elements such as the single elected PCC and operational independence of the police service. It is therefore not appropriate to import corporate governance arrangements into this new environment and the framework builds upon existing good governance principles and experience.

Principles

The seven core principles to be adopted by both corporations sole will be those highlighted by the good governance standard for local authorities (as applied to the PCC and Chief Constable):

- Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.
- Ensuring openness and comprehensive stakeholder engagement
- Defining outcomes in terms of sustainable economic, social and environmental benefits
- Determining the interventions necessary to optimise the achievement of the intended outcomes
- Developing the entity's capacity, including the capability of its leadership and the individuals within it
- Managing risks and performance through robust internal control and strong public financial management
- Implementing good practices in transparency, reporting, and audit to deliver effective accountability.

Framework / Instruments of governance

The Corporate Governance Framework within which both corporations sole will govern, both jointly and separately will comprise:

- Statement of Corporate Governance – statutory framework and local policy
- Code of Corporate Governance – setting out how the core principles will be implemented,
- Scheme of Governance and Consent – defining the parameters within which the corporations sole will conduct their business including the consents and delegations (published separately),
- Separate policy and procedures for each corporation sole, with protocols, memoranda of understanding etc., where they operate jointly.

The Framework...

Diagram 1

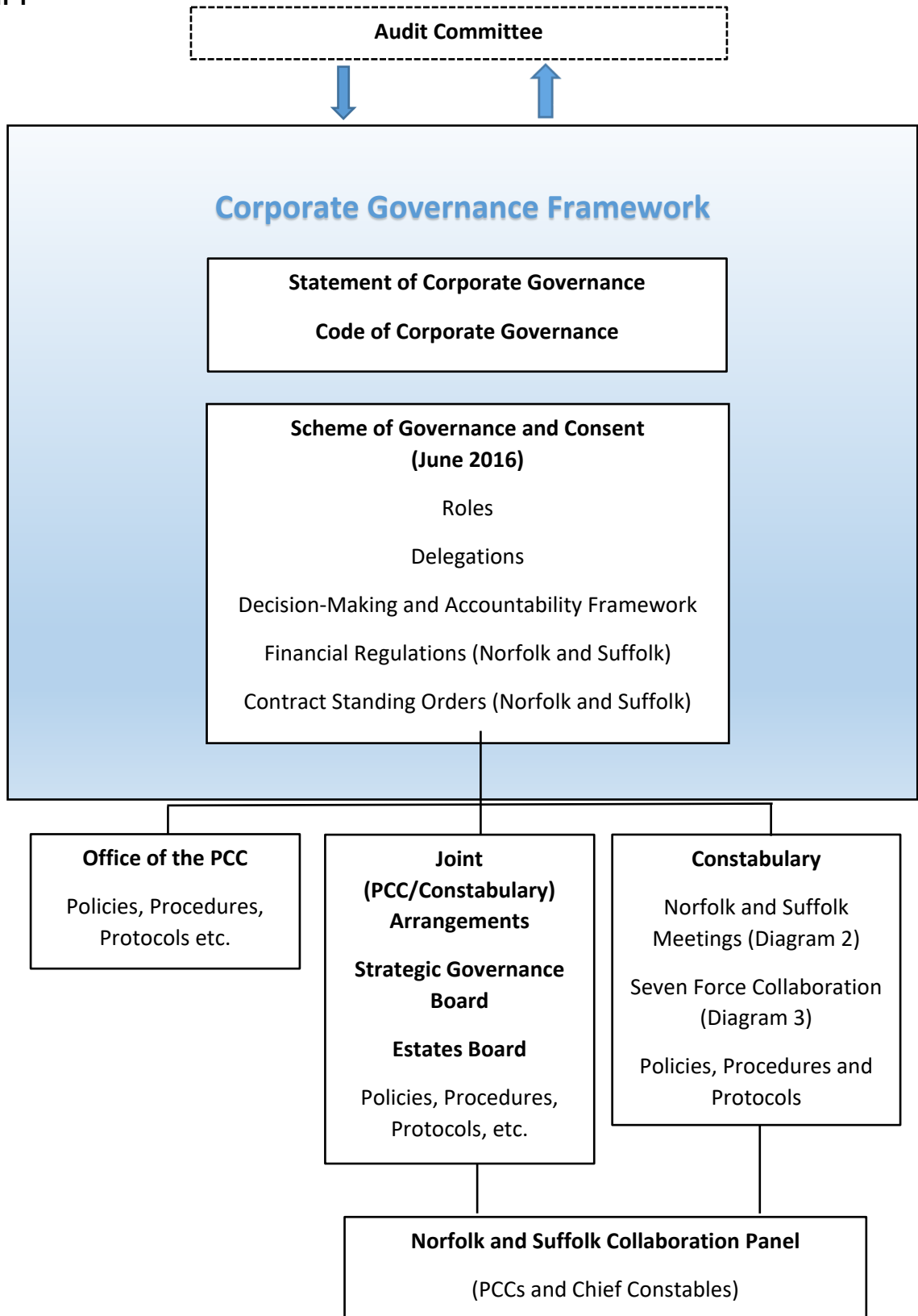


Diagram 2

Norfolk and Suffolk Constabularies Governance Meeting Structure.

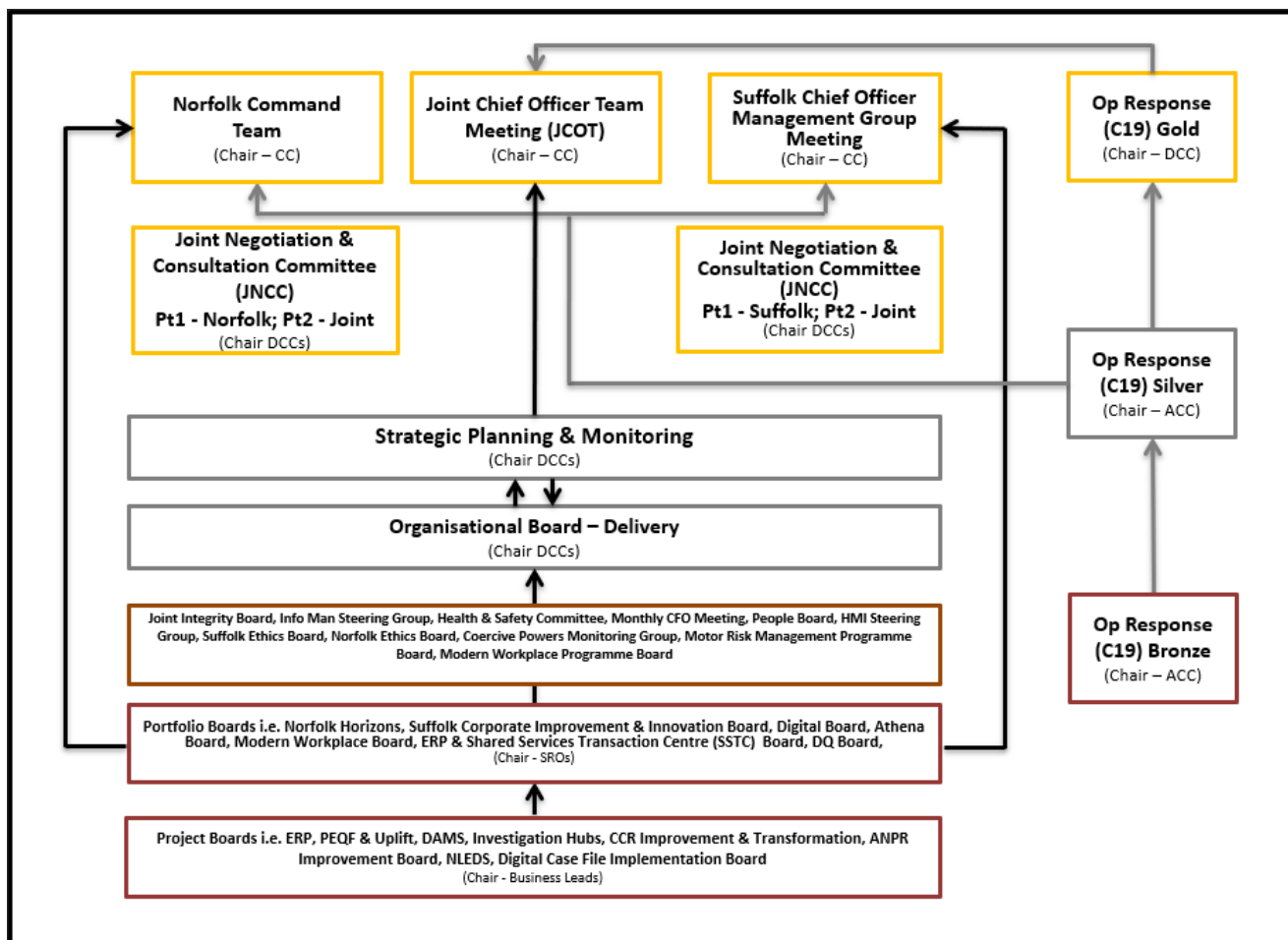
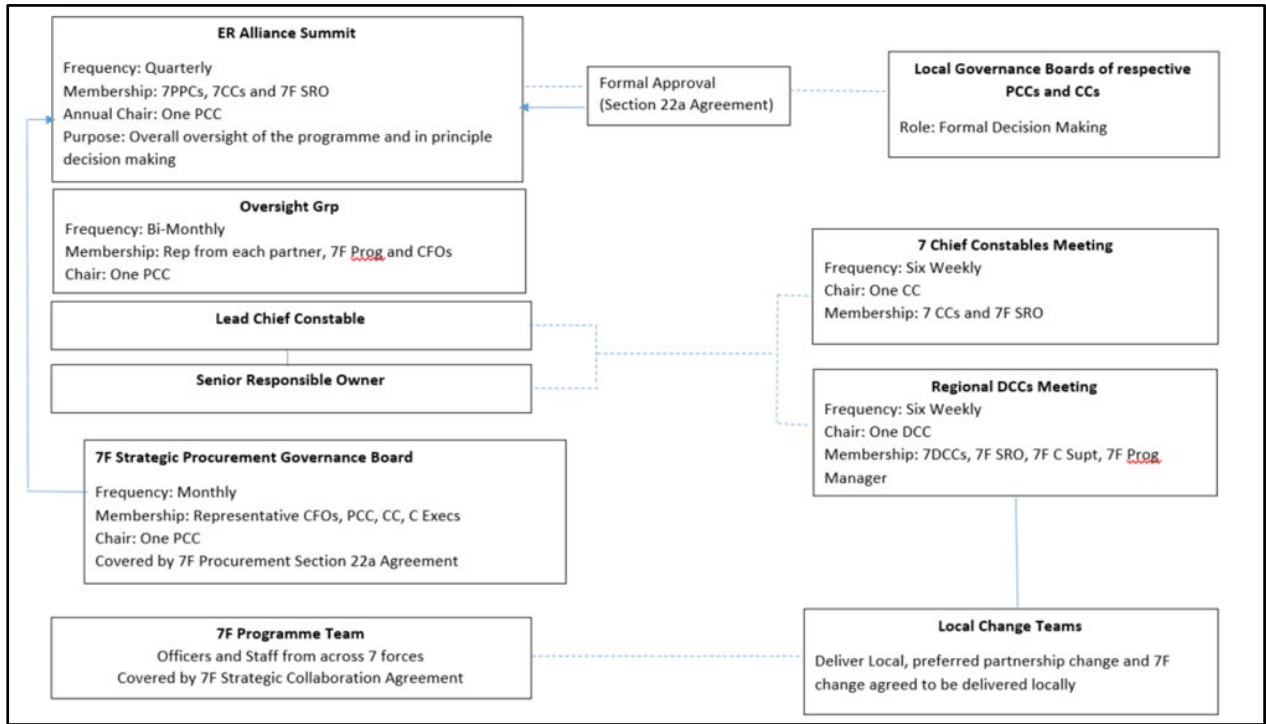


Diagram 3

7F (Seven Force) Strategic Collaboration Programme Governance and Decision Making.



Code of Corporate Governance for the Norfolk Police and Crime Commissioner and the Chief Constable

1. Introduction

- 1.1 Governance is about ensuring that the right things are done in the right way, for the right people, in a timely, inclusive, open and accountable way. It comprises the systems, processes, culture and values by which organisations are directed and controlled, and through which they account to, engage with and, where appropriate, lead their communities.
- 1.2 The standard for good governance arrangements was set out in “The Framework: Delivering Good Governance in Local Government” originally published by CIPFA in conjunction with the Society of Local Authority Chief Executives (SOLACE) in 2007. The Framework was reviewed and an updated edition published in April 2016. A Guidance Note for the Police (2016 Edition) has been published by CIPFA and has been used to develop this Code of Corporate Governance (the Code).
- 1.3 The Code sets out how the Norfolk Police and Crime Commissioner (the PCC) and Chief Constable will govern their organisations both jointly and separately in accordance with the Corporate Governance Framework. It does this by highlighting the key enablers for ensuring good governance and using the seven good governance core principles as the structure for setting out the statutory framework and local arrangements.

2. The Code

Principle A – Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.

The PCC and the Chief Constable are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for the outcomes they have achieved. In addition, they have a responsibility to serve the public interest in adhering to the requirements of legislation and government policies. They must demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

The Policing Protocol 2011 requires all parties to abide by the seven Nolan principles and these will be central to the conduct and behaviour of all. It also highlights the expectation that the relationship between all parties will be based upon the principles of goodwill, professionalism, openness and trust.

The 2014 Code of Ethics sets the standard of behaviour for all members of staff. The Code builds on the 7 Nolan principles with the addition of ‘Fairness’ and ‘Respect’. These principles will underpin every decision and action at whatever level they are taken.

The Financial Management Code of Practice requires the PCC and Chief Constable to ensure that the good governance principles are embedded within the way the organisations operate.

The PCC and Chief Constable will set out their values in the respective corporate and strategic plans.

Principle B - Ensuring openness and comprehensive stakeholder engagement

Local Government, including the Police, is run for the public good. Organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation will be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.

The Protocol highlights that the PCC is accountable to local people and that he draws on this mandate to set and shape the strategic objectives for the force area in consultation with the Chief Constable.

The Police and Crime Plan will clearly set out what the strategic direction and priorities are to be and how they will be delivered.

To complement this the communication and engagement strategies will set out how local people will be involved with the PCC and the Chief Constable to ensure they are part of the decision making, accountability and future direction. This will be a mixture of being part of the yearly planning arrangements and becoming involved in issues of interest to local people as they emerge.

The PCC and Chief Constable will develop arrangements for effective engagement with key stakeholders, ensuring that where appropriate they remain closely involved in decision making, accountability and future direction.

The PCC will maintain a strong working relationship with the Police and Crime Panel, constituent local authorities and other relevant partners.

A preferred partnership collaboration strategy was signed by PCCs of Norfolk and Suffolk in 2013.

A business case for 7 Force collaboration (East of England forces and Kent) and a Section 22A agreement were endorsed in March 2016.

Principle C - Defining outcomes in terms of sustainable economic, social and environmental benefits

The long term nature and impact of many of the PCC and Chief Constable's responsibilities mean that they will seek to define and plan outcomes that are sustainable. Decisions should contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to

the success of this process and in balancing competing demands when determining priorities for the finite resources available.

The PCC will issue a Police and Crime Plan (the Plan) for one year beyond his term of office. It will outline the police and crime objectives (outcomes) and the strategic direction for policing. Both the PCC and the Chief Constable must have regard to the Plan and the PCC must have regard to the priorities of the responsible authorities (as set out in the Act) during its development.

The OPCC has developed a business plan consistent with the need to support the PCC in the delivery of his priorities. The Constabulary does not have a similar plan at this time but the Organisational Board (Diagram 2) quality assures the production of business cases and all business related matters. HMIC requires every force to produce a 'Force Management Statement'. These are business plans by another name.

Collaboration agreements will set out those areas of activity to be undertaken jointly with other forces and local policing bodies. These collaborations may reduce costs or increase capability to protect local people, or both.

A medium term financial strategy will be jointly developed and thereafter regularly reviewed to support delivery of these plans.

A commissioning framework sets out the PCC's commissioning intentions and priorities, and will be kept under review.

A complaints protocol will be jointly agreed to provide clarity over the arrangements to respond to the breadth of concerns raised by local people, whether they be organisational or individual failures. This will complement other statutory arrangements.

Principle D - Determining the interventions necessary to optimise the achievement of the intended outcomes

Local Government, including the Police, achieves its intended outcomes by providing a mixture of legal, regulatory and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved. They need robust decision making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of outcomes is optimised.

The PCC and the Chief Constable will maintain a medium term financial strategy which will form the basis of the annual budgets, and provide a framework for evaluating future proposals.

There will be a comprehensive process of analysis and evaluation of plans, which will normally include option appraisal, techniques for assessing the impact of alternative approaches on the service's outcomes, and benefits realisation.

Processes will be in place to monitor efficiency and value for money, including benchmarking of performance and costs.

The PCC and the Chief Constable will maintain effective workforce development and asset management plans (e.g. Estates; Information Technology).

Principle E - Developing the entity's capacity, including the capability of its leadership and the individuals within it

The OPCC and the Constabulary need appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind-set, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. A public organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Both the individuals involved and the environment in which the Police operates will change over time, and there will be a continuous need to develop its capacity as well as the skills and experience of the leadership and individual staff members. Leadership in the Police service is strengthened by the participation of people with many different types of background, reflecting the structure and diversity of communities.

The Leadership, 'People' and personal development strategies of the Office of the PCC and the Constabulary set the climate for continued development of individuals. The respective performance development review processes will ensure that these strategies are turned into reality for officers and members of staff.

Principle F - Managing risks and performance through robust internal control and strong public financial management

Public bodies need to ensure that the organisations and governance structures that they oversee have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management, business continuity and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. They consist of an ongoing process designed to identify and address significant risks involved in achieving outcomes. A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery, and accountability.

The Decision-making and Accountability Framework (in the Scheme of Governance and Consent) sets out the principles and processes underlying how decisions will be taken by the PCC and Chief Constable and the standards to be adopted.

It requires a combined forward plan of decisions, which brings together the business planning cycles for the Police and Crime Plan, and the OPCC/Constabulary integrated business management process. This will ensure proper governance by bringing together the right information at the right time e.g. needs assessments, costs, and budgets.

The national decision making model will be applied to spontaneous incidents or planned operations, by officers or staff within the Constabulary as individuals or teams, and to both operational and non-operational situations.

The Scheme of Governance and Consent highlights the parameters for decision making, including the delegations, consents, financial limits for specific matters and standing orders for contracts.

The Risk Management Strategy (one for the PCC and one for the Constabulary) establish how risk is embedded throughout the various elements of corporate governance of the corporations sole, whether operating solely or jointly.

The Communication and Engagement Strategies demonstrate how the PCC and Chief Constable will ensure that local people are involved in decision making.

Furthermore the Publication Scheme (a requirement of the Freedom of Information Act 2000) will ensure that information relating to decisions will be made readily available to local people, with decisions of greater public interest receiving the highest level of transparency, except where operational and legal constraints exist.

The forward plan of decisions combined with an open and transparent Publication Scheme will enable the Police and Crime Panel to be properly sighted on the decisions of the PCC.

Principle G - Implementing good practices in transparency, reporting, and audit to deliver effective accountability

Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.

Legislation sets out the functions of the PCC and the Chief Constable. The Protocol describes how these functions will be undertaken to achieve the outcomes of the Police and Crime Plan.

The legislation also enables the PCC to appoint a deputy, whose role will be prescribed by the PCC and set out in the Schemes of Governance and Consent where appropriate.

The Act requires the PCC to appoint a Chief Executive and a Chief Financial Officer. It prescribes that the Chief Executive will act as Head of Paid Service and undertake the responsibilities of Monitoring Officer.

The Act requires the Chief Constable to appoint a Chief Financial Officer.

The Financial Management Code of Practice sets out the responsibilities of the CFOs for both the PCC and the Chief Constable.

Internal audit, reflecting published guidance on standards

The Scheme of Governance and Consent highlights the parameters for key roles in the OPCC and Constabulary including consents from the PCC or Chief Constable, financial regulations and standing orders.

Officers, Police support staff and staff of the OPCC will operate within:-

- OPCC or Constabulary policies and procedures
- The corporate governance framework
- Disciplinary regulations
- Codes of conduct
- Code of Ethics

A joint independent Audit Committee operates within the CIPFA guidance and in accordance with the Financial Management Code of Practice.

3. Governance Review Arrangements

- 3.1 The PCC has overall responsibility for approving the Code of Corporate Governance and has put in place the following arrangements to review the effectiveness of the Code.

The Office of the PCC for Norfolk

- 3.2 The PCC has set up a Corporate Governance Working Group comprising senior managers from the OPCC and the Constabulary to review the governance arrangements and oversee the production of the Annual Governance Statement. This work is reported through to the Audit Committee.

The Constabulary

- 3.3 The Chief Constable is responsible jointly with the PCC for compliance with the corporate governance arrangements but particularly for ensuring that appropriate reviews are carried out within the Constabulary for key areas including:-
- optimisation of operational delivery, with adequate service, governance and financial controls
 - professional standards and performance
 - management of information, including security and data protection
 - strategic co-ordination of service and financial planning, including risk management
 - the process for evaluation and achievement of value for money.

Audit Committee

- 3.4 The terms of reference of the Joint Audit Committee of the PCC and Chief Constable include the following:-
- Review the corporate governance arrangements against the good governance framework and consider annual governance reports and assurances.
 - Review the Annual Governance Statement[s] (AGS) prior to approval and consider whether [it] [they] properly [reflects] [reflect] the governance, risk and control environment and supporting assurances and identify any actions required for improvement.

Internal Audit

- 3.5 The role of internal audit is to give assurance to the PCC and the Chief Constable, through the Audit Committee, on the effectiveness of the controls in place to manage risks. To this end, the Head of Internal Audit reports on a quarterly basis, highlighting any major control weaknesses identified.
- 3.6 Corporate Governance and Risk Management arrangements feature in the audit strategy and annual plan both of which are received by the Committee.

External Audit

- 3.7 The External Auditor audits the financial statement of the Chief Constable, the PCC and the Group. The auditor also reviews the Annual Governance Statement and gives an opinion on value for money. The auditor's plans, reports and annual letter are considered by the Committee at appropriate times in the annual cycle of meetings.

Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services.

- 3.8 Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) independently assesses police forces and policing across the whole range of their activities – in the public interest.
- 3.9 In preparing their reports, they provide authoritative information to allow the public to compare the performance of the local force against others, and their evidence is used to drive improvements in the service to the public.
- 3.10 HMICFRS is independent of Government and the police. HMICFRS decides on the depth, frequency and areas to inspect based on their judgments about what is in the public interest.
- 3.11 Inspection programmes are demanding and, as a minimum, the main outcomes will be reported to the PCC and any improvement actions required will be recorded in the AGS.



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ANNUAL GOVERNANCE STATEMENT FOR THE POLICE AND CRIME COMMISSIONER FOR NORFOLK AND THE CHIEF CONSTABLE OF NORFOLK 2020/21

1. Background

- 1.1 This Annual Governance Statement (AGS) covers the financial year 2020/21 [but extends to cover the period to the signing of the Statements of Accounts in **November** 2021. This statement is an opportunity to demonstrate compliance with the Code of Corporate Governance and the CIPFA Financial Management Code.
- 1.2 The Police and Crime Commissioner (PCC) and the Chief Constable for Norfolk are responsible for ensuring that their 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.
- 1.3 In discharging this overall responsibility, the PCC and Chief Constable are also responsible for putting in place proper arrangements for the governance of their affairs and facilitating the exercise of their functions, which includes ensuring a sound system of governance (incorporating the system of internal control) is maintained through the year and that arrangements are in place for the management of risk.
- 1.4 The Corporate Governance Framework, which sets out how governance 'works' for the PCC and Chief Constable, can be found on the PCC's website (www.norfolk-pcc.gov.uk) or may be obtained from the Office of the Police and Crime Commissioner for Norfolk, Building 1, Jubilee House, Falconers Chase, Wymondham, Norfolk, NR18 0WW.
- 1.5 This Framework includes the joint Code of Corporate Governance (the Code) which is consistent with the principles of the CIPFA/SOLACE Framework: Delivering Good Governance in Local Government [April 2016] (as expanded by a Guidance Note for Police [June 2016]).
- 1.6 The PCC's and Chief Constable's financial management arrangements conform to the governance requirements of the latest CIPFA Statement on the Role of Chief Financial Officers in Policing issued March 2021.
- 1.7 This AGS also explains how the PCC and Chief Constable have complied with the Code and also meets the requirements of Regulation 6 of the Accounts and Audit (England) Regulations 2015 in relation to the review of the effectiveness of the system of internal control and the publication of an annual governance statement.

2. The Purpose of the Governance Framework

- 2.1 The governance framework comprises the systems and processes and culture and values by which the PCC and Chief Constable are directed and controlled, and the activities through which they account to and engage with the community. It enables the PCC and Chief Constable to monitor the achievement of their strategic objectives and to consider whether those objectives have led to the timely delivery of appropriate, cost-effective services, including achieving value for money.
- 2.2 The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the PCC's and Chief Constable's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them effectively, efficiently and economically.
- 2.3 However, good governance is not only about processes, rules and procedures. The governance framework should be applied in a way which also demonstrates the spirit and ethos of good governance. Shared values which are integrated into the culture of an organisation and are reflected in behaviour and policy are essential hallmarks of good governance.

3. The Governance Framework

- 3.1 The Chief Constable is responsible for operational policing matters, the direction and control of police officers and police staff, and for putting in place proper arrangements for the governance of the Constabulary. The PCC is required to hold the Chief Constable to account for the exercise of those functions and those of the persons under the Chief Constable's direction and control. It therefore follows that the Commissioner must satisfy himself that the Constabulary has appropriate mechanisms in place for the maintenance of good governance, and that these operate in practice.
- 3.2 The PCC has adopted a Corporate Governance Framework (including the Code of Corporate Governance) and a Scheme of Governance and Consent which includes Financial Regulations and Contract Standing Orders. These are reviewed periodically in accordance with requirements.
- 3.3 The governance framework has been in place throughout the financial year 2020/2021 (ending 31 March 2021) and [up to the date of the approval of the Statements of Accounts].
- 3.4 The key elements of the systems and processes that comprise the PCC's and Chief Constable's governance arrangements and how these adhere to the seven principles in the Code are set out below: -

Principle A – Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.

- 3.5 The Police Code of Ethics, produced by the College of Policing, describes the principles that every member of the policing profession in England and Wales is expected to uphold and the standards of behaviour they are expected to meet. This Code applies to all those who work for the Constabulary, be they police officers, police staff, contractors or volunteers. Staff have been made aware of the Code of Ethics and its implications. Policies, procedures and training products are reviewed in line with the Code and it is

central to decision making using the National Decision Making Model. Where there are breaches of the Code of Ethics or the Standards of Professional Behaviour there is a positive duty to report these matters. The Joint Professional Standards Department receives such reports and these are investigated appropriately and in accordance with Police Regulations. A Code of Conduct based on the Code has also been adopted by the PCC and staff of the OPCC.

- 3.6 Following the enactment of the Police and Crime Act 2017 a number of Police Regulations changed on 1st February 2020 and these changes include the Chief Constable no longer being the appeal body for complaints from the public with the PCC now becoming the review body. Appeals are now referred to as a 'right to review'. Other changes include less serious misconduct matters being dealt with as 'Practice Requiring Improvement' which will involve line managers in improving the officer's performance rather than instigating formal misconduct proceedings. The OPCC and the Constabulary continue to work together to consolidate the implementation of the new regulations and processes. The OPCCN has appointed a part time Police Complaints Review Officer to deal with the new process and they have been in post since January 2020. The implementation of the new model has now been in operation since February 2020 and there have been no issues and the process is operating smoothly.
- 3.7 Formal policies also exist in respect of whistle blowing, public complaints, anti-fraud and corruption, declaration of business interests, gifts, loans and hospitality and disclosable associations. An Ethics Committee has been established to enable staff to raise for consideration ethical issues affecting the Constabulary to enable further improvement in the transparency, professionalism and ethical approach of staff, policies and procedures to such issues. A Joint Integrity Board has also been established with the aim of securing the internal confidence of staff and officers in the fair application of policy and process in matters of integrity and ethics and to ensure that the organisations manage risk and learn from cases to improve the service provided.

Principle B - Ensuring openness and comprehensive stakeholder engagement

- 3.8 The OPCCN's website contains details of the meetings the PCC holds with the public, partners, Chief Constable, Audit Committee and Police and Crime Panel. Agendas, reports and minutes are available for public scrutiny where appropriate and social and digital media are frequently used to inform people unable to attend and to summarise meetings and key decisions.
- 3.9 The Constabulary offers regular, direct updates via its social and digital channels including Twitter, Facebook, Instagram, Next Door, LinkedIn, the force website, and indirectly via the local media. In addition, members of the public can sign up to the free Police Connect service to receive details of local crimes, initiatives and engagement opportunities via e-mail, voicemail or text.
- 3.10 The Constabulary has recently revised their Community Engagement Strategy, and the updated version is to be published shortly and sets out how the force will effectively engage with the residents of Norfolk in accordance with Section 34 of the Police Reform and Social Responsibility Act 2011. Key aims include actively engaging with the public, using digital technology to reach a wider audience, ensuring officers and staffs have a clear understanding of expectations, working with partners, and acting on feedback to ensure we meet needs and requirements.
- 3.11 Representatives of the PCC attend meetings regularly to ensure that the arrangements the Constabulary has in place are effective. The PCC's Office (OPCC) also has its own Communications Strategy and Engagement Plans setting out how it will obtain the views of the community and victims of crime regarding policing. The OPCCN has a

Consultation and Engagement Officer to review, develop and deliver its engagement activities and oversee delivery of the Engagement Strategy. Following the PCC elections in May 2021 the Communications Plans and Engagement Strategy will be reviewed to take account of new PCC priorities.

- 3.12 The PCC held a countywide budget consultation asking Norfolk people whether they agreed to a precept rise for 2021/22. Key partners were also consulted. The results of the police budget 2021/22 consultation show that 54% of those who took part said they would be prepared to pay extra through the policing element of their council tax. The PCC holds regular public meetings (Police Accountability Forum) to hold the Chief Constable to account and hosts public Q&A meetings around the county where residents can quiz senior police officers about the policing of their neighbourhoods.
- 3.13 The OPCC manages a key independent advisory panel, the Independent Advisory Group (IAG).
- 3.14 The Constabulary measures the satisfaction of service users through the use of victim surveys and reports to the Office of the PCC on levels of satisfaction as one of the agreed Police and Crime Objectives. It also reviews public confidence through monitoring of results through the Crime Survey of England and Wales. Norfolk Constabulary also undertake a public perceptions survey that can be broken down to district level, which can be used to assess qualitative performance on feelings of safety and community confidence in policing.
- 3.15 Norfolk Constabulary collaborates extensively with Suffolk Constabulary as it has done since 2008. This formal collaboration is across a range of services including operational policing and back office functions. The PCC is required to give approval to collaborative opportunities before they can commence. The PCCs of Norfolk and Suffolk meet during the year to discuss and discharge their governance responsibilities. In addition to this there are governance arrangements that cover operational managers and Chief Officers. The main drivers have been to maintain the effectiveness of operational and organisational support and to drive out savings through economies of scale and efficiencies in order to protect front line resources wherever possible.
- 3.16 There are also services that are subject to ongoing regional collaboration. A Seven Force Strategic Collaboration Programme has been established (this is essentially the three strategic collaborations of Norfolk/Suffolk, Kent/Essex and Bedfordshire/Cambridgeshire/Hertfordshire) with a mission to develop options for wider collaboration in order to make efficiencies and drive out further savings. The programme is governed jointly by the seven PCCs and seven Chief Constables.

Principle C - Defining outcomes in terms of sustainable economic, social and environmental benefits

- 3.17 The PCC elections in May 2020 were cancelled due to the COVID-19 pandemic and the elections took place in May 2021. The priorities and plan have continued as below for the extension of the PCC's term for the period of the accounts.

Following his arrival in May 2016, the PCC has consulted widely on his Police and Crime Plan (2016/20) and this was published in March 2017. The Plan sets out seven core priorities for Norfolk and outlines the PCC's vision for tackling and preventing crime, protecting the most vulnerable and supporting victims.

The seven priorities are: -

- Increase visible policing
- Support rural communities
- Improve road safety
- Prevent offending
- Support victims and reduce vulnerability
- Deliver a modern, innovative service
- Good stewardship of taxpayers' money.

3.18 The Plan is monitored through two public forums:

- The Police Accountability Forum where the Chief Constable is held to account by the PCC for delivery against the Police and Crime Plan.
- The Norfolk Police and Crime Panel where the PCC is held to account by the Panel for delivery against the Police and Crime Plan.

All of these performance reports are published on the OPCCN website <https://www.norfolk-pcc.gov.uk/police-accountability-forum/>

and the Police and Crime Panel section of the Norfolk County Council website:

<https://www.norfolk.gov.uk/what-we-do-and-how-we-work/policy-performance-and-partnerships/partnerships/crime-and-disorder-partnerships/police-and-crime-panel>

3.19 There is a co-ordinated process for strategic and medium-term financial planning (MTFP) that uses Outcome Based Budgeting (OBB) principles. The budget for 2020/2021 proposed by the PCC was based on an increase in the council tax (following consultation) of £14.94 per annum for a Band D equivalent property. The increase in the precept has been used to invest in and improve services for the communities of Norfolk. The PCC's proposal was unanimously supported by the Police and Crime Panel. Savings were required to balance the budget but through central government funding for Operation Uplift it is possible to increase police officer numbers. The work involved in preparing the budget and the MTFP requires close liaison with operational staff and budget managers followed by a detailed process of scrutiny and challenge by Chief Officers in order to ensure that the MTFP can finance the strategic aims of the Constabulary and the PCC.

3.20 There is a clearly defined corporate performance management framework. Objectives and key performance indicators are established and monitored both at a corporate and local level. Regular reports are made to senior managers, the Command Team, the Commissioner and the Norfolk Police and Crime Panel on performance against objectives. This includes detailed analysis and scrutiny of performance and compares performance against the most similar family of forces.

3.21 Proposals for collaboration go through a detailed process, designed to ensure that all options are considered, outcome and risk assessed and that all parties can sign up to formal agreements in the knowledge that future policy, performance and resource levels are recognised at the offset. Dedicated resources are in place to support those units subject to Norfolk / Suffolk collaboration, including the formulation of detailed business cases. The business cases are subject to review by senior officers and the Joint Chief Officer Teams of the two constabularies. Proposals are further discussed before final sign off by the two PCCs. This is underpinned by formal agreements covering the legal aspects of collaboration. A similar process applies to regional proposals.

- 3.22 A Programme Management Office oversee the planning, implementation and delivery of Norfolk and Suffolk Constabularies' overarching change programme in accordance with the two force's strategic priorities and reports upwards via the Joint Strategic Planning and Monitoring Board meeting into the Joint Norfolk and Suffolk Chief Officer Team.

Principle D - Determining the interventions necessary to optimise the achievement of the intended outcomes

- 3.23 Norfolk and Suffolk Constabularies gather data and intelligence from a range of sources to produce an annual Strategic Assessment. The Strategic Assessment considers all relevant internal and external factors that might impact upon policing, crime and disorder at county and local level, highlighting emerging issues, risks and threats. All operational issues are risk assessed using the nationally recognised Management of Risk in Law Enforcement (Morile) framework The Strategic Assessment is then used to inform the development and review of the Police and Crime Plans, and the local policing plans and performance frameworks. It also leads to the setting of the Operational Control Strategy for which there are identified strategic leads for each theme area. Partners are consulted in the development of the Strategic Assessment and the final document is also shared with them to help aid their decision making and planning.
- 3.24 Norfolk Constabulary also produce an annual force management statement (FMS), which is a self-assessment that chief constables prepare and give to HMICFRS each year. The FMS explains the demand the forces expects to face in the foreseeable future and assesses this against the constabulary's workforce (capacity, capability and security of supply) and the extent to which current force assets will be able to meet the expected future demand. The FMS also assesses how the constabulary will change to cope with future demand and the potential effect of any residual risk of service failure.
- 3.25 The Constabulary also undertakes strategic analysis in the form of strategic profiles. Where relevant, these are produced jointly for Norfolk and Suffolk, highlighting any cross force and single force issues. The profiles cover a range of strategic crime and thematic topics such as drug offending, whilst also looking at organisational issues such as policing in a diverse society. They provide a comprehensive account of the topic, taking into consideration any existing research or 'what works' evidence to inform strategic and tactical action plans and decision making. Partnership data is utilised wherever possible and consultation is also undertaken with stakeholders outside of policing as a key part of the process to ensure they are widely informed. These strategic profiles are used to inform the overall Strategic Assessment and help inform operational decision making.
- 3.26 The Strategic Business and Operational Services (SBOS) department undertakes analysis, research, and improvement and evaluation activity across the Constabulary, covering strategic, operational and performance reporting. SBOS also leads on policy, corporate risk management, programme management and joint operational or organisational project work (including business analysis), along with crime registry and audit functions. The collaboration of these distinct areas of business within one department allows for more informed analysis to take place which could relate to any part of the organisation, whether operational or organisational. This collaboration also results in the greater use of a variety of techniques to aid tactical and strategic decision making and to formulate problem solving approaches. The department seeks to use an evidenced based approach to its work ensuring that the best available evidence regarding 'what works' is considered as part of the Constabulary's problem-solving activity and evaluations are conducted to ensure lessons are learnt and successes identified. During 2020 SBOS was called upon to create both a COVID19 police data hub and an Information Handling Hub. Both were designed to provide the best available data and insight to support the critical incident known as Op Response20.

- 3.27 The department produces analytical work to support a number of forums and groups, including the Tasking and Co-ordination Group meetings and Performance and Accountability meetings, delivering strategic and tactical products which facilitate forward resource planning and the identification and management of threat, risk and harm, thereby minimising costs to the organisation. SBOS also produces analysis in collaboration with external organisations and partners (including ambulance, fire and rescue service, county council, youth offending team, trading standards, etc.) in order to better understand performance in the context of shared demand. SBOS is also one of the founding partners of the Norfolk Office of Data Analytics (NODA), which went live at the end of 2019. NODA brings together local authority and police data to help inform 'whole system' analysis on high priority areas. NODA played a key role in data provision during the COVID19 pandemic, linking data from different county services to help build a picture of the situation in a dynamic and joined up way. NODA were also instrumental in supporting the identification of the most vulnerable through multiple partnership datasets, as well as working with the University of East Anglia on predicted forecasting of infection rates. NODA linked directly to the Strategic Coordination Group, providing insight into countywide data to help inform decision makers during this exceptional period. The department supports the Constabulary in meeting its statutory and legislative requirements regarding information and data provision including the Annual Data Returns as set out by the Home Office and provision of data for a large proportion of Freedom of Information Requests.

Principle E - Developing the entity's capacity, including the capability of its leadership and the individuals within it.

- 3.28 Norfolk and Suffolk Constabularies have Leadership Development Programmes for supervisors, middle and senior managers, both officers and staff. These are in the form of pathways for development, hosted and tracked on our learning management system. These pathways contain operational, personal and leadership development sessions and extensive and wide-ranging online content from the College of Policing and other organisations such as the Open University. The pathways use Performance Development Review (PDR) conversations throughout and weave in other development tools such as 360-degree feedback, reflective practice, the Insights Discovery profiling tool, a shadowing scheme and access to an internal pool of Mentors (including trained and/or qualified to ILM level 5). Within the mentor cadre there are a group officers and staff with a particular interest in supporting the development of officers and staff from underrepresented groups. Leadership apprenticeships are offered for police staff to replicate the qualifications offered to officers via the NPPF. Coaching skills for all managers and reverse mentoring is also part of our strategy to develop a coaching culture of leadership in the Constabularies.
- 3.29 In Norfolk, the SPIRIT (Supportive, Professional, Integrity, Respect, Impartial, Transparent) behavioural model has been launched and in Suffolk the Leading with CARE (Connectivity, Accountability, Risk Competence, Energy) leadership behaviours model has been launched. Both reflect the Code of Ethics and the Competency and Values Framework.
- 3.30 The Constabularies have re-designed the PDR process to include the opportunity for all staff and officers to have career conversation with their manager and build a plan for development and where appropriate progression. The PDR follows the College of Policing PDR principles. The PDR process continues to be improved and practice is supported with PDR conversation workshops available to all managers via the leadership pathways and their teams on request. Work is underway for an electronic PDR system and an IT specification has been developed. Both the existing ERP HR

system and the Learning Management System are being explored for suitability. In terms of Governance, a PDR project Board and PDR working group are operating with the aim of developing, standardising and monitoring the effectiveness of PDR. Board representatives also participate in the College of Policing PDR project, this has led to newly published national PDR principles that are aligned to our own forces ambition to improve PDR effectiveness.

- 3.31 The Learning Management System- “The Best I Can Be” continues to expand with an increasing amount of operational, personal and leadership content hosted on it. Covid has accelerated both the development of and engagement with the LMS products and its use has been promoted across the constabularies. The design of the learning material has also changed significantly with interactive, multimedia packages, guided tracked pathways and an automated booking function for workshops. The LMS has been used for student officers across both forces to carry out pre-learn packages and to enhance classroom teaching, for PST training, interviewing skills and valuing difference packages to provide some examples. Flexible blended learning approaches have become the core methodology with classroom time and travel reduced and providing 24/7, remote access to learning programmes in the workplace.
- 3.32 An apprenticeship strategy, policy and processes has been developed to align with the Constabularies’ People Strategy and is operating well across both forces to provide training for officers and staff in emerging, hard to recruit or retain skills and to upskill our staff for 21 Century Policing.

Principle F - Managing risks and performance through robust internal control and strong public financial management

- 3.32 The PCC and Chief Constable have Risk Policies in place to ensure that the risks facing the organisation are effectively and appropriately identified, evaluated and reported. The Joint Norfolk and Suffolk (Constabularies) Risk Management Policy includes details of the risk management framework within the governance structure of Norfolk Constabulary. It sets out risk management requirements and practices that should be undertaken; by whom and when and outlines the consequences of non-adherence. The policy supports a robust risk management approach for ensuring that strategic objectives are achieved and shows how risk is dealt with, by mitigation and/or escalation to the appropriate level in the organisations. A similar policy has been drawn up by the Norfolk Office of the PCC (OPCC). The Audit Committee routinely sees the Strategic Risk Registers.
- 3.33 The Crime Registry and Audit functions for Suffolk and Norfolk, which are part of SBOS, carries out independent and rigorous audit of crime and incident recording. It provides an objective assessment of how the Constabularies are complying with the National Crime and Incident Recording Standards. The audit reports produced are reviewed by Chief Officers and if areas for improvement are identified, action is allocated and taken accordingly. As necessary, any areas of risk in relation to Crime Data Integrity are also raised at the Force Crime Data Integrity meetings and, where relevant, at Force performance meetings. They are also detailed on the risk register.
- 3.34 As noted in previous Annual Governance Statements, Norfolk and Suffolk Constabularies have implemented a single IT system which joins up four key areas of the business; Intelligence, Investigation, Case and Custody as part of a nine-force consortium. The Norfolk/Suffolk Athena development plan has been implemented and is now business as usual, making efficient use of the application. Further collaborative opportunities are being reviewed which are continuing to explored increasing efficiencies with crime recording and quality assurance of investigations. This includes increased

desk-based investigations where appropriate. Both forces intend to explore collaborative opportunities with other Athena forces to streamline back office functions.

- 3.35 The accuracy of crime recording had been identified as requiring improvement by HMICFRS. Whilst the inspectorate identified outstanding leadership in this area of business, they found that staff did not understand the increasingly complex crime recording rules, which had at the time led to an estimated underreporting of 8700 crimes a year. Bespoke action plans have been in place and are improving the quality of crime recording. This work is overseen by a Crime Data Integrity meeting, Chaired by the Assistant Chief Constable. An early action was the retraining of all supervisors and Athena champions in understanding of Crime Data Integrity (CDI). Precept funding was used to recruit a Crime Data Integrity Quality Assurance Team (CDIQAT) team to ensure all incidents are correctly recorded on notification to police, as they come to the control room. This team has now been established for approximately one year and is seen as a centre for advice and guidance for officers as well as its primary function of quality audit for the first stage of the Constabulary's crime recording.
- 3.36 The Constabulary has now recruited three extra staff to support the existing team of three who are responsible for maintaining Athena data quality standards. These resources ensure compliance with Management Of Police Information (MOPI) and other relevant legislation. This task has been assisted by the development of software which automates much of the cleansing process. Beyond Athena, a data quality group has been established, operating across Norfolk and Suffolk, to oversee effort to improve the creation and management of all data. This group is Chaired by an Assistant Chief Constable and also oversees the work of an active Steering Group, with participants from all suitable business areas.
- 3.37 Project Athena remains on the Constabulary Strategic Risk Register. There are strong governance mechanisms in place locally and regionally to manage and monitor Athena risks, issues, developments and changes. The Norfolk and Suffolk Athena Strategic Board oversees all issues and risks as well as monitoring general performance, development of the systems and the Athena change work. Relevant updates are presented to the Joint Organisational Board chaired by the Deputy Chief Constables and all strategic risks and issues also reported into the Joint Chief Officer Team meeting. Regionally the governance matrix extends through the Athena Management Organisation (hosted by Essex) to PCCs and Chief Constables through the Strategic Athena Management Boards.
- 3.38 Key areas of focus in relation to Athena have included:
- achieving implementation and establishment of the application across all nine forces; thereby moving the focus to a service maintenance and development structure
 - the delivery of refresher training to all supervisors and Athena champions; this including technical use of the system in conjunction with legislative updates and CDI compliance
 - the management of system performance, which is achieved through the aforementioned governance structures
 - the agreed plan to move all nine forces onto an automated update between Athena and Police National Computer has now been completed
 - improving data quality (regular monthly audits are undertaken to identify any issues and ensure crime data integrity, reporting into Chief Officers)
 - the replacement of the current management information system (MI) providing a stable ability to access, query and extract management information has now taken place
 - establishing a road map of changes and improvements to the Athena application
 - conclusion of the organisational review which led to a restructure, now established as business as usual with further efficiencies and DQ improvements being made.

- 3.39 Even with the additional flexibility available to the PCC for precept increases in 2020/21 and 2021/22; over the medium term, efficiencies will continue to be identified so that operational demand and cost pressures can be met. By the 31 March 2021 some £36m of annually recurring savings will have been found. Over the MTFP period to 2024/25 a further £4m has been identified. The financial envelope for 2021/22 will be affected by the Covid-19 pandemic and beyond will be determined by the Spending Review in late 2021. The additional 'flexibility' on precept for 2021/22, an increase of £14.94 per annum at Band D equivalent, will enable investment in improving key services for the communities of Norfolk. Reserves are forecast to reduce from £20.08m at 31 March 2021 to £14.63m, by 31 March 2025.

Principle G - Implementing good practices in transparency, reporting, and audit to deliver effective accountability

- 3.40 The Commissioner has a statutory duty to produce and publish an Annual Report which details performance for the previous year against the objectives and performance measures set in the Annual Policing Plan. Financial performance against the revenue budget, capital programme and levels of reserves is reported regularly through the Police Accountability Forum. The Annual Report and financial performance papers are published on the OPCC website.
- 3.41 The OPCC has continued to receive an annual award for meeting its statutory requirements on openness and transparency. The OPCC Transparency Quality Mark is issued by CoPaCC and assesses compliance with the Specified Information Order for Elected Local Policing Bodies. The OPCCN received a 'highly commended' award for the first time in 2020-21.
- 3.42 The Audit Committee has overseen the full programme of internal and external audit activity. See paras 4.21 to 4.23.

4. Review of Effectiveness

- 4.1 The PCC and Chief Constable have responsibility for conducting an annual review of the effectiveness of the governance framework, including the system of internal control.
- 4.2 This review of effectiveness is informed by
- the work of executive managers within the Constabulary and the OPCC who have the responsibility for the development and maintenance of the governance environment,
 - the head of internal audit's annual report and
 - comments made by the external auditor and other review agencies and inspectorates.
- 4.3 A full report will be presented to the Audit Committee ahead of the sign off of the accounts. The groups and processes that have been involved in maintaining and reviewing the effectiveness of internal control include the following:

Corporate Governance Working Group

- 4.4 This Group has been established to review the corporate governance framework and systems of internal control and to oversee the preparation of this Annual Governance Statement. The group comprises the Chief Executive of the PCC, the Director (Performance and Scrutiny) OPCC, the PCC's CFO, the Chief Constable's Assistant Chief Officer, the Head of Strategic Business and Operational Services and one co-opted member of the Audit Committee. These officers are involved in the oversight of

the governance framework and its processes and are in a position to review its effectiveness.

Internal Audit

- 4.5 Internal audit (delivered under contract by TIAA from 1 April 2015) provides independent and objective assurances across the whole range of the PCC's and Constabulary's activities and regularly presents findings to the Audit Committee of the PCC and Chief Constable. TIAA has taken a managed audit approach in conjunction with external audit to ensure that all necessary areas of compliance are covered. The audit programme for the year was prepared and agreed with the PCC and Chief Constable following a risk-based assessment. The managed audit approach has been developed successfully over past years, in agreement with external audit to bring further efficiency to audits. At each meeting of the Audit Committee the Head of Internal Audit also presents a 'Follow-Up' Report which sets out the numbers of implemented recommendations and those which remain outstanding. The contract with TIAA ended on 30 June 2021. A 7 Force Commercial services tender exercise was undertaken. However, this did not result in a successful award. TIAA have been reappointed until 30 June 2022. A fresh procurement exercise will be undertaken in due course.
- 4.6 The external auditor (Ernst and Young LLP), re-appointed by Public Sector Auditor Appointments in 2017) is able to place reliance on the work of internal audit.
- 4.7 Internal audit is required to give an overall opinion on the adequacy and effectiveness of the framework of the internal control and risk management environment.
- 4.8 The overall opinion for 2020/21 from the Head of Internal Audit was:
- "TIAA is satisfied that, for the areas reviewed during the year, for the Police and Crime Commissioners for Norfolk and Chief Constable of Norfolk Constabulary has reasonable and effective risk management, control and governance processes are in place.
- This opinion is based solely on the matters that came to the attention of TIAA during the course of the internal audit reviews carried out during the year and is not an opinion on all elements of the risk management, control and governance processes or the ongoing financial viability or your ability to meet financial obligations which must be obtained by the Police and Crime Commissioner for Norfolk and Chief Constable of Norfolk Constabulary from its various sources of assurance."
- 4.9 Out of twenty-three audits; three had limited assurance, fourteen reasonable, and six substantial assurance. More information on three 'Limited Assurance' audits is set out in paragraphs 5.1 and 5.2.

External Audit and Other External Review Bodies

- 4.11 External Audit provides a further source of assurance by reviewing the annual accounts and value for money assessment and reporting upon internal control processes and any other matters relevant to their statutory functions and codes of practice. An unqualified audit report was issued on the 2019/20 Statement of Accounts in November 2020 together with an unqualified value for money conclusion. The External Auditor's Annual Audit Letter was issued in November 2020 and it did not identify any matters to be addressed.
- 4.12 The Constabulary is subject to continuous review by Her Majesty's Inspector of Constabulary and Fire & Rescue Services (HMICFRS) (inspections have now recommenced after suspension as a result of Covid-19). There have been a number of

national thematic inspections carried out over the period. Reports relating to Norfolk can be found on the HMICFRS website: -

<https://www.justiceinspectors.gov.uk/hmicfrs/?force=norfolk&type=publications>

- 4.13 As part of the yearly inspection programme the HMICFRS also undertook a PEEL inspection, the inspection framework has now evolved from previous years into an Integrated PEEL Assessment (IPA) which comprises of three elements:
1. PEEL inspections
 2. Force Management Statements (FMS)
 3. Force Monitoring
- 4.14 With regard to PEEL inspections, these were amalgamated into one inspection and one report rather than twice per year. The latest PEEL inspection was published in May 2019 and the overarching question sets are set out below:
- Effectiveness – How effectively does the force reduce crime and keep people safe?
 - Efficiency – How efficiently does the force operate and how sustainable are its services to the public?
 - Legitimacy – How legitimately does the force treat the public and its workforce?
- 4.15 The force achieved ‘Good’ for Effectiveness, ‘Outstanding’ for Efficiency and ‘Good’ for Legitimacy. The force was congratulated on how it keeps people safe and reduces crime. HMICFRS also commended Norfolk Constabulary for the progress it has made over the period and was confident it was well-equipped for its strong performance to continue.
- 4.16 Force Management Statements are a self-assessment that Chief Constables prepare and give to HMICFRS each year. It is a statement and explanation of:
- o The demand the force expects to face in the next four years
 - o How the force will change and improve its workforce and other assets to cope with that demand
 - o How the force will improve its efficiency to make sure the gap between future demand and future capability is as small as it can reasonably be; and
 - o The money the force expects to have to do all this
- 4.17 HMICFRS have announced a revised inspection framework for the 2021 PEEL Inspection, and it is not anticipated that the force will be assessed using the current criteria. The revised inspection criteria include a Victim Service Assessment (VSA) which predominately looks at quality of service provided to victims from point of contact to outcome. The current PEEL themes of Effectiveness, Efficiency and Legitimacy will be assessed as woven through the VSA. The current Areas for Improvement (AFI) assigned to the force will also be reviewed during this 2021 inspection. The HMICFRS have also announced an addition to the four tier assessment grading used at present. The grading of “Adequate” creates a fifth tier and will be positioned between Requires Improvement and Good.
- 4.18 Regarding data protection, data breaches continue to be reported to the relevant areas. Each one is investigated, and appropriate action is taken to contain and manage the risk. The Deputy Chief Constables (Senior Information Risk Officers (SIRO)) are involved in the high-risk data breaches that are considered for referral to the Information Commissioners Office. Norfolk and Suffolk Constabularies made 10 referrals (6 Norfolk, 4 Suffolk) in financial year 20/21 (compared to 5 in the previous year). None of these

have resulted in formal action from the ICO (2 are currently still outstanding). However, procedure changes were implemented in light of 4 of these instances. Words of advice and further training in data protection is provided as a consequence of every breach. The Chief Executive of the OPCCN is the Data Controller and manages data breaches of which there have been none during 2020-21.

- 4.19 An internal audit took place in March 2020 for the OPCCN in the areas of Information Management and Information Security, the OPCCN received substantial assurance for its activity in this area.

Police and Crime Panel

- 4.20 The Police and Crime Panel provides checks and balances in relation to the performance of the PCC and scrutinises the PCC's exercise of his statutory functions. The Panel is independent of the PCC and consists of 3 county councillors, 7 district councillors and 2 independent co-opted members.

Audit Committee

- 4.21 The members of the Audit Committee are entirely independent people recruited for their scrutiny skills. They have no conflicts of interest and provide objective advice on audit and wider governance issues. The Committee provides advice, to the PCC and Chief Constable, on audit and governance issues and champions both audit and the embedding of risk management. Specifically, it receives and scrutinises the review of the system of internal control and agrees and monitors any action plans resulting from those reviews. The Committee regularly reviews its own performance and prepares an annual report for submission to the PCC and Chief Constable.
- 4.22 In addition to this the Committee also examines and considers the draft Annual Governance Statement and reviews the draft accounts of the PCC and Chief Constable to make recommendations in this respect. Also, it reviews the annual draft Treasury Management Strategy, monitors its application during the year and makes recommendations as appropriate.
- 4.23 Committee members have continued to receive briefings and training through the year.

5. Significant Governance Issues

- 5.1 In 2020/21, three audits (of the 23 providing an overall assurance opinion) have received 'Limited Assurance':
- Seized monies
 - Data Quality
 - MOPI
- 5.2 All recommendations in Internal Audit Reports are subject to follow up with a detailed report being presented to each meeting of the Audit Committee and to the Joint Constabularies Organisational Board (Delivery) that is chaired by the Deputy Chief Constable. The recommendations from the above limited assurance audits will be included in these follow up process.
- 5.3 The need to re procure an internal audit service could be a risk for Norfolk and Suffolk. However, by working with 7 Force Commercial Services it is hoped that a successful procurement process will enable a stable service provision to be available to Norfolk and Suffolk.

Impact of Covid 19

- 5.4 As a result of the Covid-19 pandemic the Constabulary established a dedicated command model to focus on our response to the disease. This command structure was set up in collaboration with Suffolk Constabulary and enables a consistent approach to our activity both in each force and across the extensive “joint” collaborated services. This structure operates a Gold-Silver-Bronze model with Gold Command operating across both forces, and a Silver Commander nominated in each force. A Strategic Gold plan has been written which is implemented by the Silvers at an operational, tactical level. Current work is underway to review the existing structure and reduce it to align with the reducing infection rate and a move to increased alignment with business as usual activity. The retention of the Gold and Silver commanders will ensure oversight of the local and national position and will ensure a mechanism to facilitate the dissemination of information across both organisations from Op Talla (the national policing response) and other Government departments.
- 5.5 The Constabulary governance model has remained in place throughout the whole year, allowing the Chief Constable and his Chief Officers to continue to run the force and hold officers and staff to account through different meeting structures. This was done in conjunction with Suffolk Constabulary and through use of virtual meetings has allowed appropriate governance arrangements to be delivered as close to normal as possible across the collaborated functions as well as in Norfolk only functions. In short, the Joint Chief Officer Team (JCOT), Joint Organisational Board, Joint Strategic Planning and Monitoring meetings all took place as planned. In addition, Norfolk Command Team met regularly with all meetings mentioned being held virtually via video enabled Skype / Microsoft Teams. Since the end of July there has been a mixed approach with some attendance in physical meeting rooms, with other attendees working from home and attending virtually. This is likely to be a model that continues for an extended period of time to maintain social distancing and also as new ways of working are reviewed.
- 5.6 The OPCCN established a strategic model to focus specifically on the response to the disease and ensured that the PCC could continue to maintain effective governance to fulfil the statutory role and support the wider sector through commissioning of services.
- 5.7 The strategy has been revised since March 2020 and confirms how the core functions of the Office of the Police and Crime Commissioner (OPCC) are able to be maintained and, in some cases, developed, to continue to perform effectively in a variety of situations. This has now been adopted as the new workstyle and will be under regular review to help support staff and deliver efficiently and effectively. The senior management team are in regular contact and the Chief Executive and other members of staff have appointments with the PCC by video enabled Skype/MS Teams on a consistent basis. Virtual governance practices have been put in place so that the PCC is still able to hold the Chief Constable to account as normal. The Police and Crime Panel also was able to meet virtually so still able to hold the PCC to account.
- 5.8 During this year and throughout the Coronavirus pandemic, the OPCCN has worked with statutory and non-statutory (third sector/charity) organisations to address the additional needs required for victims of crime and those organisations who are supporting them. It became very clear during this period that the delivery of services,

including specialist services have had to be changed to incorporate a whole new operating model. To this end the OPCCN has proactively, sought, bid for and were successful with a variety of national funds to bring financial support to the county. This process is still ongoing with further funds being sought and applied for.

Fund	District	Value	Service/Status
Safer Streets Fund	Norwich City	£363,000	Secured - To target harden the most vulnerable wards against acquisitive crime
Safer Streets Fund – Round Two	Great Yarmouth	£78,837	Secured- To target harden the most vulnerable wards against acquisitive crime within the Gt Yarmouth District
Extraordinary Fund	All	£250,000	Secured - To support those services delivery to victims of domestic abuse and sexual violence
Extraordinary Fund – Round Two	All	£102,503	Secured - To support those services delivery to victims of domestic abuse and sexual violence
Sexual Violence Fund	All	£178,000	Secured - To support those with protected characteristics who have victim to serious sexual offences/rape
National Probation Service	Great Norwich	£35,000	Secured - To support prison leavers who continually revolve around the Criminal Justice System
St Giles Trust	All	£45,078	Contribution to the WONDER+ Project
Public Health - Project ADDER	All	£10,000	Contribution to OPCCN Staffing Costs
Public Health - Project ADDER	All	£60,000	To support 'Pathway Out' Programme
Public Health Project ADDER – WONDER+	All	£67,250	Contribution to WONDER+ Project - Project Spend Commences 1st April 2021
Modern Slavery Fund	All	£3,000	To support work of the Modern Slavery Network
Home Office – Cumbria PCC	All	£127,755	To support work of Project ATOM – Enhanced digital forensic capability
Department of Works and Pensions	All	£35,000	To support 'Pathway Out' Programme
TOTAL SECURED			£1,355,423

Crime Recording

- 5.9 As outlined in the main body of the report the accuracy of crime recording had been identified as requiring improvement by HMICFRS. Paragraphs 3.35 and 3.36 outline the positive action that has been taken to address these issues including the establishment of the new Crime Data Integrity meeting chaired by the ACC, the establishment of the new Crime Data Integrity Quality Assurance Team (CDIQAT)

that has been place for over a year, and further investment in additional resources. This approach has seen significant improvement in compliance ahead of any further assessment by HMICFRS.

6. Conclusion and Assurance Summary

- 6.1 This report has highlighted the issues which have been identified during the year and which are being addressed.
- 6.2 The Corporate Governance Working Group has concluded that the governance arrangements are fit for purpose in accordance with the governance framework.
- 6.3 Finally, we are satisfied that this report is an accurate commentary on the governance arrangements in place in the Constabulary and the OPCC and of their effectiveness during this period.

Signed

Police and Crime Commissioner for Norfolk

Chief Constable of Norfolk

Mark Stokes
Chief Executive
Office of the Police and Crime Commissioner

Jill Penn CPFA
Chief Finance Officer
Office of the Police and Crime Commissioner

Peter Jasper
Assistant Chief Officer
Constabulary Chief Finance Officer

Date:

Signed on behalf of the senior staff of the Police and Crime Commissioner for Norfolk and on behalf of the Chief Officers of Norfolk Constabulary.



Audit Committee Forward Work Plan

19 October 2021

Morning Briefing 18 October	Team Resilience & Data Quality
Welcome and Apologies	
Declarations of Interest	
Minutes of meeting 27 July 2021	
Internal Audit 2021/22 Summary of Internal Control	Reports from Head of Internal Audit
Corporate Governance Framework	Report from CFO
Annual Governance Statement	Report from CFO
Audit Committee Effectiveness (Skills)	Verbal update from CFO
Forward Work Plan	Report from CFO
Fraud - Part 2 private agenda	Report from CFO
Strategic Risk Register update– Part 2 private agenda	Report from Chief Exec and CC

29 November 2021

Welcome and Apologies	
Declarations of Interest	
Minutes of meeting 19 October 2021	
Final Accounts 2020/21 Approval including External Auditor's Audit Results Report	Reports from CFO and E&Y
Internal Audit 2021/22 Progress Report and Follow up Report	Report from Head of Internal Audit
Forward Work Plan	Report from CFO
Fraud - Part 2 private agenda	Report from CFO

25 January 2022

Morning briefing 24 January	Commissioning
Welcome and Apologies	
Declarations of Interest	
Minutes of meeting 29 November 2021	
Internal Audit 2021/22 Progress update and follow up report 2022/23 Internal Audit Plan (draft)	Reports from Head of Internal Audit
External Audit 2020/21 Accounts Annual Audit Letter 2021/22 Audit Plan	Reports from Director, E&Y
Treasury Management 2021/22 Half Year Update 2022/23 Strategy (draft)	Report from CFO
Forward Work Plan	
Strategic Risk Register Update – Part 2 private agenda	Report from Chief Exec and CC
Forward Work Plan	Report from CFO

12 April 2022

Morning Briefing 11 April	STA & 7 Force procurement/ Policies and Processes
Welcome and Apologies	
Declarations of Interest	
Minutes of meeting 25 January 2022	
Actions from previous meeting	Action Log
Internal Audit 2020/21 Progress Report and Follow Up Review 2020/21 Annual Report 2021/22 Internal Audit Plan (Final)	Reports from Head of Internal Audit
External Audit Plan 2020/21	Report from Director, E&Y
Forward Work Plan	Report from CFO
Audit Committee Annual report	Report from Chair and CFO
Part 2 Private Agenda	
Strategic Risk Register update – Part 2 private agenda	Report from Chief Exec and CC
Fraud – Part 2 private agenda	Report from CFO & ACO

7 June 2022 Private (informal meeting)

Draft Statements of Accounts 2021/22	Reports from CFO/ACO
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Report Author

Jill Penn

Chief Finance Officer - OPCCN